

Orientation on RBM and Theory of Change

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Outline

- Introduction to RBM
 - Action vs Change language
 - Results Chain and RBM terminologies
 - Result hierarchies
- Theory of Change
- Indicators

A Priest dies and is waiting in line at heaven's gate. Ahead of him is a guy, fashionably dressed, in dark sun glasses, a loud shirt, leather jacket & jeans.

God says to the guy : Who are you ?

Guy : I am Thrissur - a Bus driver.

God : Take this gold robe & enter the kingdom of heaven.

God turns to the Priest : Who are you?

Priest : I am a priest and I spent 40 years preaching good to people.

God : Take this cotton robe and enter heaven.

Priest : God, how come that foul mouthed, rash driver gets a gold, and I, who spent all my life preaching good, get a cotton robe?

God : Results, my son, results.

While you preached, people slept; when he drove, people really prayed...

👉 "Its Performance, not Position that Counts !!" 😄😄😄

What is Results-Based Management (RBM)?

A broad management strategy aimed at achieving improved performance and demonstrable results

What is a Result?

Result = Change

A ***describable*** or ***measurable change*** in a state or condition (intended or unintended, positive or negative) which derives from a cause and effect relationship that can be set in motion by development interventions.

UNDG Results-Based Management Handbook

Why do we need RBM?

- **Global development goals**
 - The **Sustainable Development Goals**, endorsed by Member States, have a common set of 17 goals and 169 targets and is now the overarching framework for sustainable development
 - Starting in 2000, MDGs became a common set of results to which all development agencies worked towards, and **against which their collective performance can be judged.**
- **Improving public sector performance**
 - **Many donor countries** and their public sector agencies **have adopted RBM** to improve the efficiency of development programs.
 - As these countries are also donors to multilateral development institutions, they started to demand a similar **cultural change towards performance** (in UN agencies).
- **Increasing competition for aid**
 - Missing results led to general lack of trust in successes of development activities.
 - There is an increased competition for resources. Agencies have an increased need to **credibly demonstrate quality results.**
- **Performance monitoring**
 - Result-based performance (e.g. performance audits; RBM audit)—of Ministries, Divisions, etc.
 - Increasing needs to improve efficiency and accountability for results

Key Features of RBM

- **Analyzing problems** and determining their causes (problem analysis)
- Identifying **measurable changes** to be achieved based on problem analysis (theory of change)
- **Designing strategies and activities** that will lead to these changes (i.e. hierarchy of desired results, also known as '**result chains**')
- Identification and use of **indicators** to measure progress towards results
- **Costing of results** (i.e. budgeting at the result level)
- **Monitoring progress regularly**, adjusting activities, and continuous learning and **improving** performance
- **Evaluating, documenting and incorporating lessons learned** into next planning phase
- **Reporting on the results achieved** and their contribution to achieving goals

How does RBM help you?

- ✓ Focuses attention on achieving results that are important to the organization and its stakeholders
Vision and mission
- ✓ Provides crucial information about public sector or program performance
Accountability
- ✓ Promotes credibility and public confidence by reporting on the results of programs and policies
Transparency

How does RBM help you?

- ✓ Focus on results instead of activities - measurement of programme achievements vs. input delivery

Value for money

- ✓ Permits managers to identify and take action to correct weaknesses

Performance improvement

- ✓ Identifies potentially promising solutions, approaches and/or practices

Innovation and scaling up

The power of measuring results

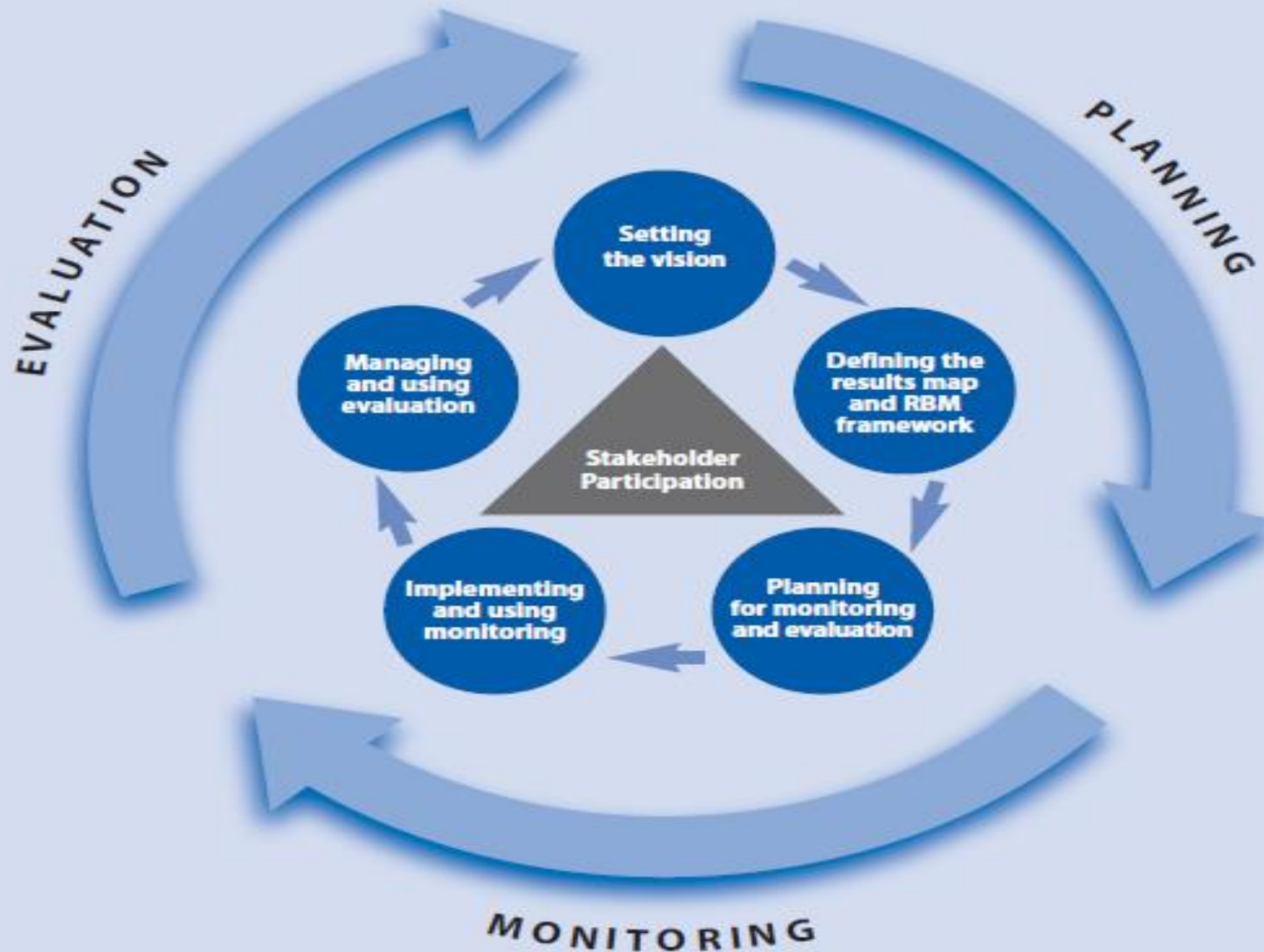
Figure 2. RBM helps managers and staff to...





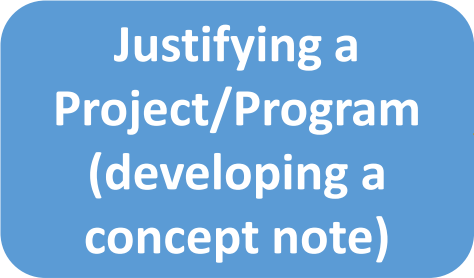
The first step to results-based management is to clarify your results

RBM in program/project cycle



Program/Project Cycle and RBM

Justifying a
Project/Program
(developing a
concept note)



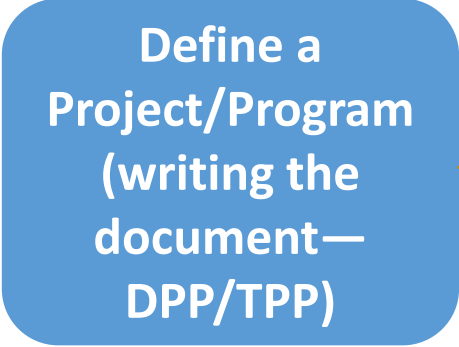
Decide if the program/project is a correct response to a country's needs

Applying RBM:

- Respond to development needs
- Contribute towards achievement of an agreed result(s) at a higher level (e.g. the 7th plan)
- Take into account results achieved, lessons learned from the previous Plan/Program/Project cycles (e.g. from evaluation reports)
- Develop skeleton Theory of Change

Program/Project Cycle and RBM

Define a
Project/Program
(writing the
document—
DPP/TPP)



Decide if the project scope is realistic
to deliver results

Applying RBM:

- Design the outputs that will best contribute to achievement of agreed results.
- Design measure of progress: indicators, baselines, targets (Results Framework and M&E plan)
- Resources are planned against results to be achieved (budget)
- Refine Theory of Change
- Are there any standards to be complied with?

Program/Project Cycle and RBM

Initiate a
Project/program



Further develop details, budgets, and plans ensuring the effective and efficient implementation

Applying RBM:

- Design or refine an evaluation and monitoring framework that will allow timely tracking of progress towards results
- Designate who is accountable for what results

Program/Project Cycle and RBM

Running a Project
(implementation)



Achieve project outputs through
implementation and monitoring

Applying RBM:

- Achieving outcomes/outputs (results) is the priority; adapt activities/strategies as needed
- Monitor if the achievement of outputs still contributes to intended programme outcomes
- Results-based reporting, not activity-based reporting
- Analyze issues and risks based on how they will affect the achievement of results, not just how they will affect activities

Program/Project Cycle, RBM, and Requirements

Closing a Project

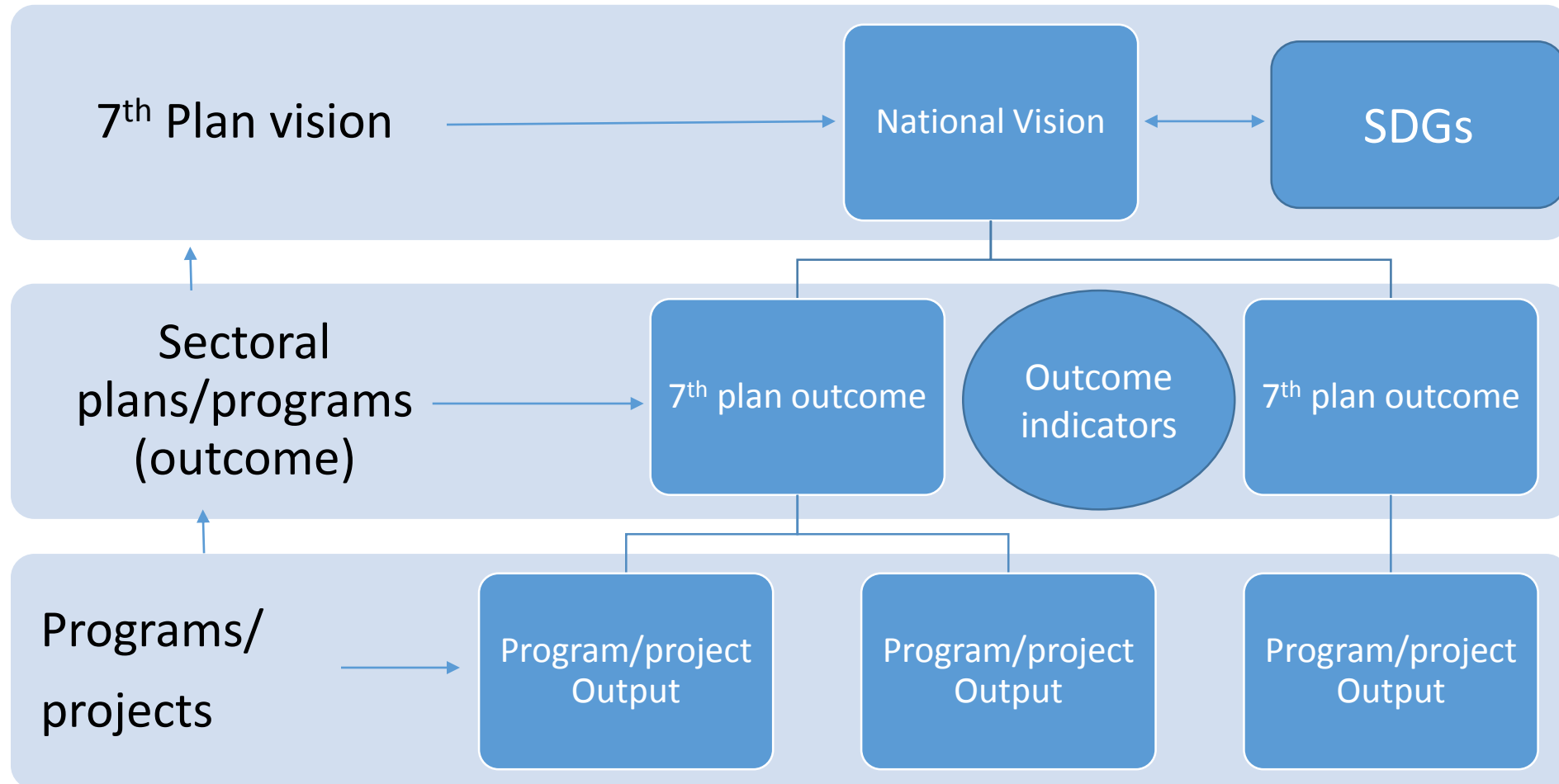


Focus on answering 'why' something worked or did not and learn from it

Applying RBM:

- Evaluation
- Lessons – learnt, documented, and their dissemination
- Decision on the next stage – sustainability, scale up, closure, etc.

Interlinked layers of results: Projects/Programs and the 7th Plan



Action vs Change Language

Action vs. Change Language

Action Language	Change Language
Expresses actions to be taken from the provider's perspective (normally as the first thing)	Describes changes as a result of your planned actions
Focuses on completion of activities	Focuses on results
Can be interpreted in many ways because it is not specific and not always measurable	Sets specific criteria for success
Convey intentions	Convey expectations



Action Language or Change language?

Women micro-entrepreneurs have more earned income

Change language

To advocate for increased female political participation

Action language

Village plans designed

Action language

Juveniles in conflict with laws have better access to legal aid

Change language

The government is better able to issue early warning messages on a timely manner

Change language

Tools developed to support transparency in local governance

Action language

Local governments have become less corrupt.

Change language

Coordination on agro-biodiversity improved

Change language

Exercise 1: Action and Result Language

5 minutes

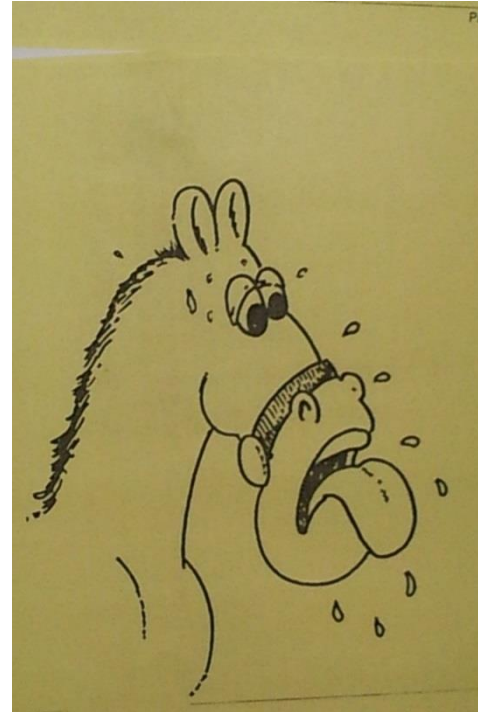
- Handout exercise sheet on action vs change language
- Each individual to examine result statements and mark them as “action language” or “change language”
- Correct answers will be shown in the panel
- Each person to score her/his own sheet
- Discuss in panel whether each statement is using action or change language

Action vs Change/Result Language

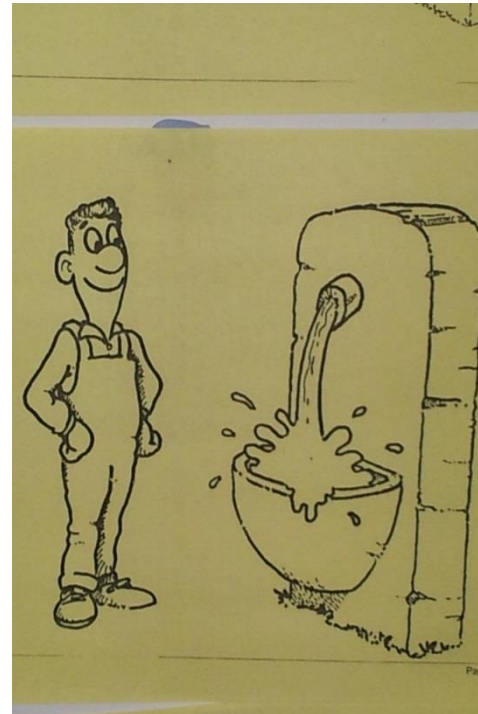
s.n	Statement	Action Language	Result Language
1	To establish 10 health centers		
2	Students in the remote areas have increased access to basic education		
3	20 Government officials are trained on SDGs		
4	Marginalized youth have greater opportunities to engage in local development		
5	M&E guidelines are prepared		
6	Improved sanitation facilities are more readily available in public places		
7	Assist the human rights institutions to protect women's rights		
8	Support the election commission to conduct free and fair elections		

Results Chain and Key RBM Terminologies

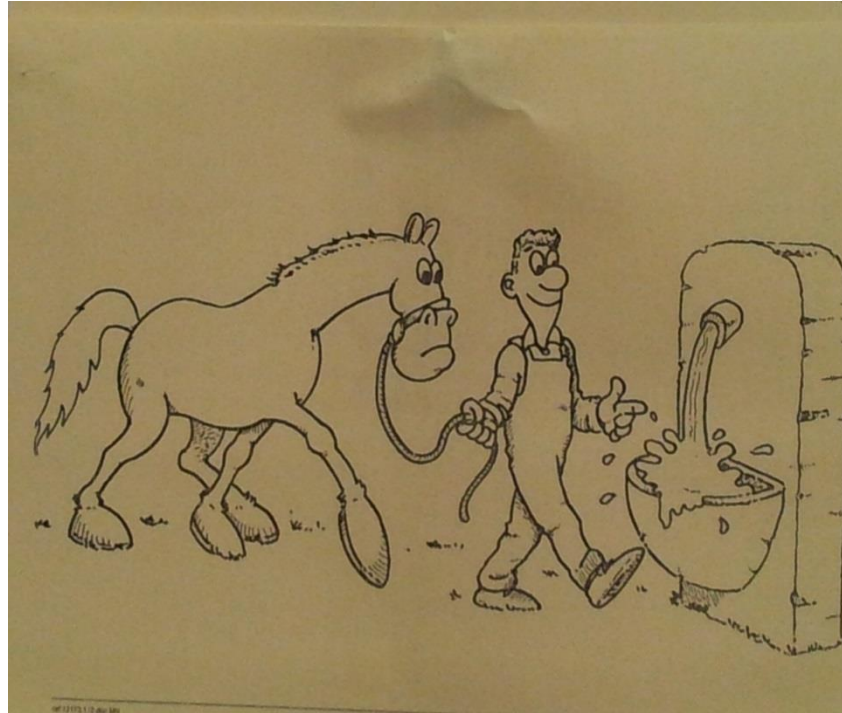
A thirsty horse



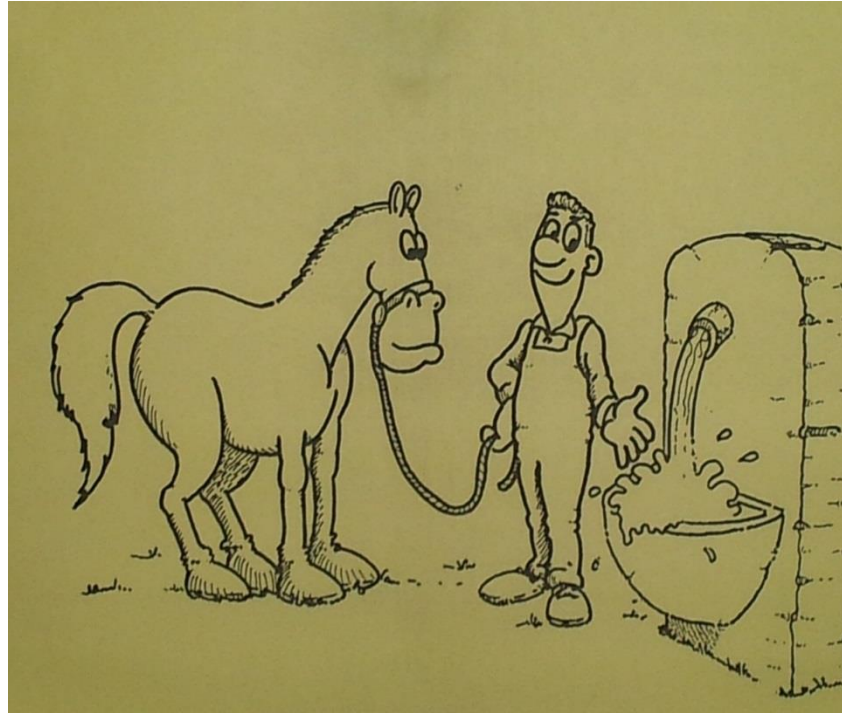
Water source



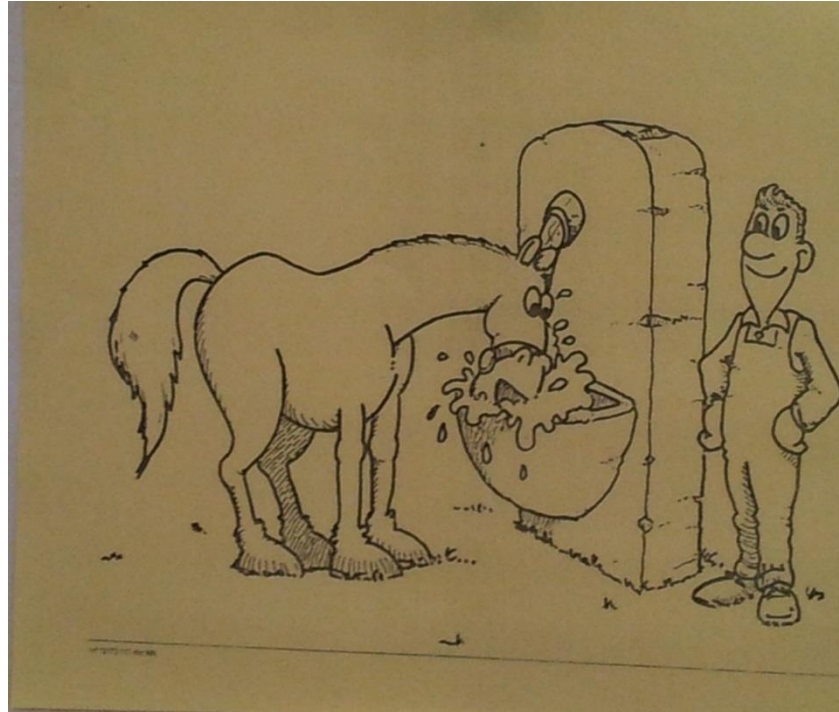
A man with a kind heart taking the horse to the water



Horse is at the water source



Horse drinking the water



Happy Horse



Result = Change

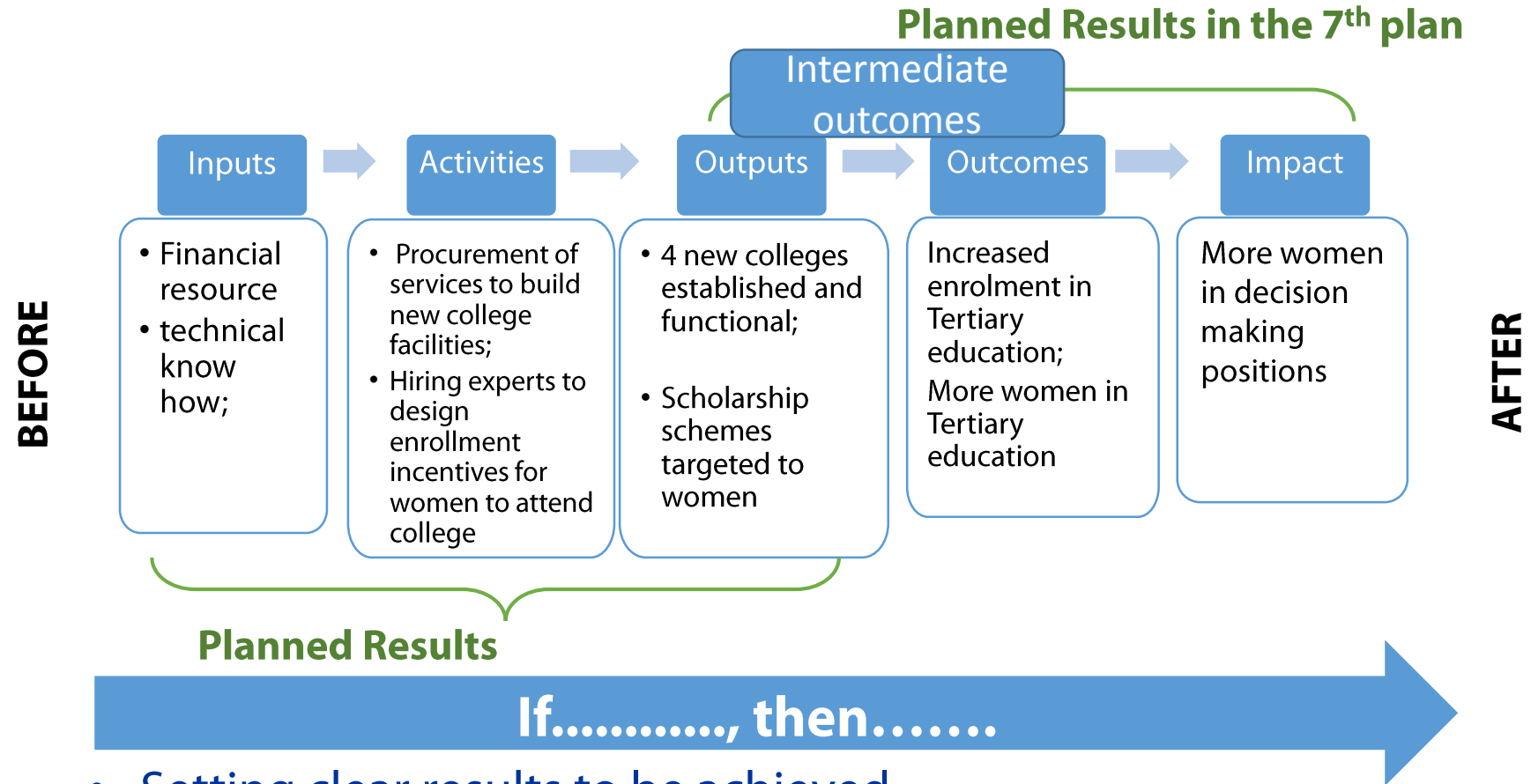
Changes in:

- rights holders' status (i.e. people's status)
- beliefs, behaviors, knowledge, awareness, practices, skills (of people, service providing institutions, decision making bodies, etc.)
- individual/institutional performances especially of duty-bearers
- quality, availability and accessibility of services and products

Causality Effect in RBM

- Cause and effect relationship **between action and result**
- In the simplest form = **if** we do A (action), **then** B will happen (result)
- If..., then...is based on a **clear understanding of the problem(s)** to be addressed and of the results to be achieved
- If..., then... is **based on a theory or a set of assumptions** of why the program/project will work or why it is a good solution to an identified problem
- If..., then.... is a **probabilistic relationship** (although it appears deterministic) because we make assumptions that B happens because of A
- Longer term changes usually stem from a **collection of small/incremental changes**
- Change is a **process**, not a one-time event

Results Chain in RBM



- Setting clear results to be achieved
- Cause-effect relationship throughout the result chain

Impact

- Actual or intended changes in human development as measured by people's well-being
- Usually captured as **changes** in people's lives

Changes in
people's
lives

“Accelerating Growth and Empowering citizens” through reduction of poverty and inequality, promotion of inclusive growth and empowerment (7th Five year plan 2016-2020)

What are Outcomes?

- Actual or intended changes in **development conditions** that interventions are seeking to support or contribute towards
- Medium-term and sustainable change in development conditions
- Usually achieved through collective efforts of stakeholders

Changes in
development
conditions and
institutions' or
Individuals'
behaviours

Changes in institutional **capacity and performance or behaviour**

Changes in **capacities, attitudes, and behavior** among individuals or groups

Changes in **enabling conditions** (social, economic, political, governance conditions, policies, legislation, power relations, norms)

Examples of Outcome Statements

- Local government institutions are able to carry out their mandates in a more accountable, transparent, and inclusive manner
- Indigenous populations are aware, capable and claim their land rights
- Laws amended to promote women's political participation at local and central levels.
- Participation of marginalized groups in the elections increased.
-

What are Outputs?

- Short-term, **most immediate/short-term development changes** resulted from the completion of a set of activities
- Changes are seen through **the presence of products, enhancement of skills and knowledge, availability of services, increased awareness, systems in place** (e.g. guidelines, database, tools, plans, etc.)
- Achieved within the time-frame specified and resources provided
- Within the control of the project
- **Project is fully accountable** for the outputs
- Normally a set of outputs is needed for the achievement of an outcome

Examples of Output Statements

Outcomes	Outputs
Local government institutions are able to carry out their mandates in a more accountable, transparent, and inclusive manner	Public audit guidelines rolled out and UP staff and community members know how to use it Local governments established e-procurement system to enhance transparency in public procurement processes.
Indigenous populations are aware, capable and claim their land rights	Indigenous populations' knowledge enhanced on their rights to land. Indigenous populations formed committees to dialogue with government on their land rights.
District plans have increased resources allocated for women's issues	District authorities have improved knowledge on gender and women's issues; District planning process is made more inclusive and women friendly
Laws amended to promote women's political participation at local and central levels	Draft bill on women's political participation prepared and shared with the Parliament Secretariat; 90% Parliamentarians have enhanced knowledge about gender equality, CEDAW, and women's rights.

Differences between an output and an outcome

	Output	Outcome
Timeframe	Achieved within the project/program's timeframe	Usually beyond the project's timeframe
Resource	Achieved within project/program's resources	Achieved through collective contribution of development partners
Control	Within the biggest control of the project/program	Beyond the project's control but the project can influence and contribute to
Accountability	The project/program is held largely accountable to deliver output results	Collective accountability of development actors (government, donors, civil society, etc.)

Activities

- Describe actions needed to obtain the stated outputs
- Normally more than one activity is needed to produce an output
- Start with a verb and describe an activity/action
- Action-oriented

Examples of Activities

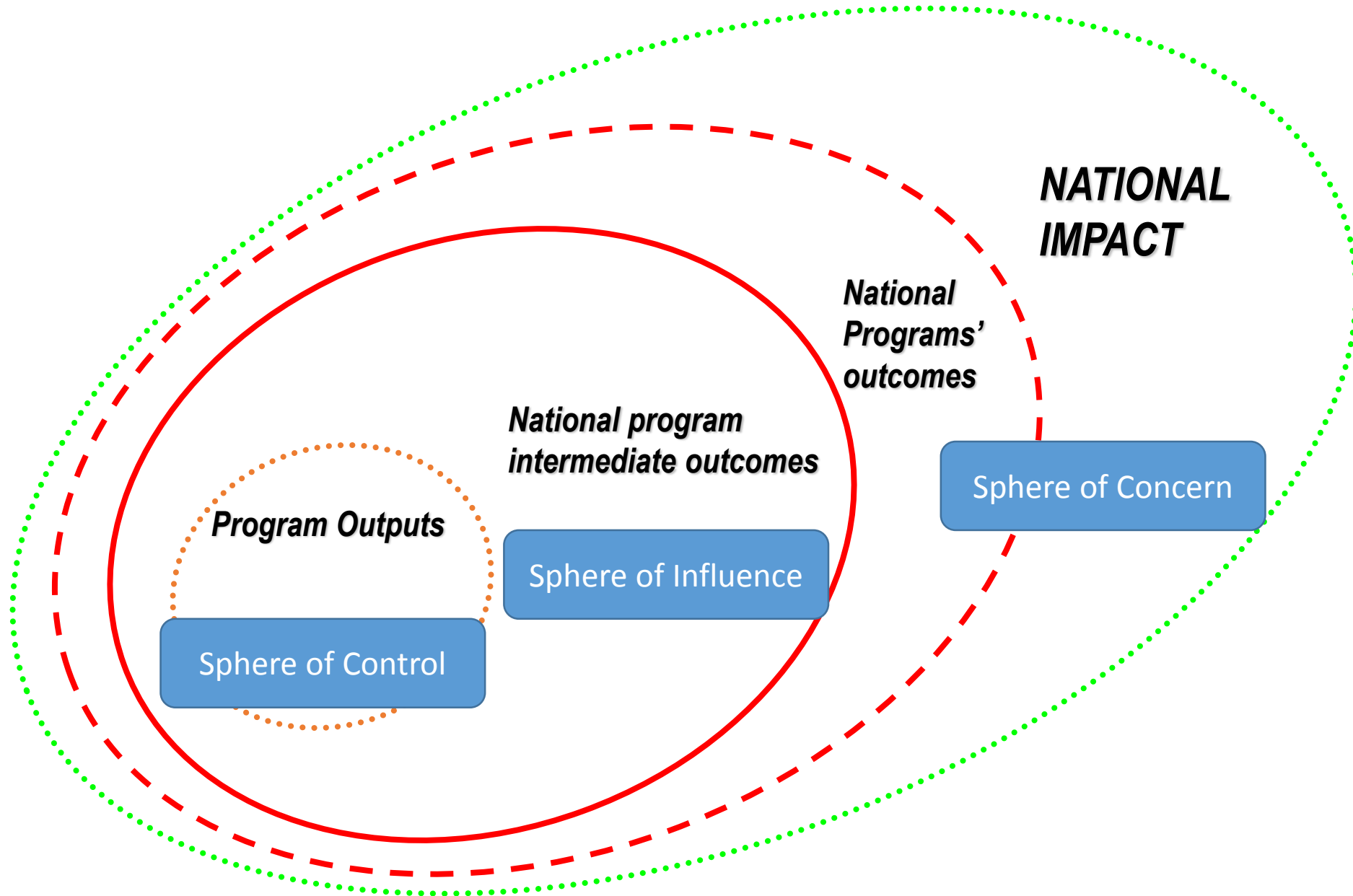
Output:

Draft bill on women's political participation prepared and shared with the Parliament Secretariat

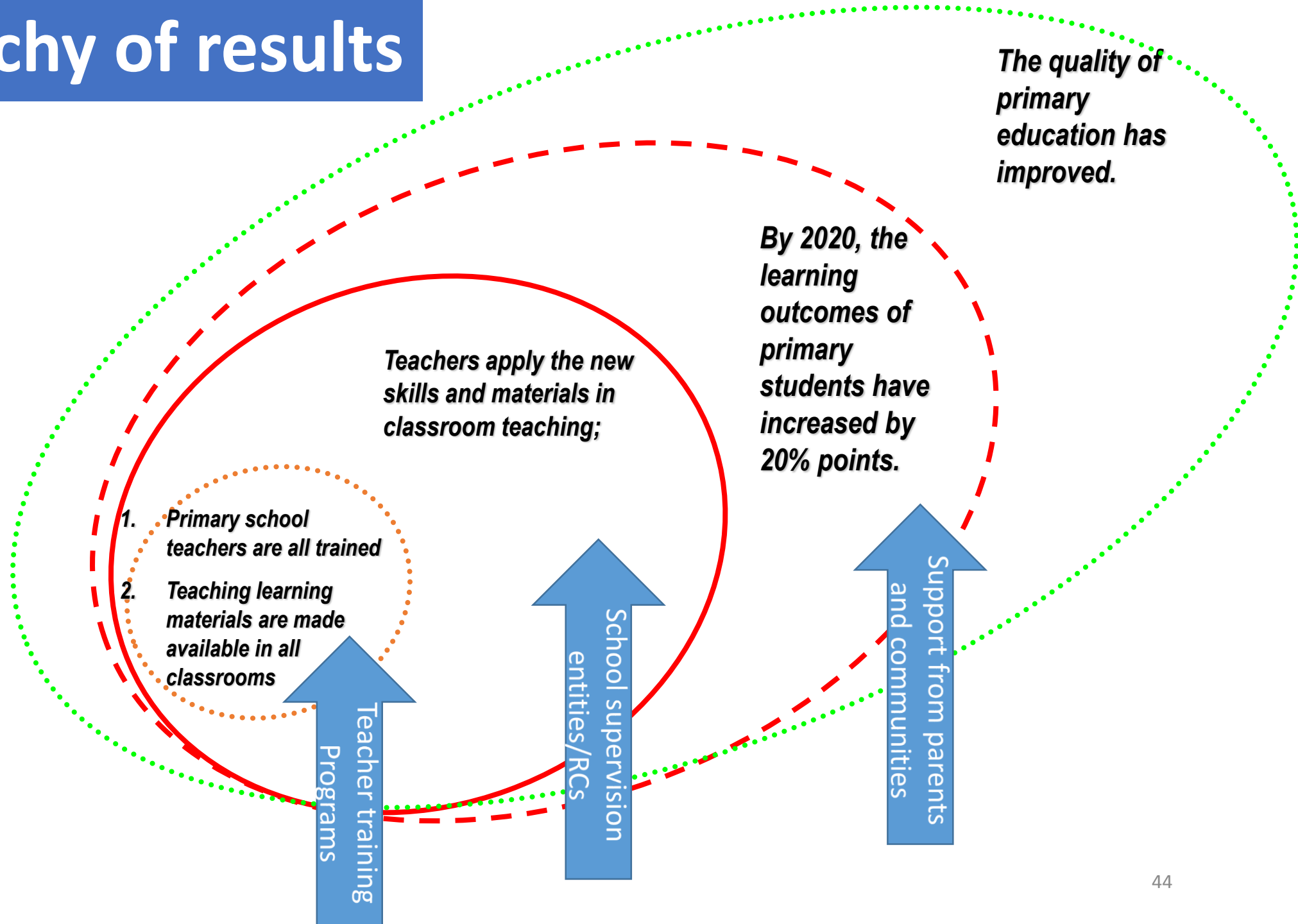
Activities:

1. **Conduct research** on the opportunities and barriers related to women's political participation and leadership in Maldives
2. **Disseminate the findings**
 - through multi-media,
 - translate into local languages,
 - organize discussions among youth, women, students, community leaders, politicians, MPs,
3. **Train** women on leadership, communications, political systems, etc.
4. **Organize exchange visits** to the Philippines to learn how women have become active in the public sphere
5. **Draft a bill** on women's political participation at all levels
6. **Conduct several workshops** to get inputs and feedbacks on the draft bill from various ministries, civil society, women's groups, academia, MPs, women's caucus, etc.
7. **Finalize the draft**

Hierarchy of results

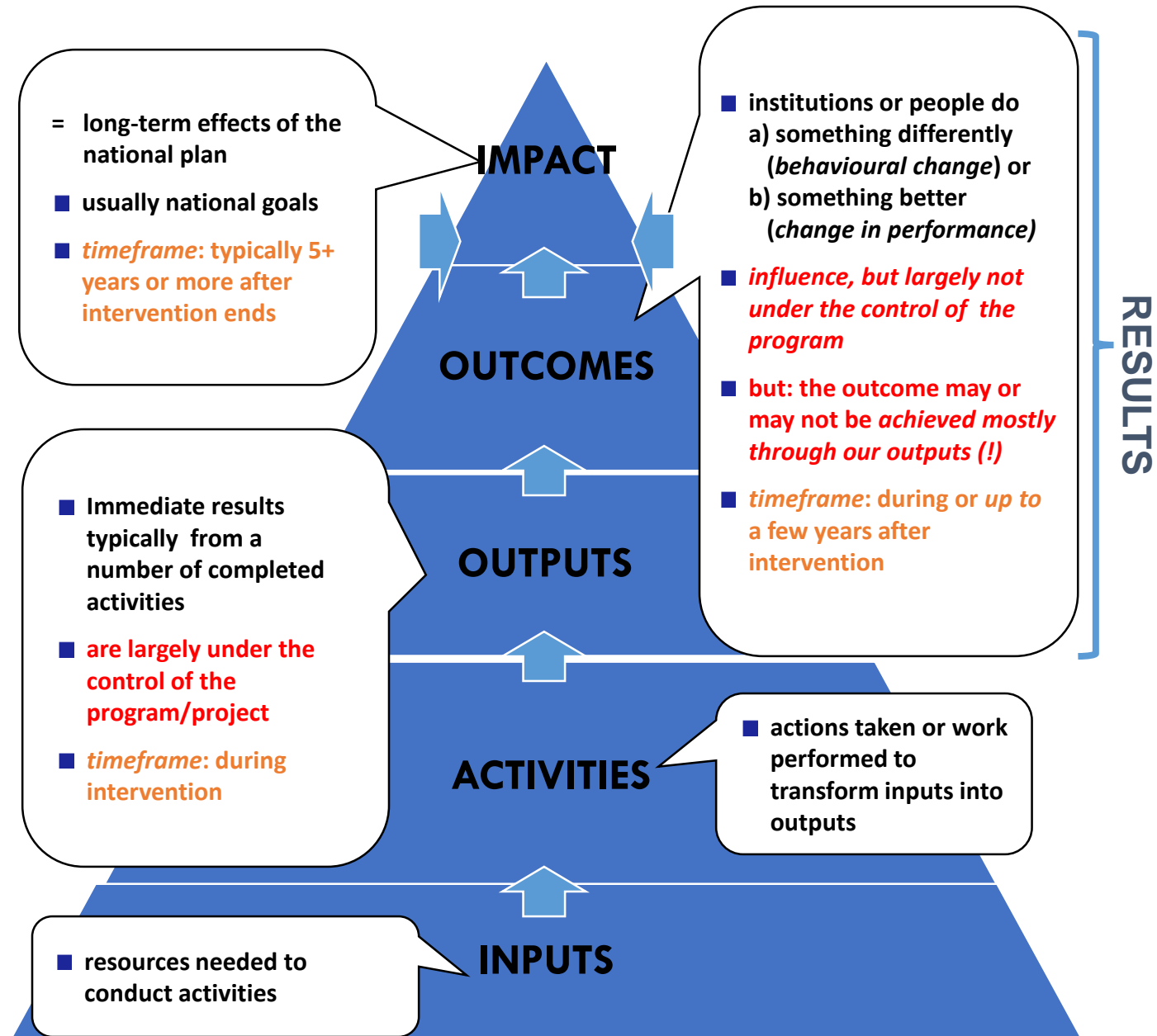


The hierarchy of results



RBM Terminologies in Other Contexts

UN/UNDP Results Chains



EU Health Programme 2012 Call for Proposals

General Objectives

- a general indication of the project's contribution to society in terms of its longer-term benefits

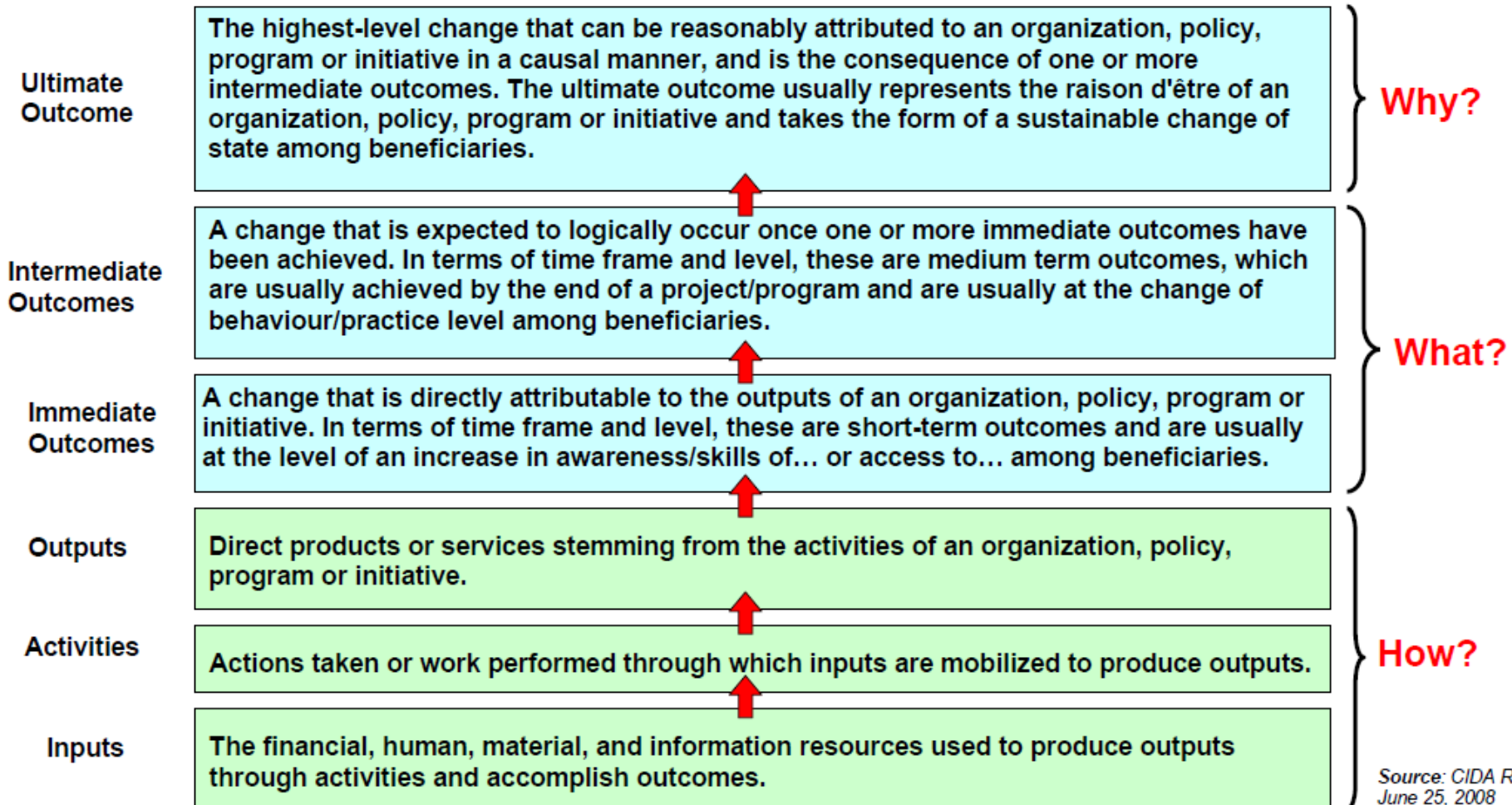
Specific Objectives of the Project

- concrete statements describing what the project is trying to achieve in order to reach its general objective.

Deliverables

- physical output related to a specific objective of the project, e.g. a report, publication, conferences

Canadian International Development Agency



Swedish International Development Cooperation

Activities

means to achieve the objectives, means to eliminate the causes of the focal problem

Expected Results (Outputs)

Outputs to be achieved (related to outcome objective)

Specific Objectives (Outcome)

The desired change of behaviour, performance, welfare, or condition of an organization, system, or a group of direct beneficiaries

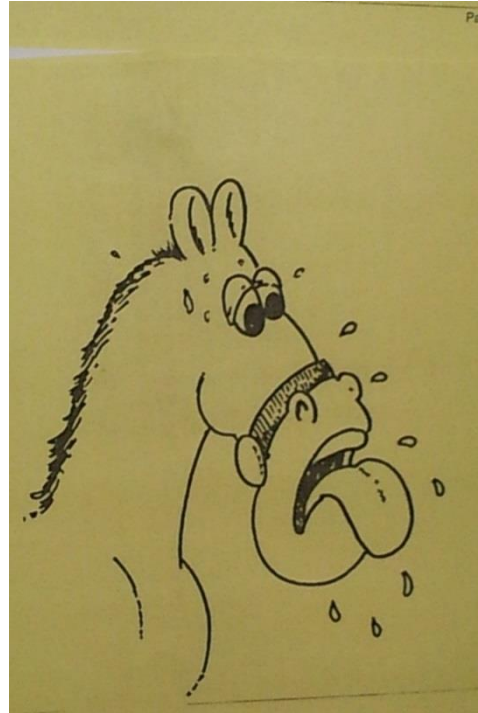
Overall Objectives (Impact)

The overall broader objectives to which the intervention will contribute

Lao's draft 8th NSEDP

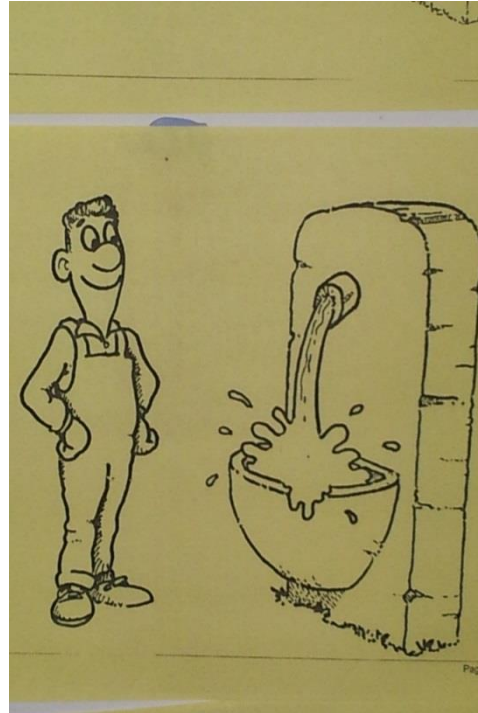


A thirsty horse



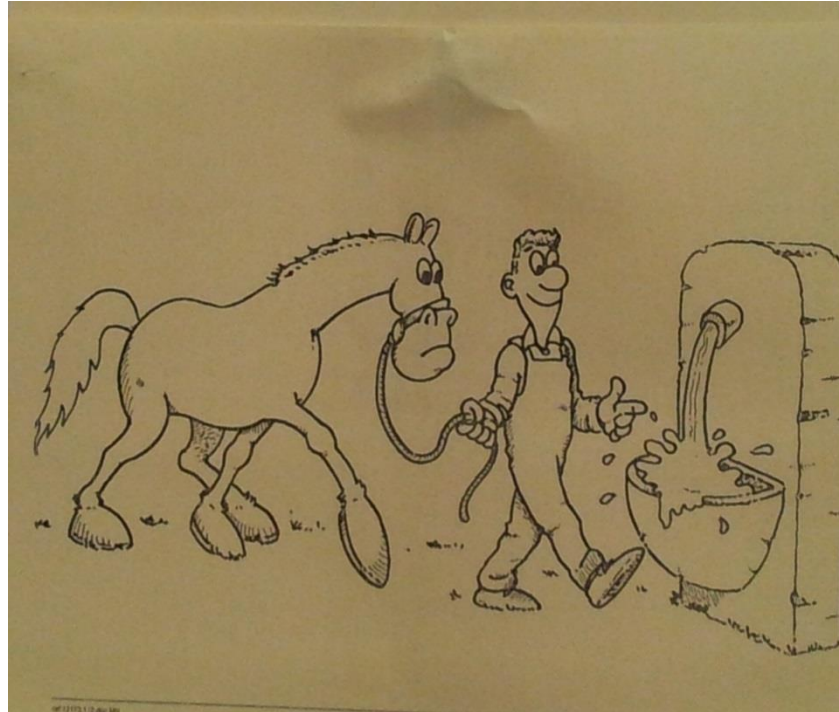
Need or problem

Water source



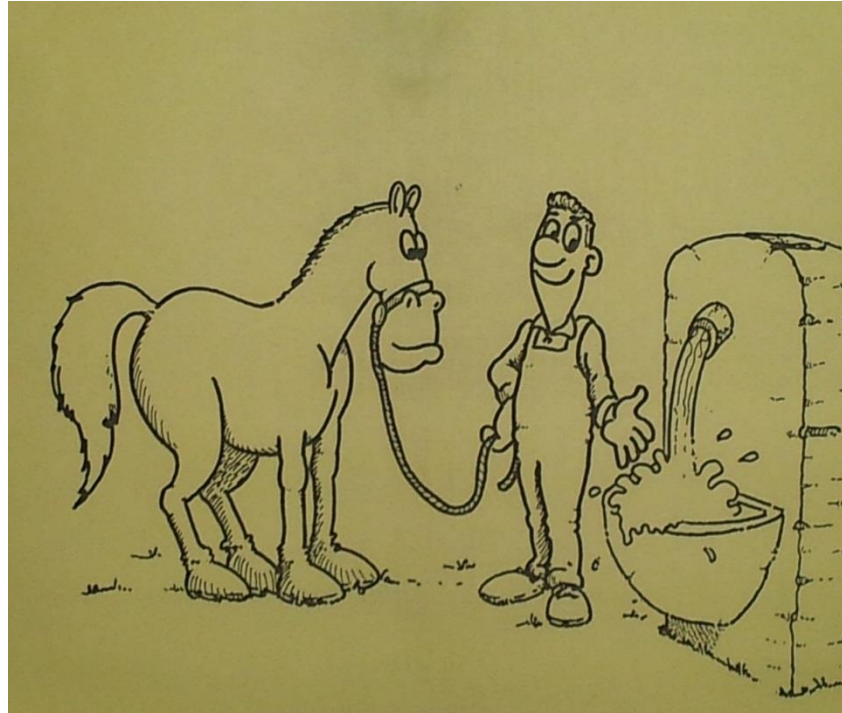
Result Chain: Input

A man with a heart taking the horse to the water



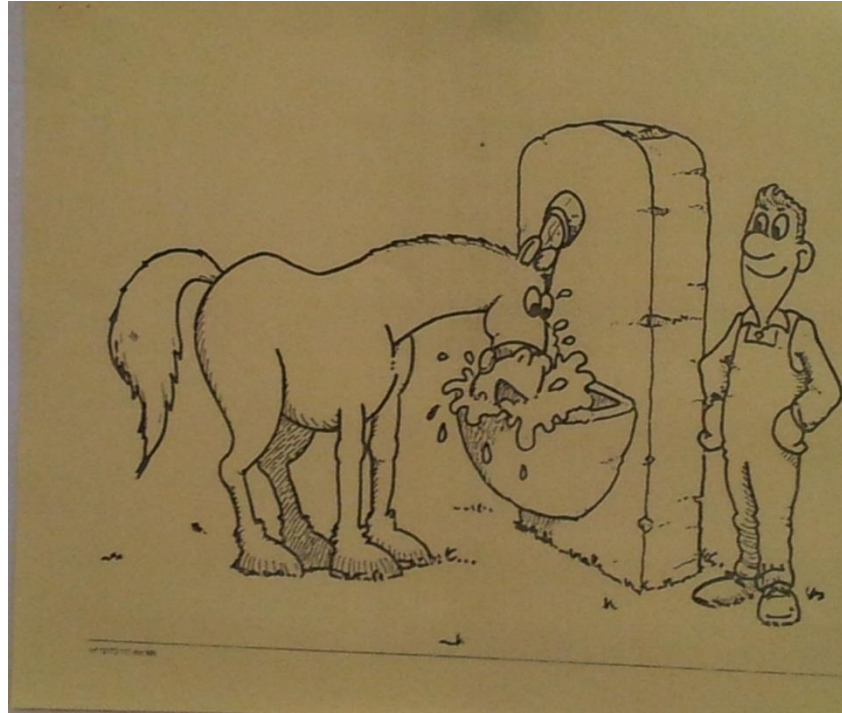
Result Chain: Activity

Horse is at the water source



Result Chain: Output

Horse drinking the water



Result Chain: Outcome

Happy Horse



Result Chain: Impact

Exercise 2: RBM Terminologies. 10 minutes

- Handout the exercise
- Each participant to tick the RBM terminology that represents the statement on the first column
- Answers to be provided in the panel
- Each individual to score their work

Result statements: weaknesses and strengths

Typical pitfalls in result statements: Too vague

- The State Audit Institution's capacity enhanced
- The National Environmental Protection Agency's policies and regulatory frameworks improved
- An efficient and effective justice system established
- Development planning systems strengthened

Typical pitfalls: Convey intentions

- To develop Multi-sector human resource plan to address training and job needs
- To promote the adoption of energy efficient processes and technologies for existing and new buildings
- To diversify livelihoods and employment options for women
- To advocate for increased female participation in labor force

Typical pitfalls: Action/Activity-Oriented

- 100 Staff of Ministry of Finance trained
- Foreign study tour arranged for senior managers of the National Environmental Agency.
- Distribution of environmental communication materials
- Tools developed to support transparency and accountability in local governance
- Environmental communication campaign designed

Other pitfalls

- **Contain multiple results:**

The state improves its delivery of services and its protection of rights—with the involvement of civil society and in collaboration with the private sector

- **Mixing means and ends**

Strengthen the protection of natural resources through the creation of an enabling environment that promotes sound resources management

Tips for Developing Result Statements

- Clearly states the desired change – **What change?**
- Disaggregates the statement to indicate **whom** this change is for; **where**; in **what areas**.
- **Uses “change” language** such as “reduced”, “improved”, “have greater access to”
- The **change described must be important to the country/region/community/people**, not just to the projects P
- Is **succinct** (can easily be read in one normal breath)
- The change at the **output level is largely attributable to projects/programs**
- The contribution to the **outcome level change is apparent**
- Is **measurable** – making it possible to monitor the progress and assess whether it is achieved or not
- Is **achievable** – not too ambitious when put in the context of the development programme
- Is **time-bound** – never open-ended (especially at the output level)
- **Is not full of jargon:** ‘The Poverty/environment nexus is enhanced’, “gender is mainstreamed”;
- **Not too wordy and long**

Tips for Developing Result Statements Cont...

Avoid

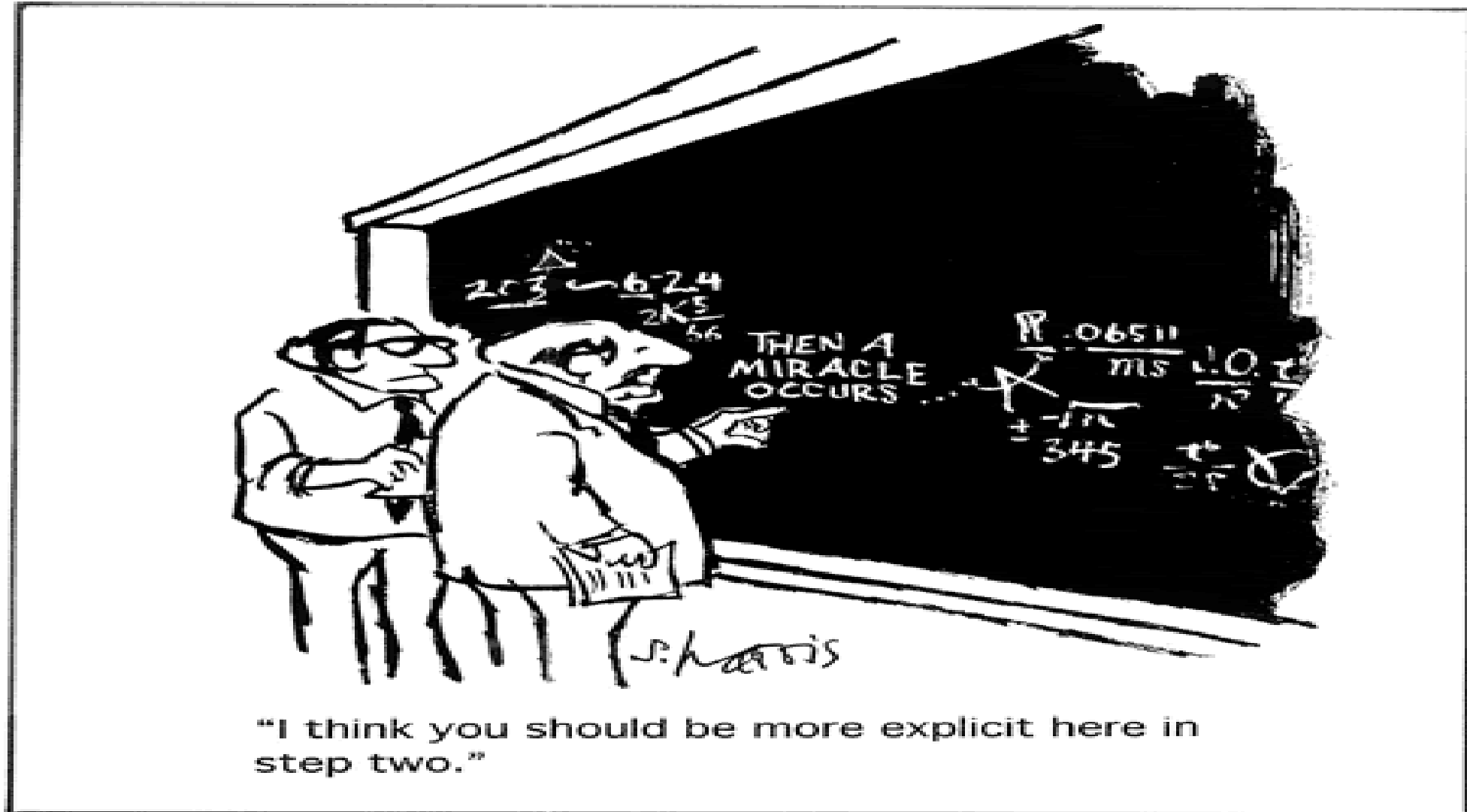
- **action verbs** – “Strengthening”, “enhancing”,
- **intentions** – ‘To assist the government...’, to promote...
- **describing how the change will be achieved** such as improved through; supported by means of, etc.
- **jargons**: ‘Gender mainstreamed

Tea/coffee break

THEORY OF CHANGE: A BRIEF OVERVIEW



Do we know how change actually happens?



ToC comes in many guises/terminologies

Logic model

Impact pathway

Strategy map

Outcome model

Results framework

Outcome hierarchy

Programme logic

Intervention logic

Theory of change

Logframe

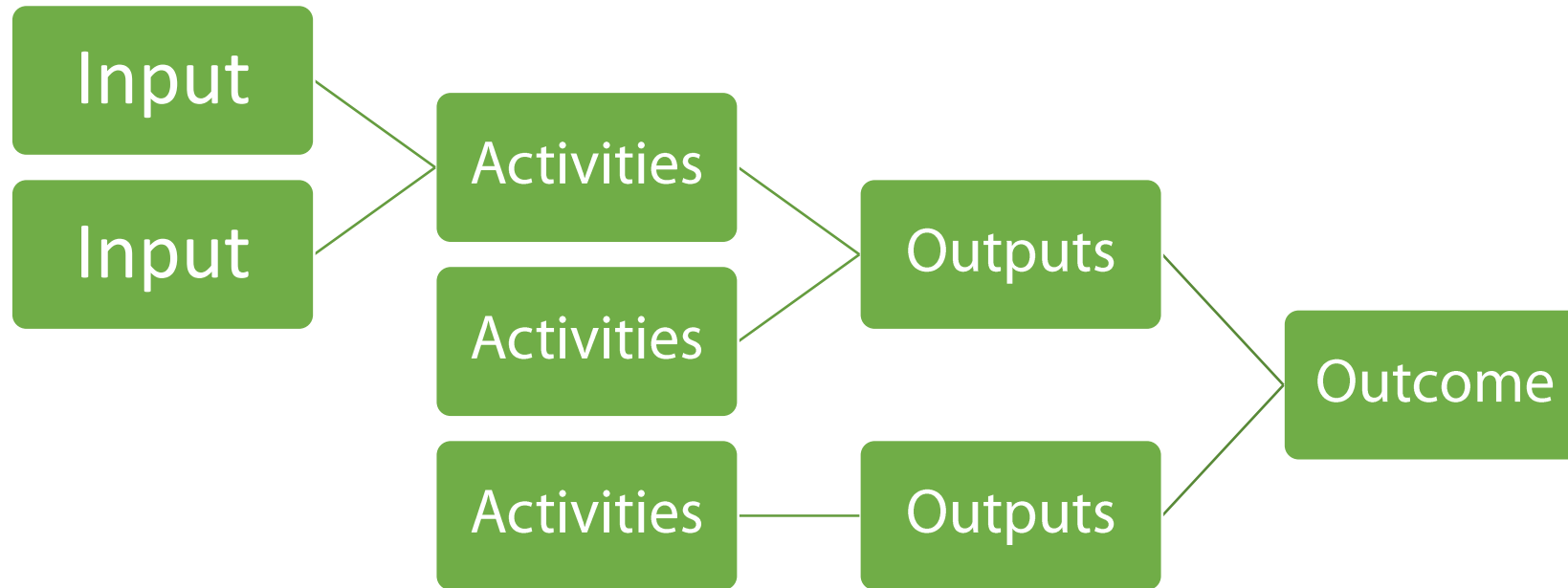
Programme framework

Logical framework

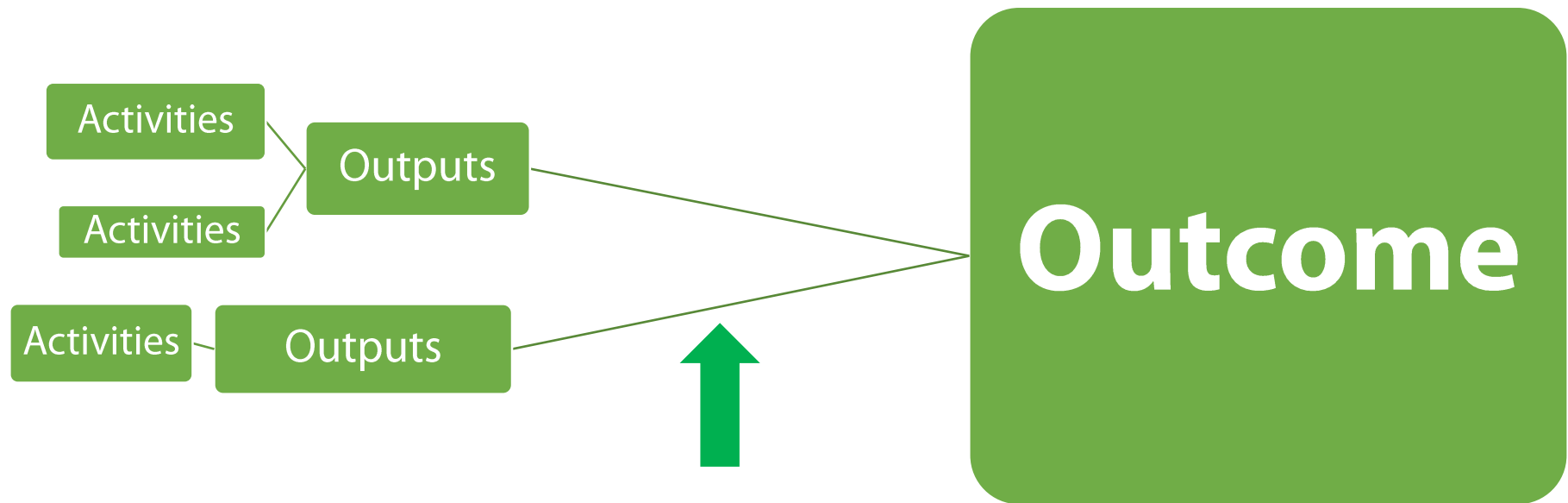
Pathway of change

Programme theory

Results Chain – What we plan



Results Chain – In reality



**The missing middle or
Black box or magic!!**

What we plan....



What actually happens....



What is a Theory of Change?

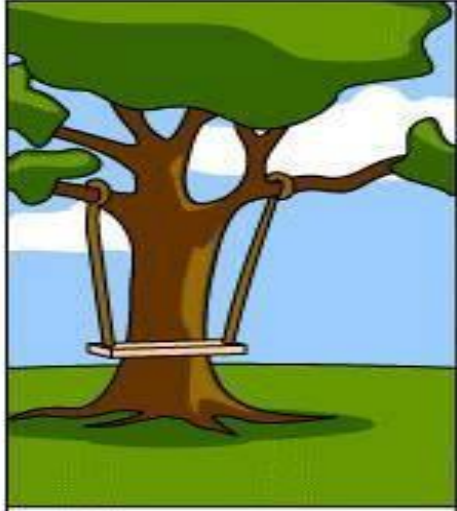
Theory of change is an articulation of how and why given interventions will lead to specific changes

Results monitoring is about capturing what changes take place (with evidence)

Why a Theory of Change? To avoid.....



How the customer explained it



How the Project Leader understood it



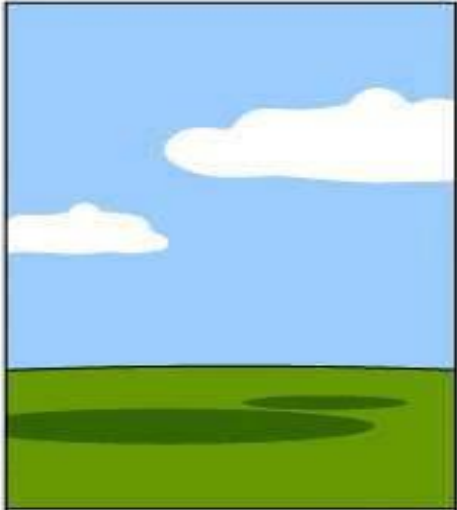
How the Analyst designed it



How the Programmer wrote it



How the Business Consultant described it



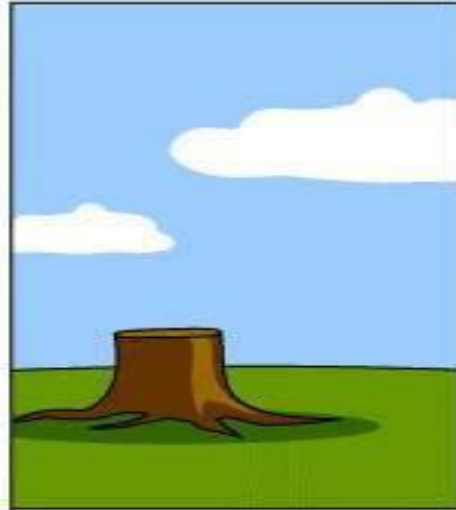
How the project was documented



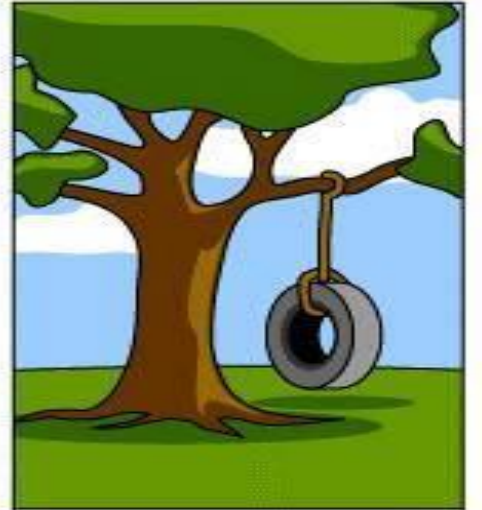
What operations installed



How the customer was billed



How it was supported



What the customer really needed

Why use a Theory of Change?

Clarity

- Make intentions and assumptions clearer
- Develop a common understanding within project team
- Clearer advocacy and communication

Approach

- Change from reactive to proactive
- Think about longer term changes
- Connect contributing factors with change
- Better focus on outcomes rather than activities

Monitoring, evaluation & learning

- Identify the most relevant outcomes and outputs
- Inform selection of suitable indicators
- Identify priorities for evaluation
- Help understand strategies that have not worked well

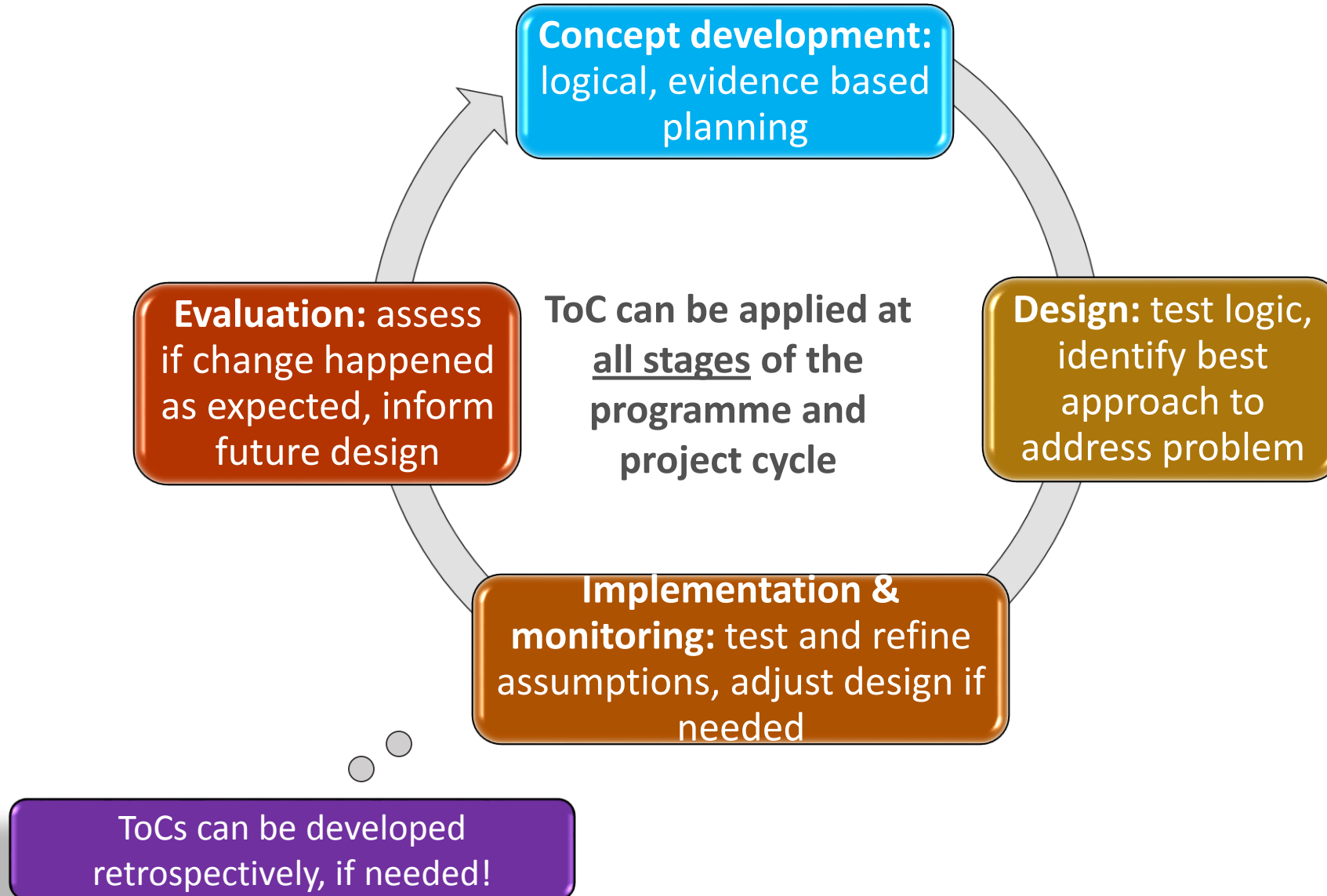
Partnerships

- Bring in others' perspectives to inform our approach
- Understand the role of other actors in bringing change
- Realize the project/programme alone cannot bring change
- Realize that there are things we do not need to do

Organization development

- Empowering: chance to discuss change in how we work
- Inform what capacity we need to deliver
- Inform and capture necessary programme adjustments

When to use a Theory of Change?



3-Step process to develop a Theory of Change

Supported by Evidence

Focus

- Identify the **Development Challenge** and **desired change**
- **Define a Problem Tree** with at least three levels of causes: immediate, underlying and root
- Be sure to reflect on causes specific to women and marginalized groups

Options

- Flip the problem tree into a **Solutions Tree**
- Apply **criteria** to select the most appropriate solution pathway(s)
- Criteria include comparative advantage, feasibility including evidence of what works and cost-effectiveness, anticipated resources, risk and sustainability

Elaborate

- Elaborate selected solution pathway with fuller details of the specific
- Detail **assumptions** and **risks** at each stage
- **Present** the theory of change in the narrative and via a diagram

Creating a Theory of Change

- Identify the development challenge that GoB aspires to tackle (based on the current situation of deprivation, inequity, disparity, vulnerability) and the desired change.
- Draw from 7th FYP; Vision for 2030 Agenda; SDGs;

DESIRED CHANGE

Current Situation of Deprivation and Inequity (the development challenge that UNDP aspires to tackle)

How to develop a Theory of Change?

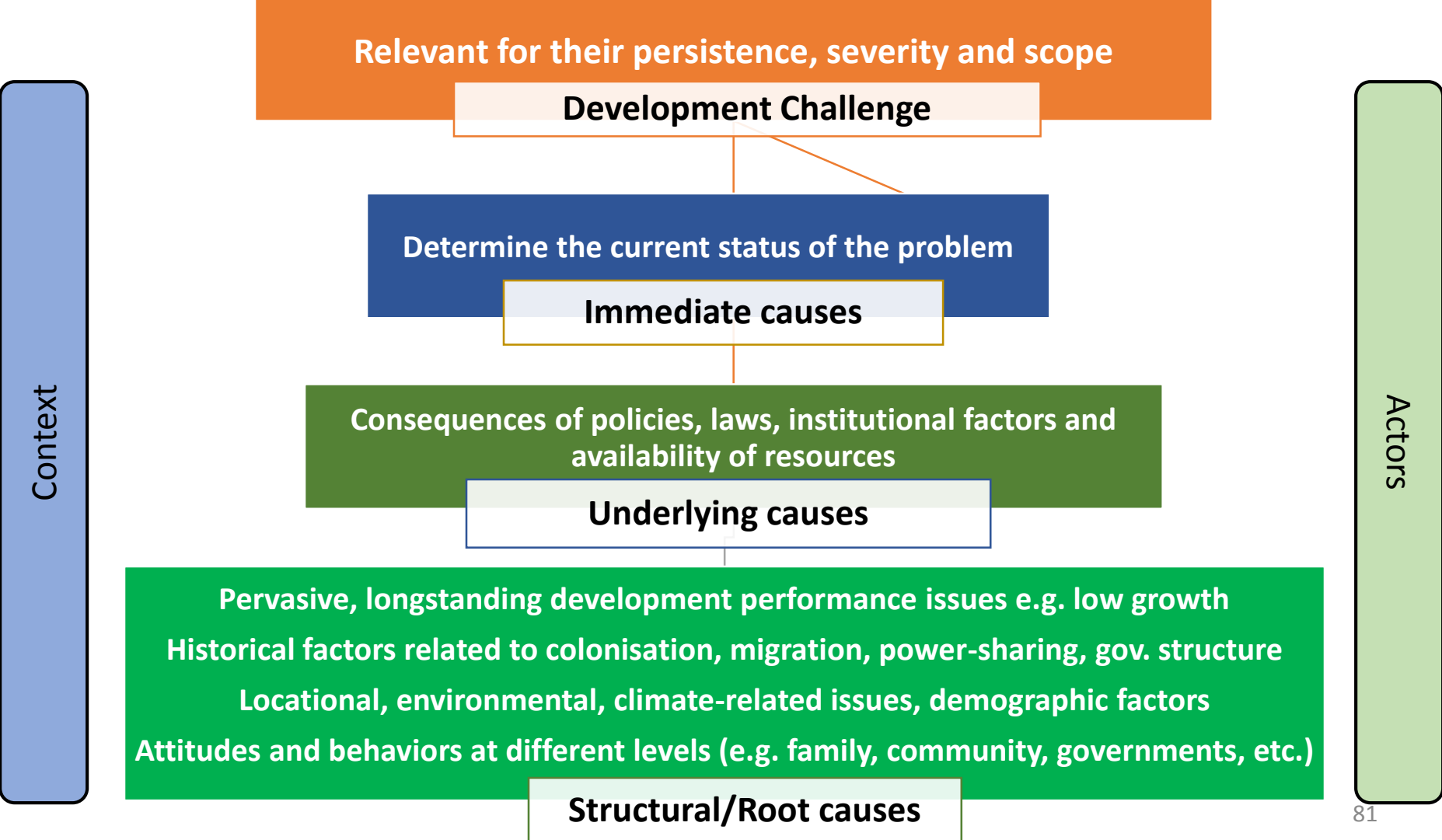
1. Context analysis
2. Problem Analysis
3. Vision and Change pathways
4. Scoping
5. “drilling down” outcomes
6. Assumptions Analysis
7. Risk analysis
8. Refining the change pathways
9. Doing a narrative to explain the pathways, assumptions, partnerships, etc.

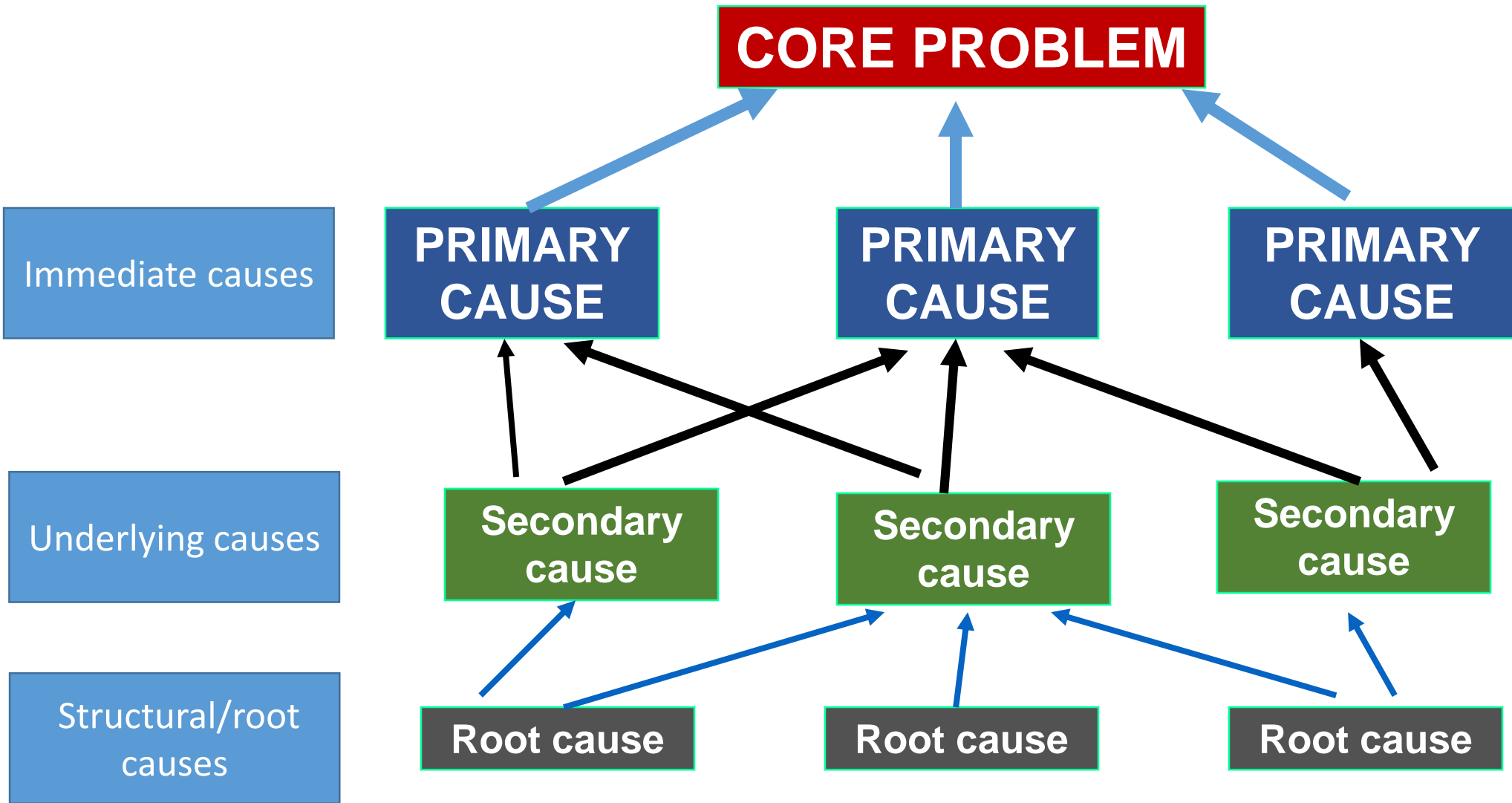
1. Context Analysis

To explore and understand better:

- Development challenges
- Local, country, regional and global context and political, socio-economic, cultural, legal, contexts
- Frameworks influencing and driving development discourse and directions: SDGs, Agenda 2030, National Strategies, National development plan, sector plans and policies, perspective plans for sectors
- Development finance: its context, priorities, policies, possibilities
- Other interventions (e.g. national programs) and other development actors

2. Problem analysis





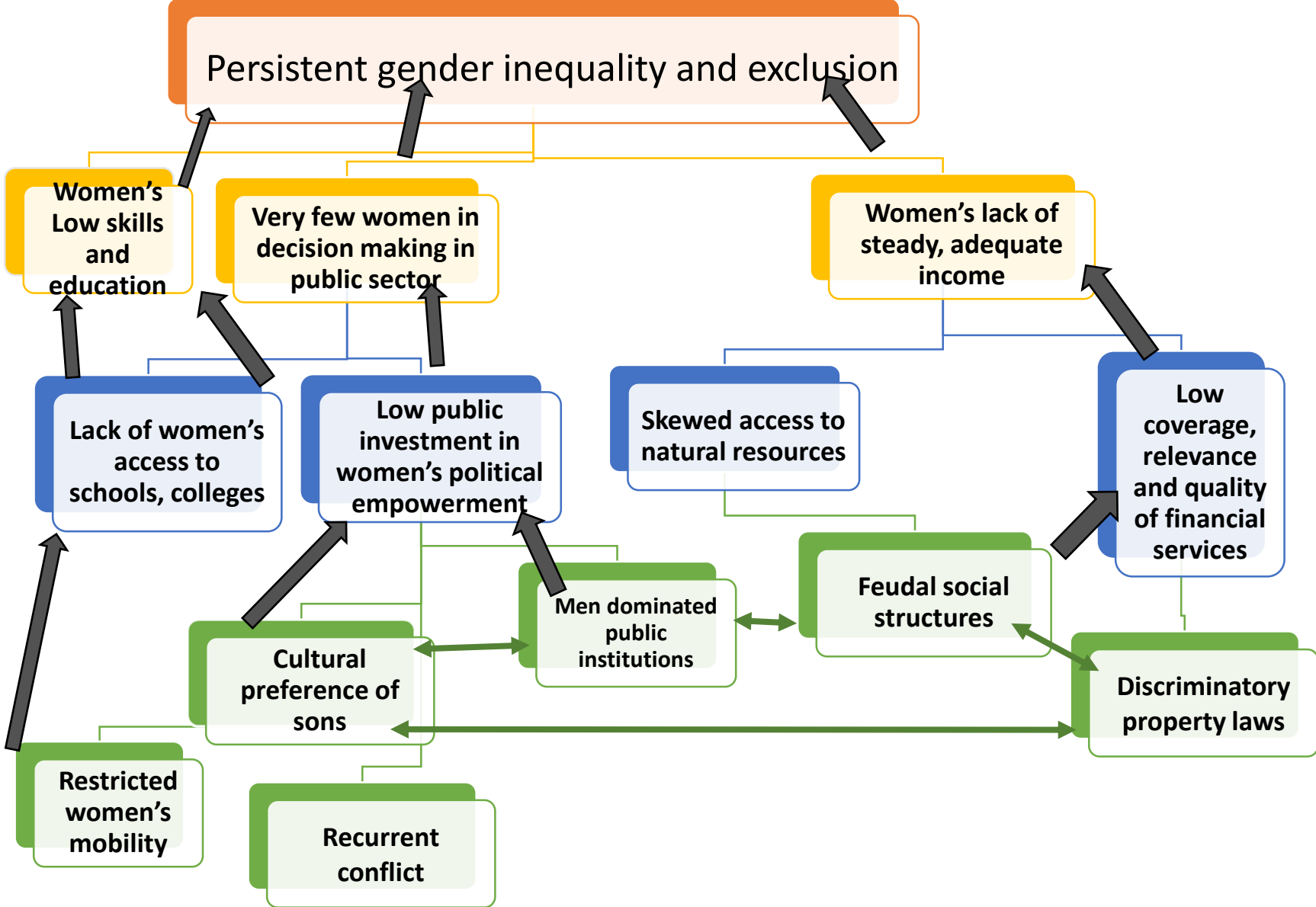
Example: Problem tree

Development challenge

Immediate Causes

Underlying Causes

Structural/Root Causes



3. Vision and Change (solution) Pathways: what needs to change?

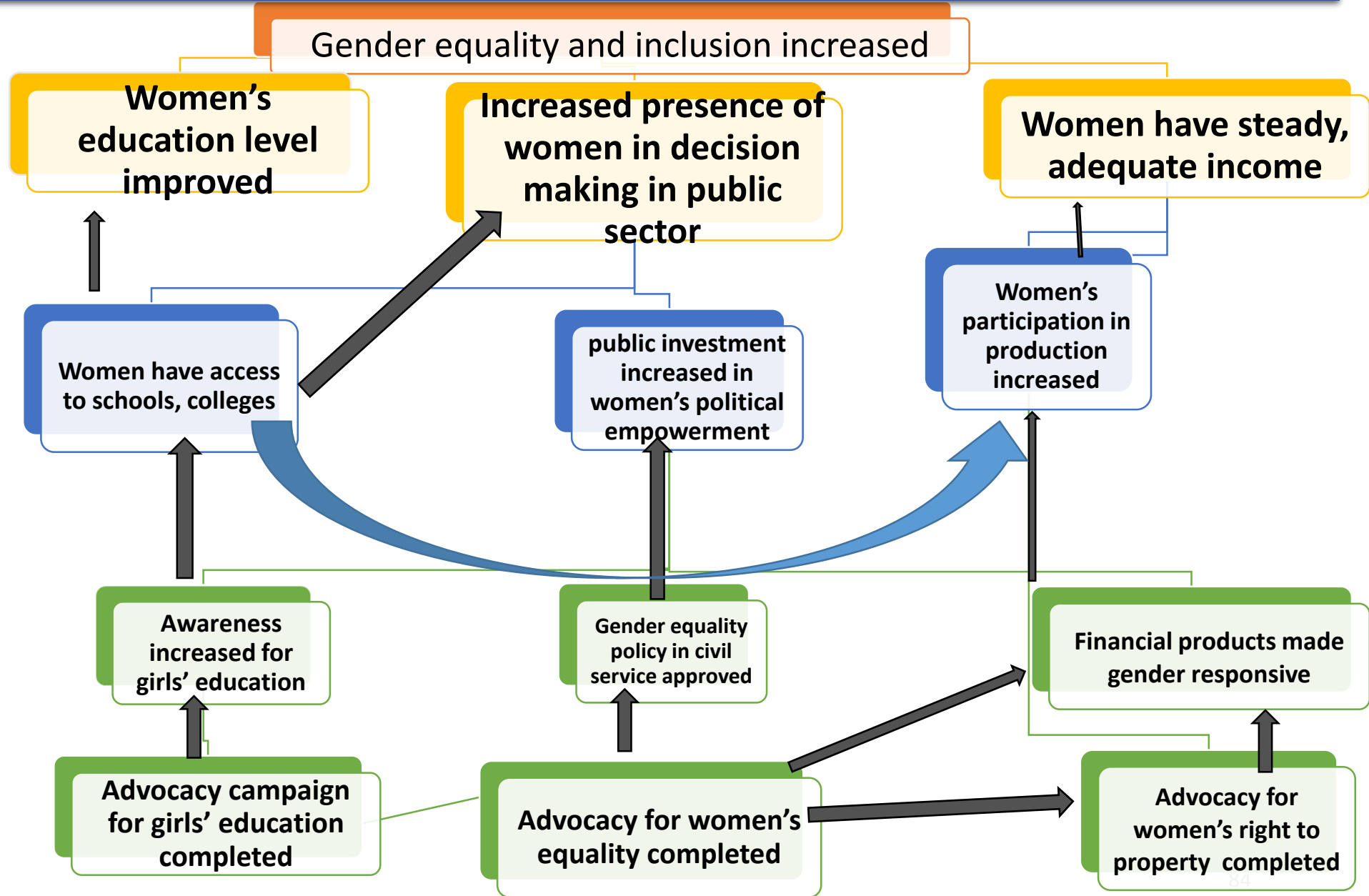
Development Change

Long-term Change

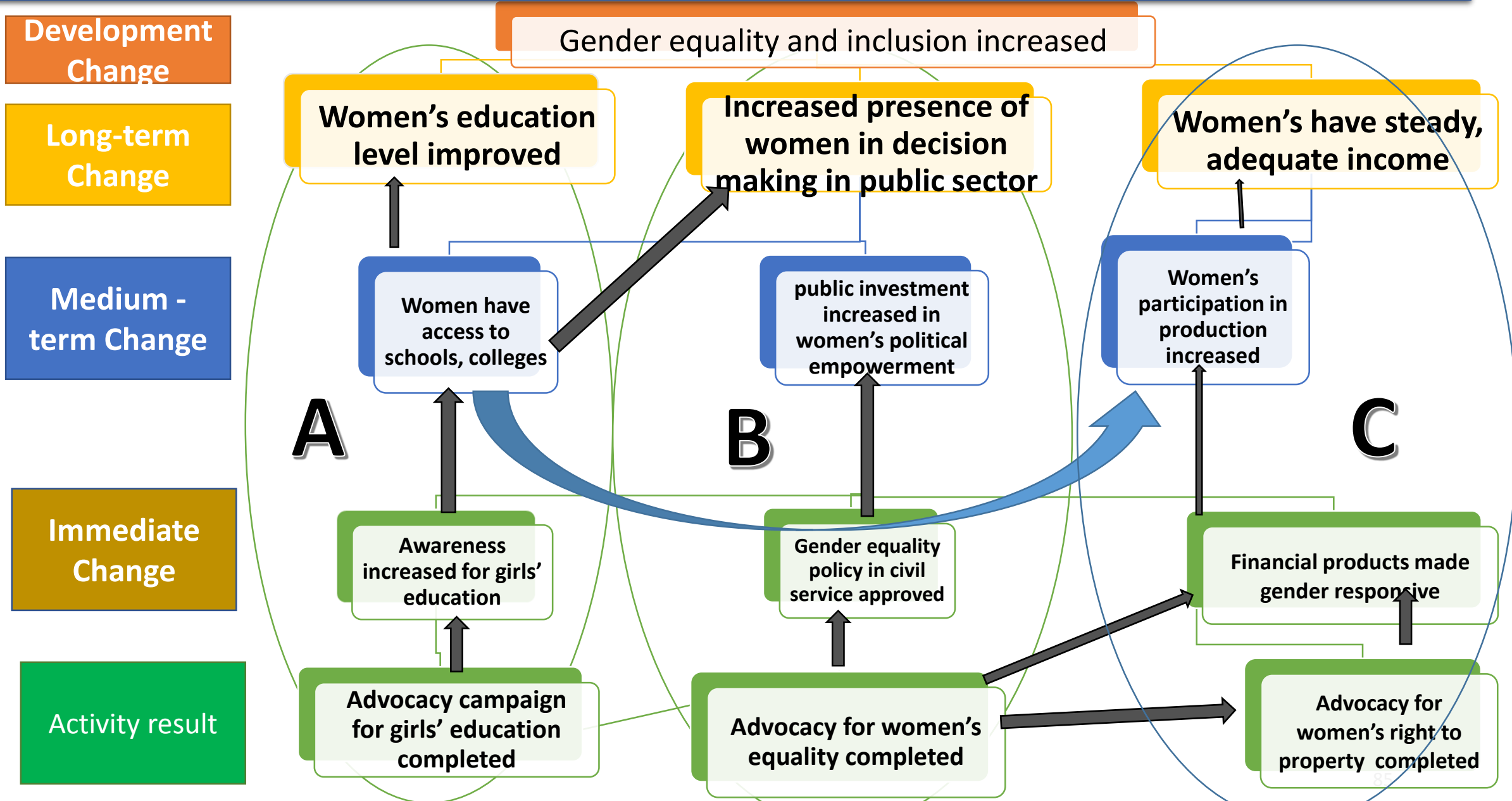
Medium-term Change

Immediate Change

Activity results

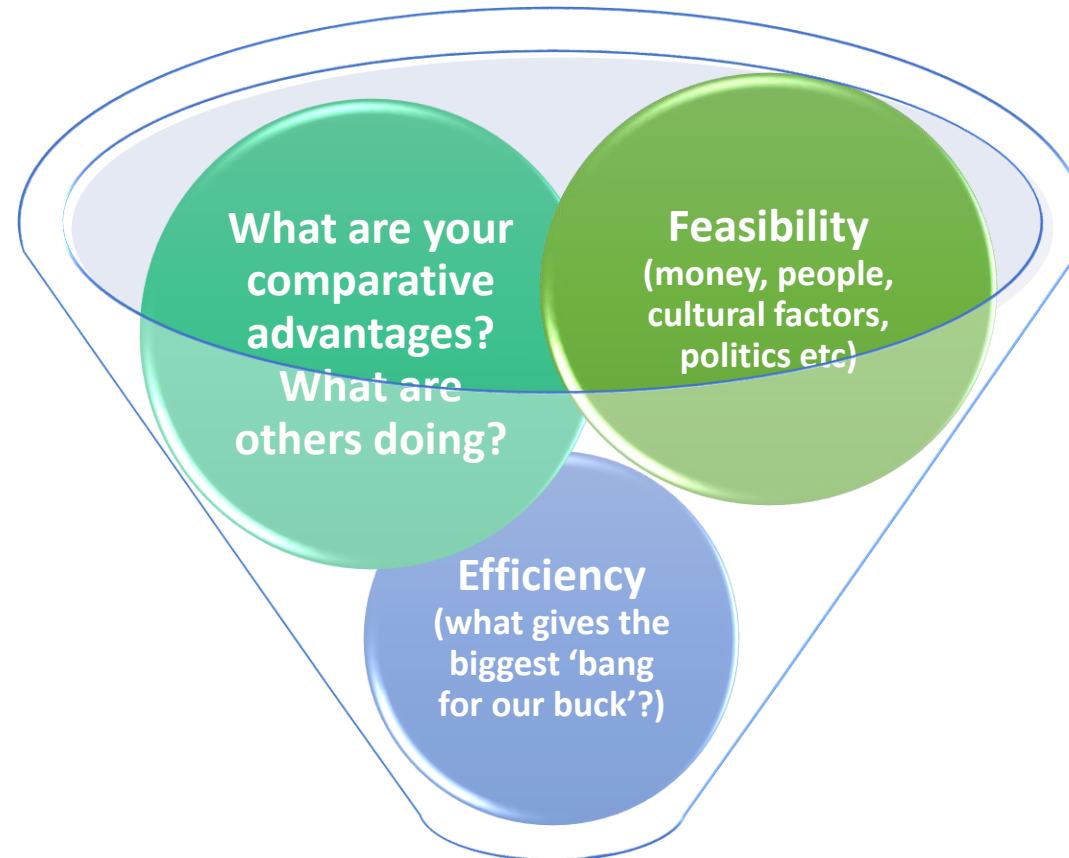


Solution Pathways: A, B and C



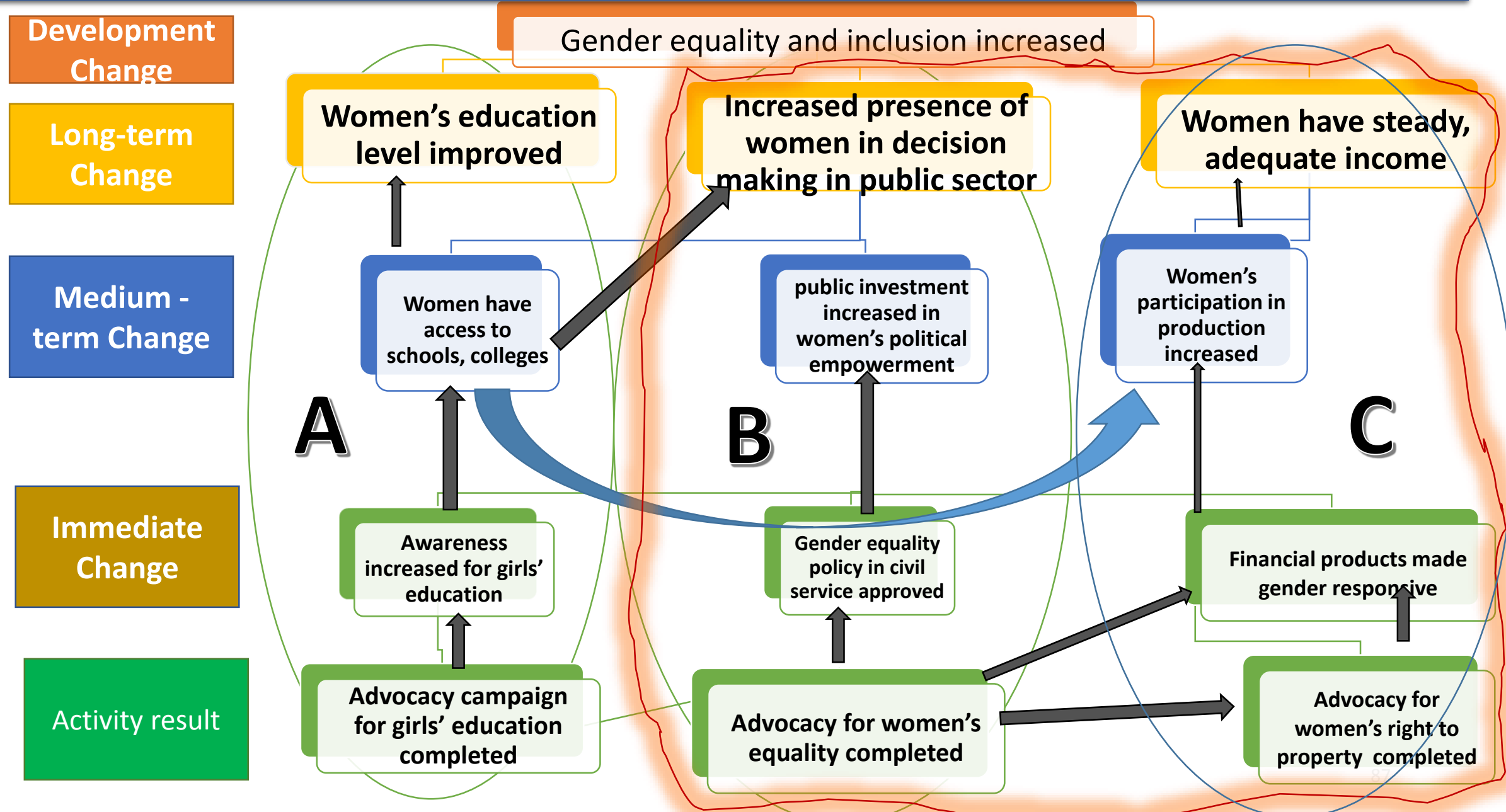
Selecting Solution Pathways – applying criteria

A, B or C?

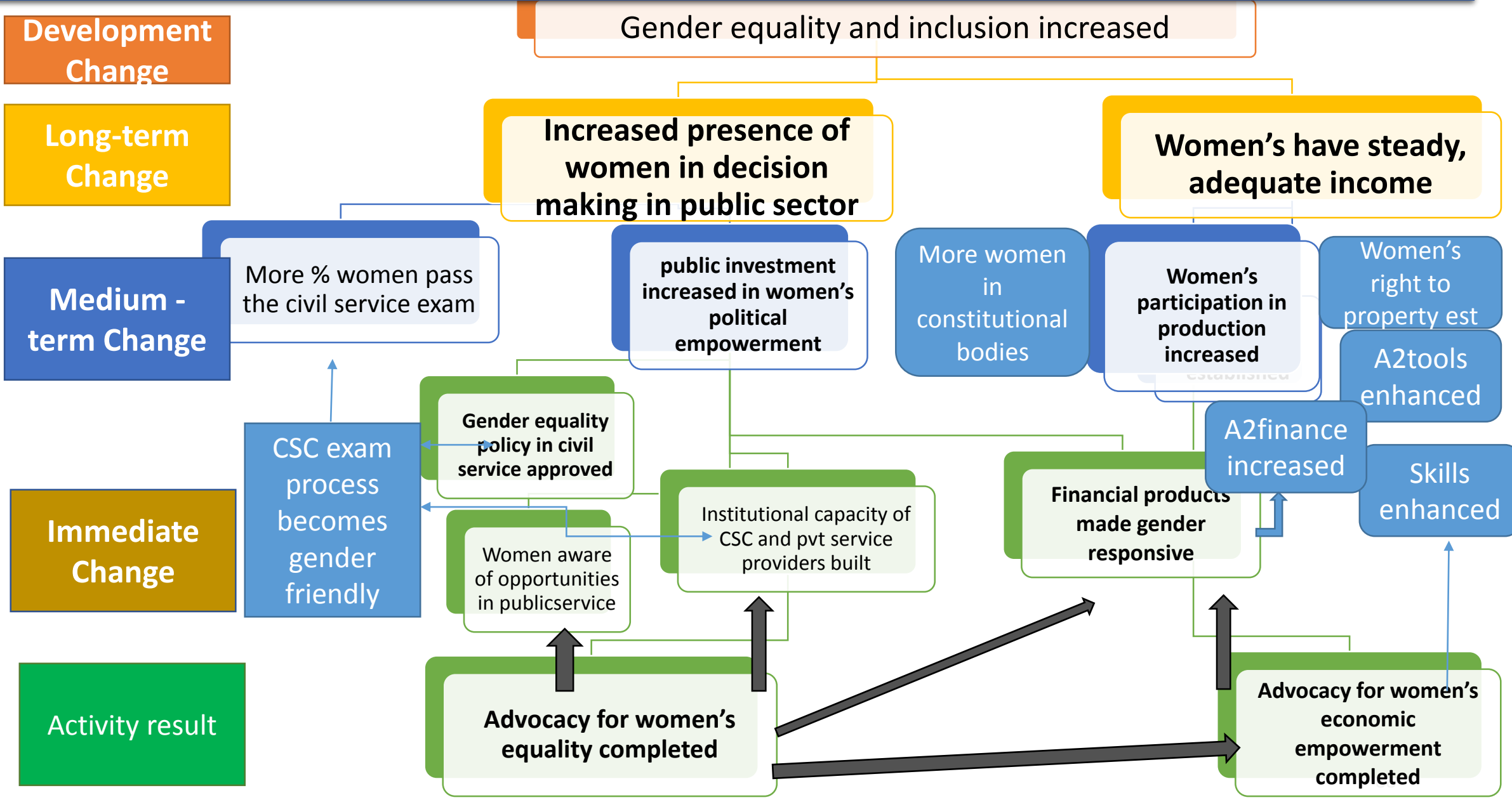


B & C

4. Scoping: What is UNDP's scope of work and Solution Pathways?



5. "Drilling down" outcomes



Assumptions Analysis

- Assumptions are underlying **necessary conditions**, beliefs, values, or resources that need to exist for planned change to occur
- Normally **unquestioned or taken for granted**, as believed to be true
- Can help to **question the change pathways and outcomes identified**
- Can help **identify additional outcomes or refine the original ones**
- **Context-specific**
- Usually **implicit** in programme design but ToC demands to make them explicit

Types of Assumptions in ToC

1. Assumptions about *causal links* between each result in a theory of change

If we organize vocational training to unemployed youths, they will gain higher-paid employment.

Assumption: Jobs are readily available for trained youths; youths will be motivated to attend the training;

Choosing assumptions that matter

- **Most critical to success** – They must be valid for expected results to happen (focus the design process and monitoring on these ones)
- Have the **highest risk of being invalid** with severe consequences
- Key issues or areas of **concerns to implementers** and stakeholders
- Are **the least clear, most contested**, and/or need to be examined to reduce misunderstanding (explore how to fill knowledge gap or need to adapt the plan)

When assumptions turn out to be invalid, potential risks emerge that hamper the achievement of results

Example from a project document

Increasing access to financial services (e.g. micro loans, insurance, etc.) will help poor and marginalized women to establish and build their micro-enterprises and move out of poverty.

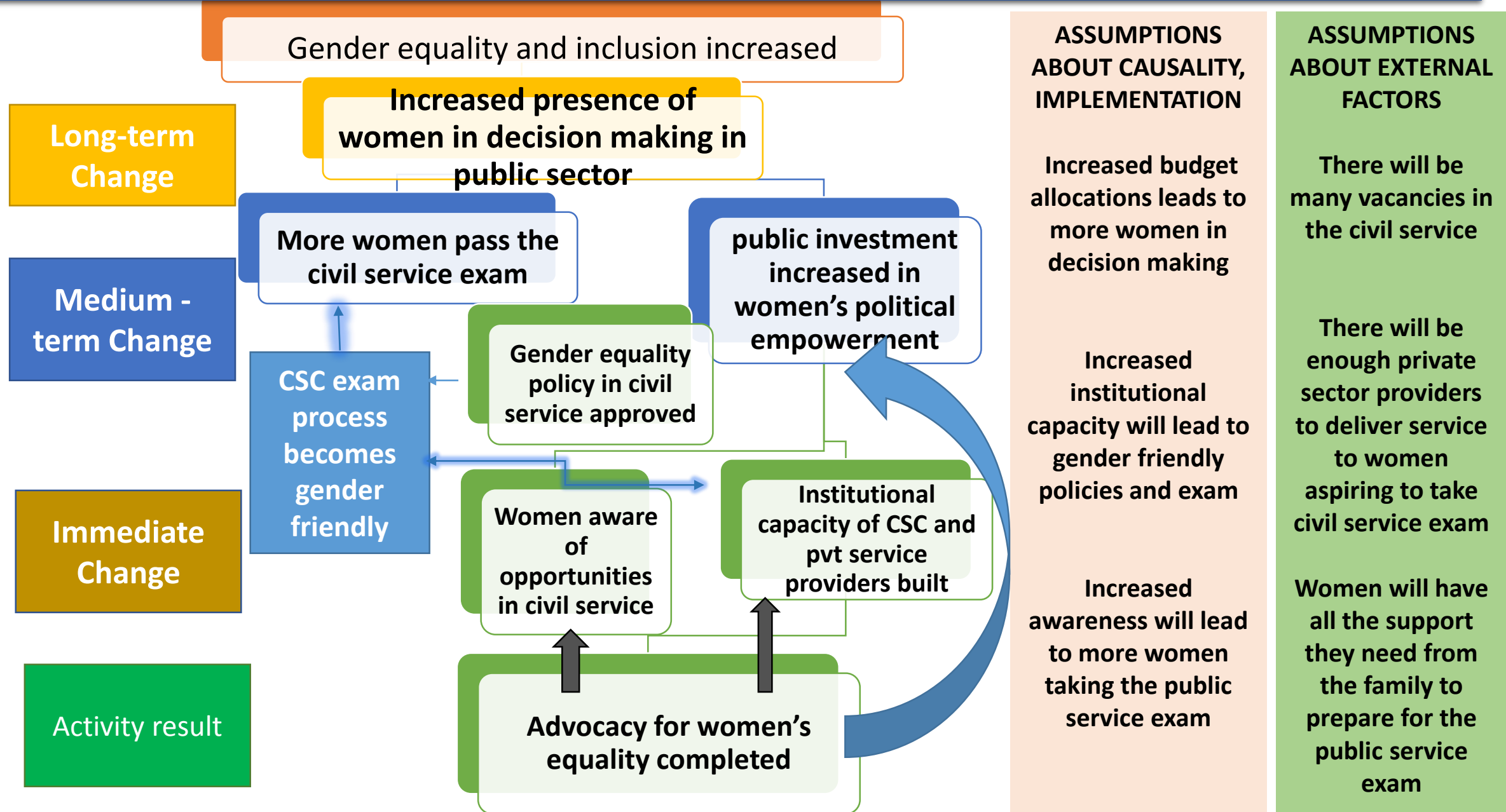
What are the assumptions?

Likelihood of the assumptions being invalid?

Consequences to the program?

Can the consequences be mitigated?

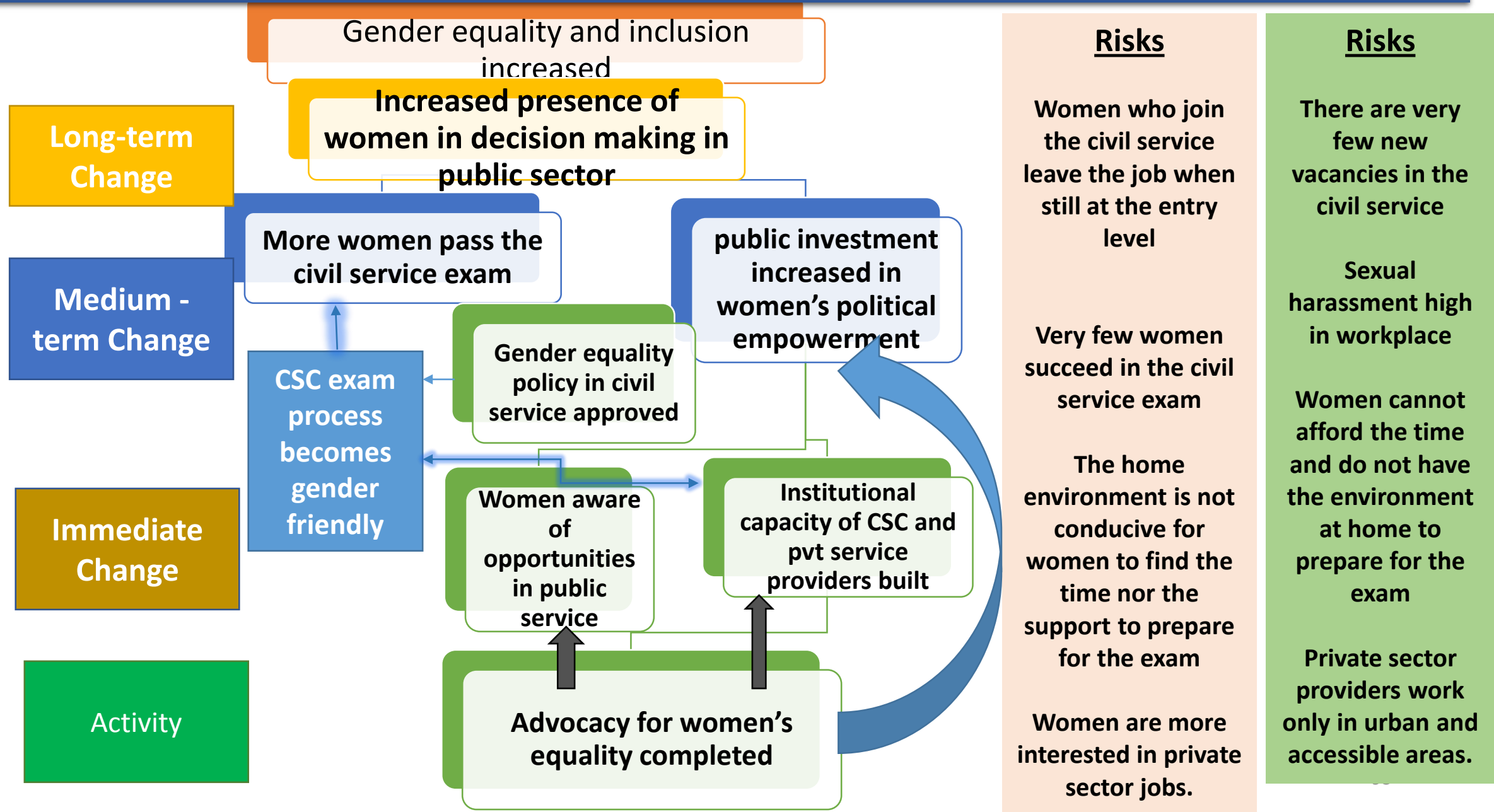
6. Assumptions Analysis (“if” → “Then”)



7. Risks Analysis

- A potential event or occurrence beyond the control of the program that could *adversely affect* the achievement of the desired results; ***A threat to success***
- Context specific, based on:
 - Country analysis
 - Situation Analysis
 - Lessons learned from previous programs
- A trigger for reconsideration of strategic direction
- Ask the question “what happens if the assumptions become invalid?” These pose risks and break the solution pathway.
- Identify the external/internal risks (e.g. external environment, internal capacities, etc.)
- Is there anything that can be done to mitigate the risks? If so, add those mitigation measures in the form of new solutions in the solution pathways.
- If a risk is too high and will impact the result logic, think of alternatives, bring down the result level, etc.

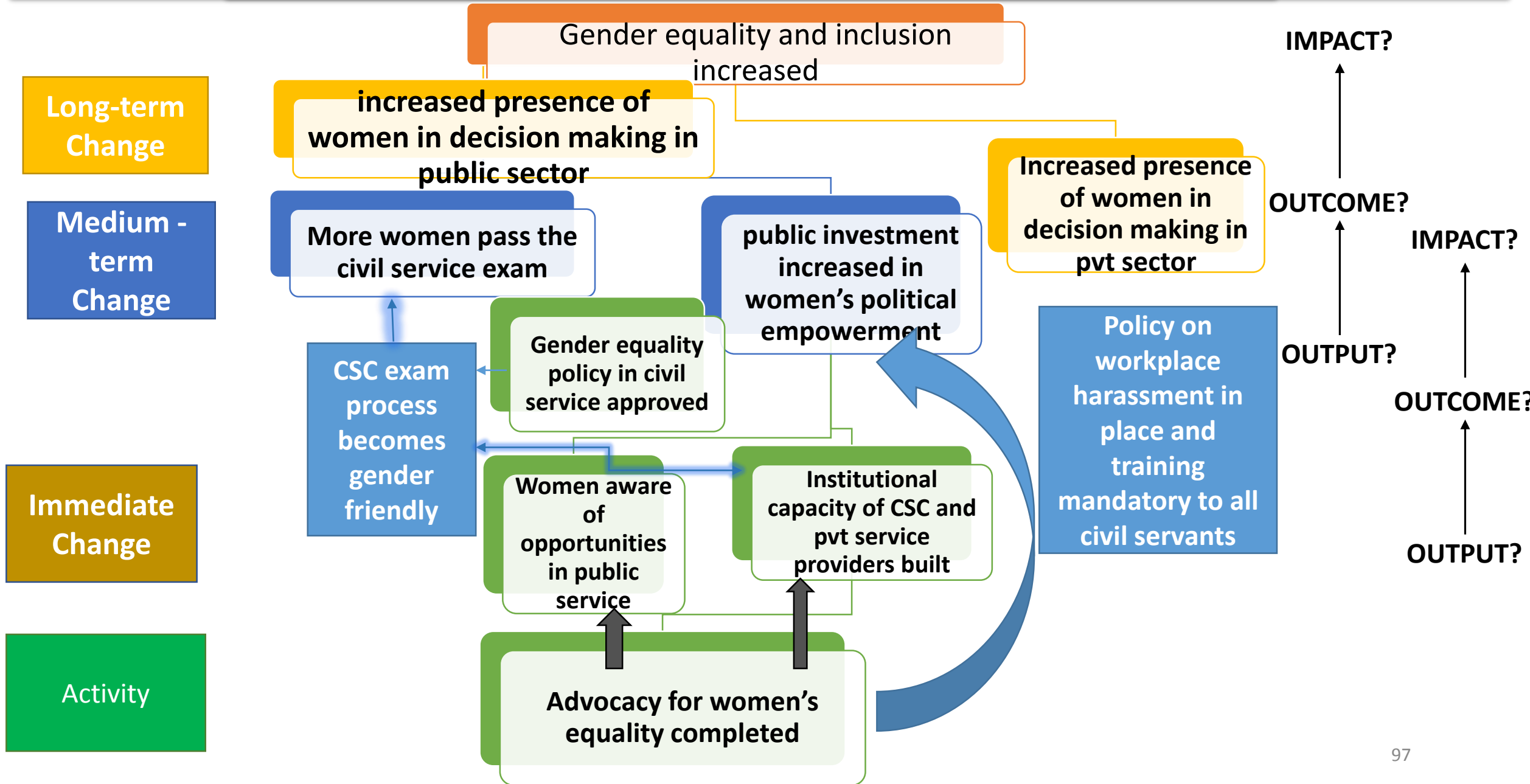
7. Risk Analysis



7. Risks Analysis

What is the risk?	Risk Category (financial, political, operational, organizational, environmental, regulatory, security)	Likelihood of risk (scale of 1 to 5 with 5 being the most likely) A	Impact of risk (scale of 1 to 5 with 5 being the highest impact) B	Risk Factor = A X B	Action to be taken (mitigation actions, add new activities, make changes in result pathways)
Very few vacancies in the civil service	Organizational	5	5	25	Lower the result level? Focus on enabling the environment?
Sexual harassment in the work place	Organizational, regulatory, security	4	5	20	Work on policy changes for zero tolerance, support to establish grievance procedures, make it mandatory for all civil servants to pass a training, etc.
Women are more interested in private sector jobs	Environmental (market)	3	5	15	Rephrasing the result to include women in decision making in private sector?

8. Refine the ToC or change pathways



9. Stakeholder analysis (at various results levels)

Beneficiaries	Possible opponents	Implementing agencies	Decision makers	Supporters	Funding agencies
<ol style="list-style-type: none"> 1. Mothers' groups 2. Community groups (men and women) 3. Women 4. Men 5. Children 6. Community 	<ol style="list-style-type: none"> 1. Community members who want to hold on to the status quo 2. Men who perceive that their job security will be threatened 3. Male bureaucrats in the civil service 	<ol style="list-style-type: none"> 1. CBOs 2. Community radios 3. Youth groups 4. Women's groups 5. NGOs 6. Local government 7. Ministry of Women 8. Ministry of general administration 9. National women's Commission 10. Civil Service Commission 11. National Planning Commission 12. Parliamentary committees 13. Political leaders 14. National Reserve Bank 15. MFIs and Banks 16. UNICEF, World Bank 17. Ministry of Education 18. UN women 19. Other UN agencies 	<ol style="list-style-type: none"> 1. Parliament 2. Ministries 3. National Planning Commission 4. National Reserve Bank 5. Political leaders 6. Donors 7. ERC 8. GED 9. Local Governments 	<ol style="list-style-type: none"> 1. Rights Activists 2. Media 3. CSOs 4. Political leaders 5. Bureaucrats 6. Donors 7. Government 8. Ministries 9. Business Service providers 10. Skill trainers 11. MFIs 12. Tools suppliers 	<ol style="list-style-type: none"> 1. Donors 2. Government 3. Private sector 4. UNDP HQ

6. Stakeholders analysis: Influence and Importance

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Group 1: High importance/Low influence stakeholders

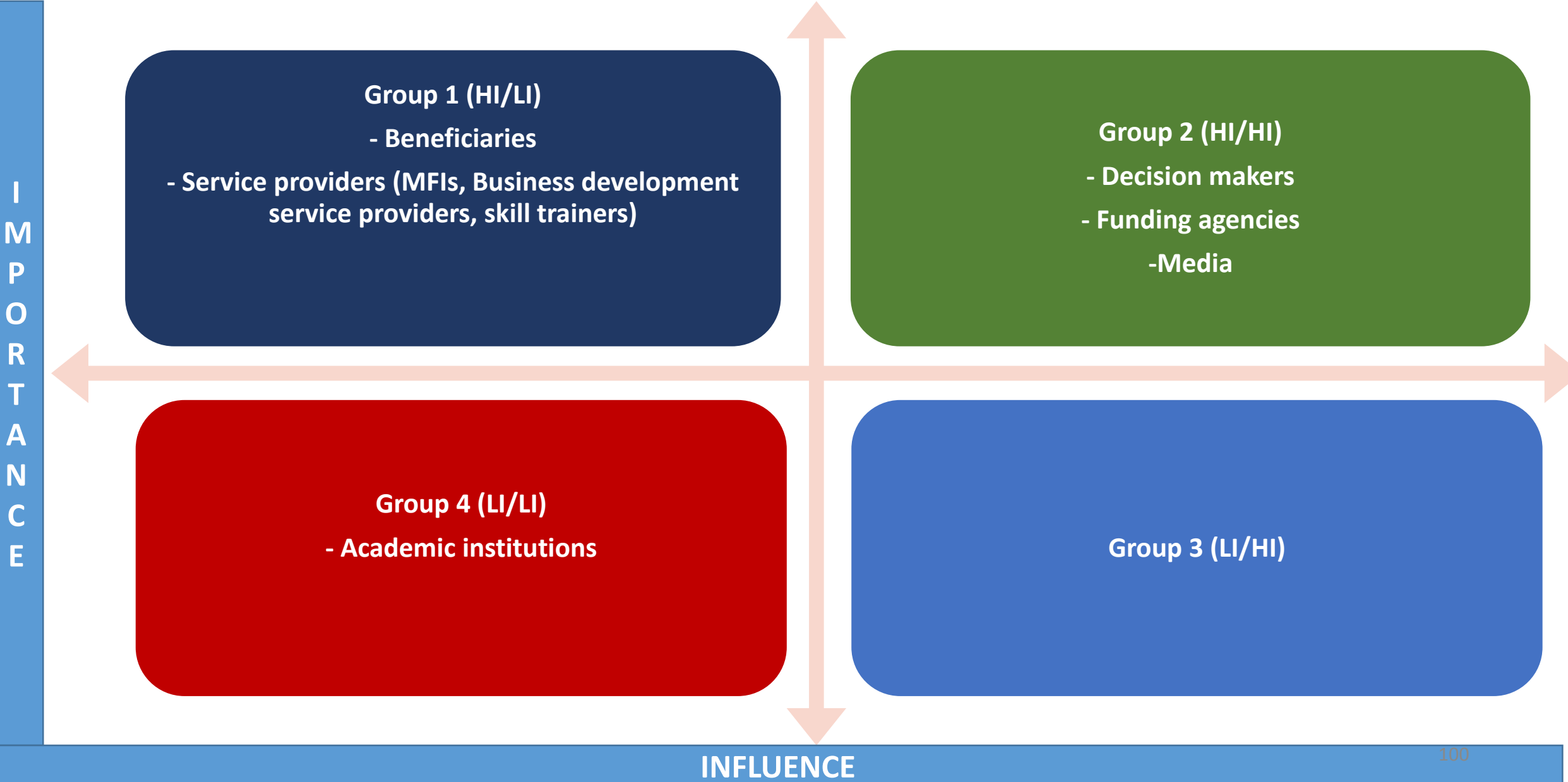
Group 2: High importance /high influence stakeholders

Group 4: Low importance /low influence stakeholders

Group 3: Low importance/high influence stakeholders

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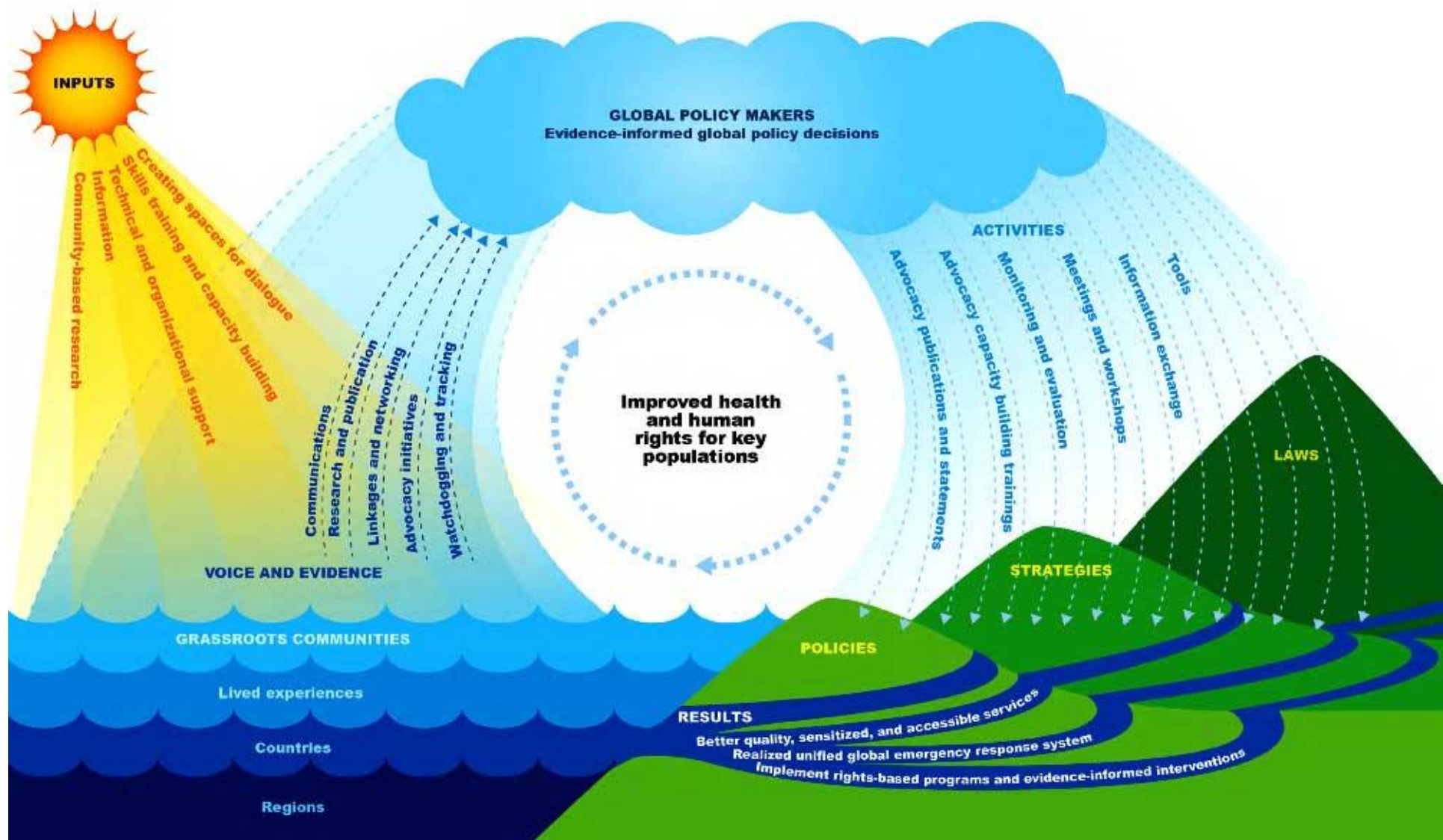
Who are important and influential for your project/programme?

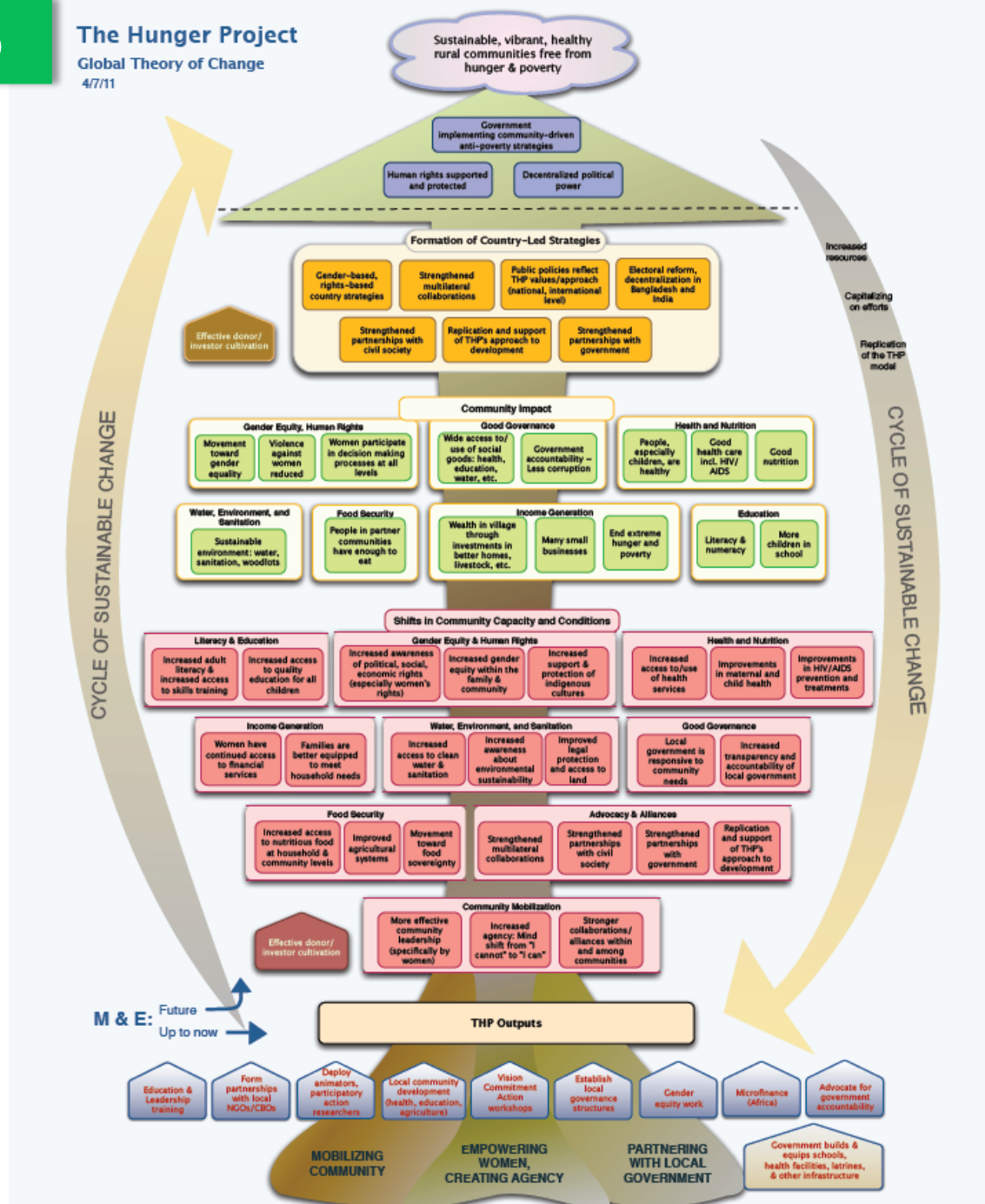


Visualization of ToC

- To help explore ideas, understandings, perspectives and assumptions
- To come back to it and refine/revise further
- To help to cultivate common understanding of the development challenges and changes to be brought about
- To communicate to those who were not involved in the ToC process
- Visualization can take any form and does not have to be neat and beautiful—draw, put metacards on the floor and connect them, use a computer software, write on newsprint, etc.

Broad and shallow





Focus on the following

Objective: Elaborate the solution pathways to contribute to the desired development change (and intermediate changes):

1. Are these solutions sufficient to contribute to the long-term desired change?
2. Did we miss anything? Is there any other possible solution to be added?
3. Are the sequencing of the solutions explicit, i.e. are the “if-then” relationships clear?
4. Has the solution pathway considered issues of gender equality and women’s empowerment, marginalized groups’ empowerment,
5. Has the solution pathway considered issues of resilience and fragility?
6. Have you applied an issue-based integrated approach to the solutions?
7. Who are the target groups?

The 'Who's – Leave No One Behind Matrix



Primary basis for being left behind
Identity
Political and economic exclusion
Shocks and fragility
Target Groups
Extreme Poor (below \$1.90 / day)
Poor
Unemployed / Under-employed
Women / girls
Youth aged 15-24
Elderly
Displaced
Indigenous
Minorities (e.g. race, ethnicity, religion)
People living with HIV (PLHIV)
Persons with disabilities (PwD)

Development Context
NCC
H-MIC
MIC
LIC
Disaster affected countries
Conflict affected countries
Countries in protracted crisis
Countries/regions affected by cross-border spillover effects
Geographic
Urban
Rural
Other

LNOB Matrix helps all parts of the organization identify target groups for each output (SP, GP, RPs and CPs) and design indicators for monitoring

Lunch Break

Introduction to Indicators

- Introduction
- Characteristics of indicators
- Developing indicators



Why are indicators important



Result = Change

*To know whether the change is happening
or going to happen, we need to be clear on
what **change** we want to see*

Concept

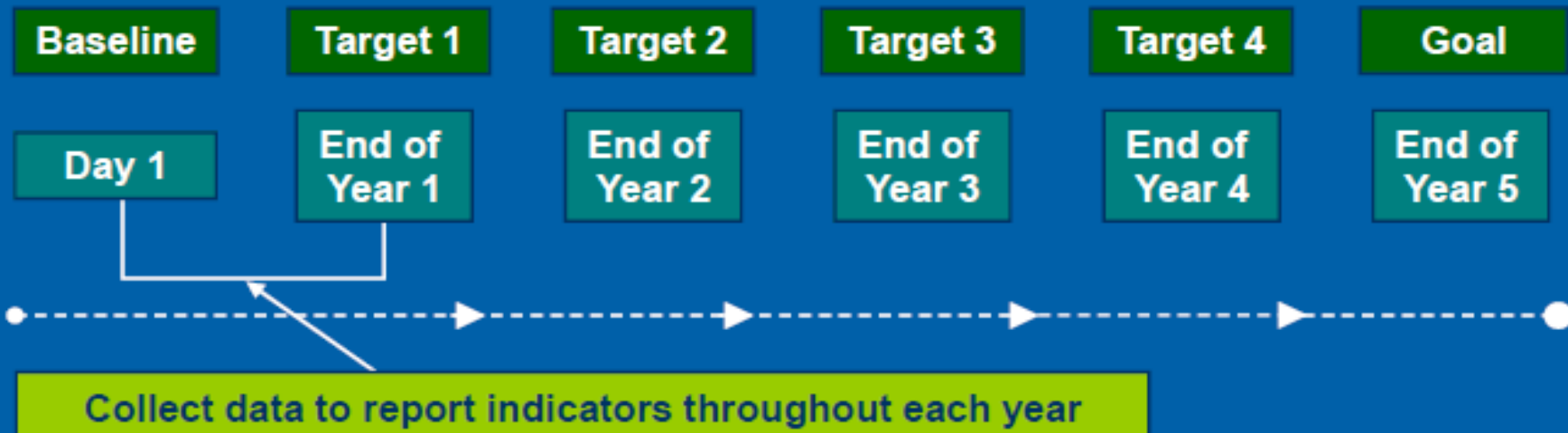
- An *indicator* is a **measure** that is used to show **change** at different levels of results – impact, outcome and output.
- We can measure **Changes in the process** – measuring deliverables or preconditions for further changes (e.g. The extent to which the national dialogues on the new National Development Plan is inclusive).
- And we can measure **Changes in the result** – measuring whether completed activities bring out intended changes (e.g. The extent to which the new National Development Plan is inclusive)

Use of indicators

- **Clarify the scale and scope of a result** in the results framework
- As a **project management tool** for the team to make informed decisions about the project including the need for course correction
- To **orient the staff** towards achieving results
- To **provide credible evidence** of the change or lack thereof
- Provide a **reference point** for program planning, management, and reporting
- Allow you to **assess trends and identify problems**
- Can act as **early warning signals** for corrective action

Questions to ask

1. Where are we now?	Baseline
2. Where do we want to be in X years?	Goal
3. What are the annual milestones we want to achieve to get to the goal?	Annual Targets
4. How will we know if we are making progress toward our targets and goal?	Indicators



Characteristics of Good Indicators



Empowered lives.
Resilient nations.

CREAM	SMART
C – Clear : Precise, unambiguous	S – Specific:
R – Relevant : Can provide meaningful indication when the result is achieved or on track	M – Measurable
E – Economic : Data available at reasonable cost	A -- Adequate
A – Adequate : Provide a sufficient basis to assess performance	R --Realistic
M – Monitorable : Amenable to independent validation	T--Timely

Criteria to Select Good Indicators

- **Programmatically relevant:** linked to a change or to achieving the objectives that are needed for the change
- **Valid:** accurate measure of a behavior, practice or task
- **Reliable:** consistently measurable in the same way by different observers
- **Precise:** operationally defined in clear terms; vague indicators lead to confusion and several interpretations.
- **Measurable:** quantifiable using available tools and methods
- **Timely:** provides a measurement at time intervals relevant and appropriate in terms of program goals and activities
- **Simplicity:** indicators should be easy to use, understand, and collect data on
- **Disaggregation:** need of breaking down data by age, sex, ethnicity, socio economic groupings etc. in order to measure discrimination and inequalities

Key elements of an Indicator

- **A unit of analysis** – qualitative or quantitative – Number of .., percentage of.., extent to which...
- Detailed description of **what to be measured**
- **Baseline** – where are we now?
- **Target** – how far do we plan to go? How much change is enough?

Number of civil society organizations with mechanisms for ensuring transparency and accountability

Baseline: 10 in 2016

Target: 20 in 2020

Gender sensitive indicators

- Measure results specific to women and men
- Monitor how interventions benefit (or not benefit) men and women differently
- Uncover gender-related inequalities
- Collect gender-sensitive data that could drive social and policy change towards gender equality
- Measure gender-related changes in society over time

Baseline

Example:

A project attempts to increase wider access to education. School enrolment was selected as an indicator for access to education. At the end of the project in 2015, school enrolment reached 80%. Was the project a success?

Answer: We don't know what the situation was at the beginning of the project.

Definition:

A baseline is the situation before a programme or activity begins; it is the starting point for results monitoring. Without a baseline, effective monitoring is mostly impossible.

Targets

Example:

A project has resulted in a decrease of human rights abuses from 150 per year at the beginning of the project to 30 per year at the end of the project. Was the project a success?

Answer: We don't know. A target should have been set at the beginning of the project.

Definition:

A target is the value that an indicator is expected to reach by a particular date.

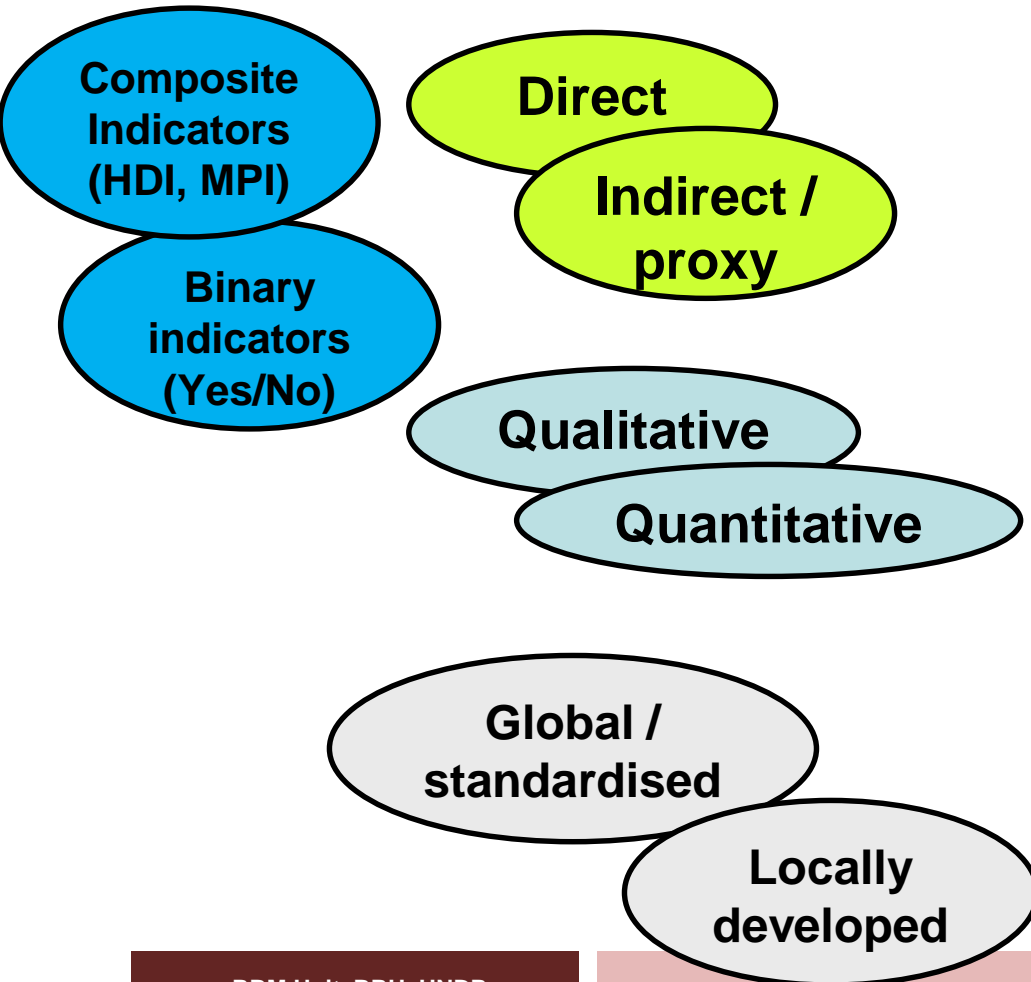
An agreement over targets needs to be reached before project implementation starts.

Target setting is usually a valuable exercise to ensure that various stakeholders have a similar understanding of the objectives of the project.

Types of indicators

Indicators exist in many different forms:

Examples?



- **Direct indicators** correspond precisely to results at any performance level.
- **Indirect** or "**proxy**" indicators demonstrate the change or results if direct measures are not feasible.
- Indicators are usually **quantitative measures**, expressed as percentage or share, as a rate, etc.
- Indicators may also be **qualitative observations**.
- **Standardised global** indicators are comparable in all settings (e.g. MDG & SDG indicators; HDI)
- Other indicators tend to be context specific and must be **developed locally** (e.g. National poverty line)

Measuring the “intangible” results

Measuring women's empowerment in one community

Proxy Indicator: Ability to make larger purchases

- One point for purchasing pots and pans
 - Two points for children's clothing
 - Three points for saris for oneself
 - Four points for buying the family's daily food
- + One additional point for each purchase that was made as least in part with money earned by the respondent

A respondent with a score of five or better was classified as “empowered” and coded as one

Qualitative Indicators

Examples

- Level of
- Presence of
- Evidence of
- Availability of
- Quality of
- Accessibility of
- Existence of
- Sustainability of
- Improvement of
- Ability to (e.g. skills)
- Potential of

Qualitative indicators

- Qualitative statements
- Measure perceptions
- Measure attitude, behavior

Reflect people's judgments, opinions, perceptions, and attitudes towards a given situation or subject. Qualitative indicators can indicate changes in sensitivity, attitudes, satisfaction, confidence level, understanding, awareness

Quantifying Qualitative Indicators

Qualitative indicators can be turned into quantitative data if answers are categorized and correctly coded

The extent to which disaster risk management plans are gender responsive
Baseline: Rating 1 (not adequately) in 2013
Target: Rating 3 (Moderately) in 2017

Based on rating scale of 1 – 4 (Not adequately, partially, moderately, largely)

Rating criteria based on:

1. Provision of sex-disaggregated collection and analysis
2. Inclusion of gender awareness, sensitization, and advocacy
3. Inclusion of budget to address specific gender issues in disaster risk management

Quantitative indicators



Empowered lives.
Resilient nations.

Examples

- Number of
- Proportion of
- Percentage of
- Amount of
- The ratio of
- Length of distance
- Weight of
- Size of
- Areas of/spread of
- Value of

• Quantitative indicators

- Should be reported in terms of a specific number (number, mean, or median) or percentage.
- Assessing the significance of an outcome requires data on both number and percent.
- Sometime ratio is used to assess the significance of a number (e.g. ratio between female and male participants in a training)

Binary Indicators

Binary indicators are normally used:

- to monitor the existence of key pre-conditions that are needed in order for further changes to happen.
- Factual (Yes/No) or Existence (Yes/No)
- Binary indicators should not be used as a checklist of activities that needed to be conducted.

Examples:

- Law on quota of female representation in the Parliament passed (yes/no)
- Existence of specific mechanism to facilitate the participation and inclusion of indigenous people (yes/no)

Composite Indicators

- How to measure “human development” in a country?
 - Combination of situation in education, income and health to come up with HDI
 - Combination of 10 indicators to come up with MPI
- How to measure, “Quality service at facilities”?

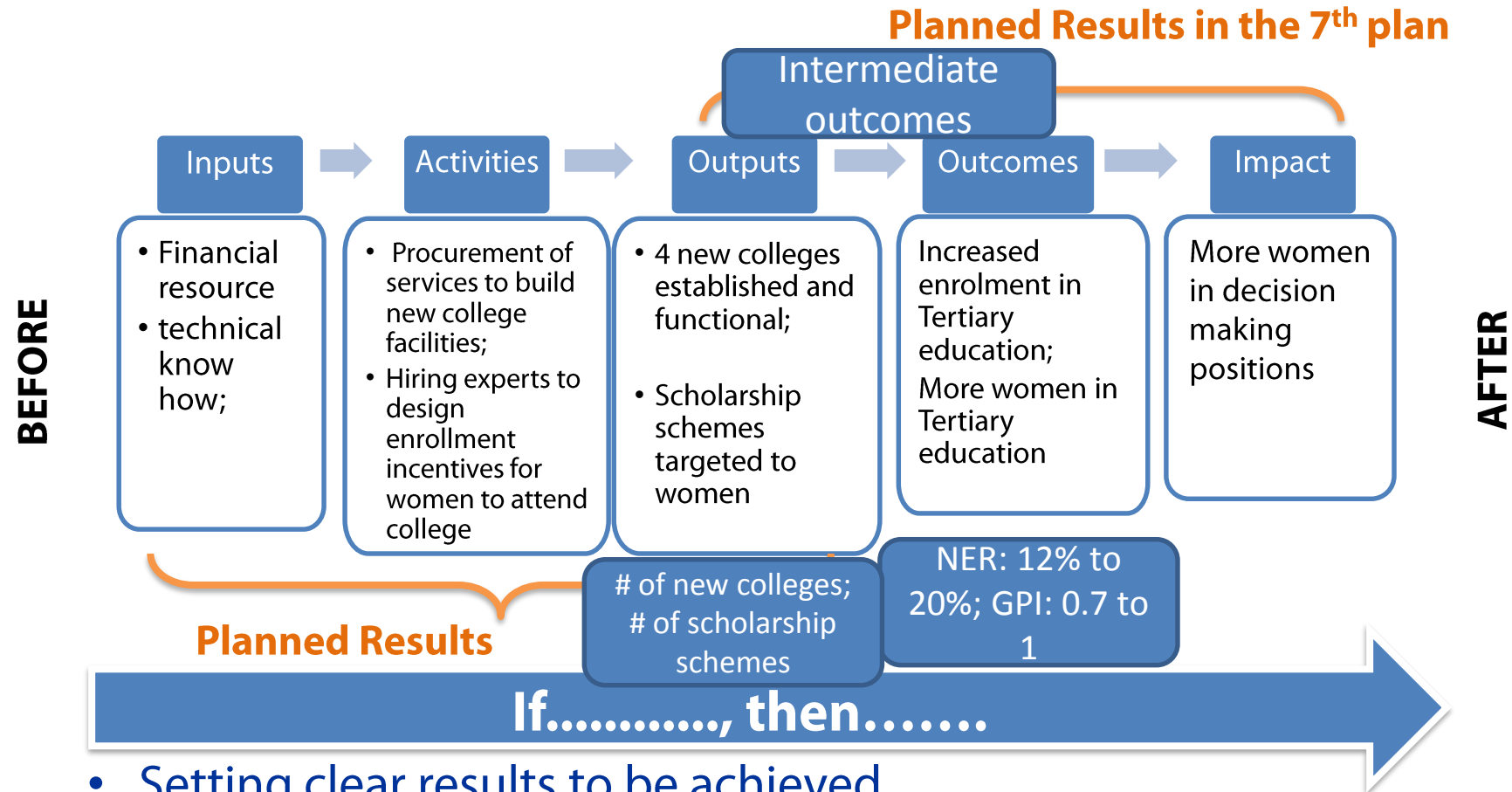
Could construct an index for various measurement options:

- Has key equipment
- Up-to-date guidelines and SOPs
- Has infrastructure
- Client satisfaction from exit survey
- Knowledge from service provider interviews
- Complex in nature: weights? Value? Interpretation?

Indicators at different levels

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

Indicators in a Result Chain



- Setting clear results to be achieved
- Cause-effect relationship throughout the result chain

Factors to Consider When Selecting Indicators

- Link to program's result logic or ToC
- Programmatic needs/information for decision making
- Resources
- External requirements (government, donor, HQ)
- Data availability and sources
- Standardized indicators
- Is baseline available or is it possible to establish it? Do we have the resources to establish the baseline and endline?

Indicator Pitfalls

Result statement: Targeted women in Naga Districts have better access to diverse livelihoods options

Indicator:

Percentage of Naga populations under the poverty line

Baseline (2013): 20%

Target (2018): 10%

The indicator is trying to measure result at a higher level than the result statement

Indicator Pitfalls

Result statement: Targeted district office staff in Southern provinces are better able to formulate results-based plans.

Indicator:

Number of staff at the targeted district offices trained in results-based management.

Baseline (2013): 0

Target (2015): 100

The indicator is measuring activity (training) rather than measuring results (from the training)

Indicator Pitfalls

Result statement: The Disaster Response Centre is better able to issue Tsunami early warning messages in a timely manner

Indicator:

Number of people saved

Number of people saved is to measure results that are at a higher level than the intended result

Indicator Pitfalls

Result statement: The government approves and effectively implements inclusive and sustainable natural resource management policies

Indicator:

Policies and institutional structures in place

Baseline: No overarching sustainable natural resource management policies

Target: Sustainable natural resource management roadmap launched

Unclear indicator
Qualitative indicator should come
with prescribed measurements

7th plan Outcome/Output

Indicator:

Description

Precise definition(s):

Numerator:

Denominator:

Unit of measure:

Geographic coverage:

Disaggregated by:

Baseline/Targets

Baseline:

Target:

Plan for data acquisition

Data collection method and timing:

Data source:

Agency and unit responsible:

Location of data storage:

Plan for data analysis, review and reporting

Data analysis and reporting:

Data quality issues

Known data limitations and significance:

Actions taken or planned to address data limitations:

Other notes:

**Indicator
Reference
Sheet**

Exercise #3; Time: 15 Mins

- To be done individually
- The second column has statements that you read for exercise 2. You have marked what it represents in a result chain.
- Formulate an indicator to measure the statement.
- Do any 8. Try to choose result statements that represent different elements of the result chain.

Tea/coffee break

Results Monitoring =

**Monitoring the progress made
towards the expected
Changes**

Definition

“Monitoring is a continuous management function that **provides decision-makers with regular feedback** on the consistency or discrepancy between planned and actual results and implementation performance. It provides a regular indication of the likelihood that expected results will be attained” (UNDP PPM: Monitoring, 2016)

Results monitoring involves a **continuous process** of collecting and analyzing information to

- compare how well a project, programme, or policy is performing against expected results
- check if the causal logic (theory of change) holds during implementation

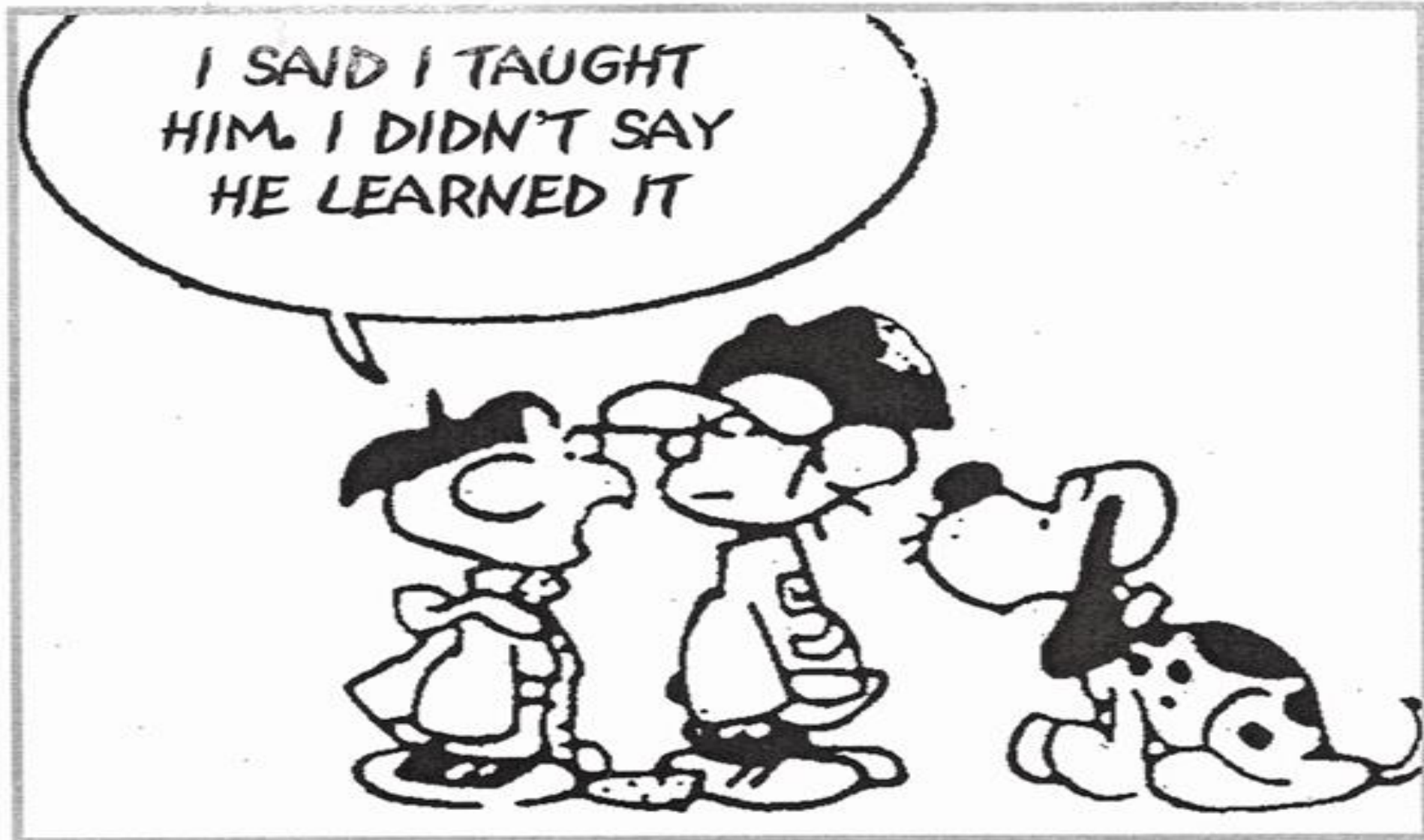
Results monitoring

- Initiated during the project's **planning** stage
- **Monitoring itself needs to be planned** and requires a *living* plan
- Monitoring both **outputs** and their contribution to the **outcomes**
- **Documenting incremental changes** that occur as a result of our interventions
- Making a case for our interventions – **keep asking 'So What?'** and then explain with 'How' (understand the mechanism of change)
- Showcasing our results with **credible evidence**
- **Validating and learning** from our theory of change
- Monitoring process must be participatory **involving key partners** for capacity building and ownership
- Monitoring can be **done throughout the project/programme cycle**

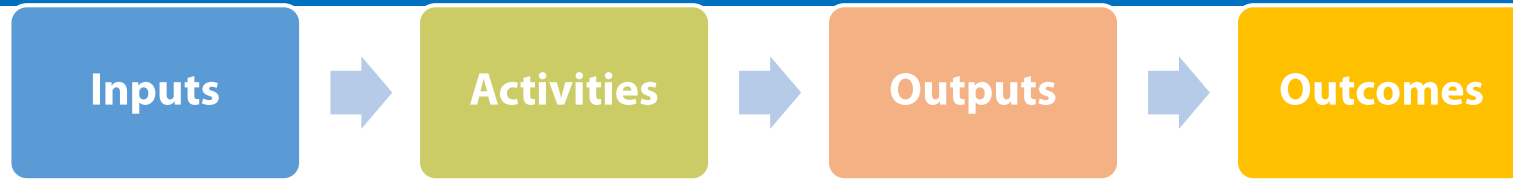
Illusions.....



Are we monitoring results?



Results Monitoring

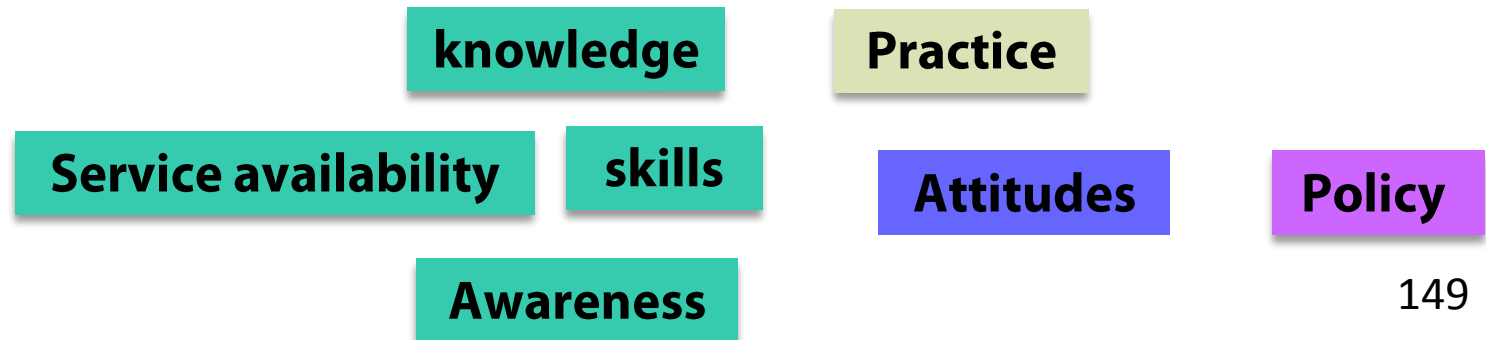


Delivery rate
Financial report

Implementation Monitoring
Did we do it? How was it done?

Results Monitoring
Yes, we did it, So What?

- If the theory of change of the project is sound, changes will happen but most likely very slowly and incrementally
- Try to capture these incremental changes as much as you can



What are we monitoring?

Results

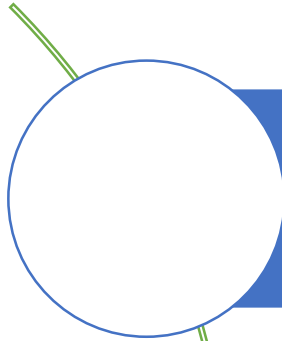
Theory of
Change

Quality

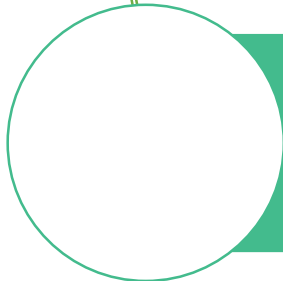
Risks

Operational
Performance

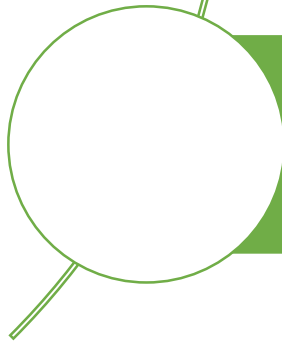
Monitoring includes the following



Track performance through collection of appropriate and credible data and other evidence (Results, Quality, Risks, Operational Delivery/Performance)



Analyse evidence to inform management decision-making, improve effectiveness and efficiency, and adjust programming as needed



Report on performance and lessons to facilitate learning and support accountability.

Quality Standards

Project Document

Monitoring Policy

CPAP Elimination

Monitoring Data must include

- Progress data on **outcome and output indicators** as per the RRF
- Output **verification data** through field visits and other means
- **Baselines, targets and progress for SP IRRF indicators** when projects are linked to them
- **Evaluation/review/assessment** recommendations
- Documented **lessons learned**
- Assessment of changes in the **programming context**
- **Operational performance indicators:** pipeline, resource mobilization, audit performance, delivery rates, CS deficits, unprogrammed resources, aged NIM advances, implementation of procurement plans, receivable management, donor reporting,

Data Collection

Data collected could include the following areas:

Target groups

- disaggregated into sex, age, social groups, income levels, etc. (depending on the intended target groups of the project)
- Joint monitoring with stakeholders
- Real time monitoring and collection of beneficiary feedback (when justified and feasible)

Capacity Development

- Changes in capacities and performance of national institutions

Sustainability

- Transition or phase-out plan
- Sustainability plan
- To be reviewed annually and made adjustments

Data Analysis

- The analysis of data as evidence for effective monitoring must include, at a minimum:
 - **Results.** An analysis of collected evidence against programming indicators, including baselines, milestones, targets and progress data at outcome and output levels, including an assessment of why progress against results is above, at, or below targets.
 - **Theory of change.** An analysis of the programming approach and results against the defined theory of change, including consideration of alternatives, risks, and cost effectiveness.
 - **Quality.** An analysis of programming quality is conducted against quality standards. (*link to quality*)
 - **Risks.** An assessment of risks and analysis of risk management plans and implementation against the current programming situation. (*link to risk management and social and environmental standards*)
 - **Operational performance.** An analysis of operational performance against plans and corporate benchmarks. (*link to appropriate operations sections of POPP*)
- Additional analysis may include, as available and appropriate:
 - Analysis of evaluation recommendations and lessons from within the programme or project and beyond
 - Analysis of assessments of changes in the programming context

Follow-up based on data analysis

- Programme managers must review **monitoring analysis and use it to inform management decisions and actions** to adjust programming for optimal performance and results achievement.
- **Management decisions and actions address areas as needed**, including:
 - Adjustments to indicators, targets, theory of change, and programming design (this can include changes to outputs, activities, etc.)
 - Adjustments to implementation arrangements, including the identification of implementing partners
 - Adjustments to the budget
 - Actions to mitigate risks or respond to realized risks
 - Actions to develop or adjust a sustainability plan
 - Other adjustments and actions, as required

GoB's Monitoring and Evaluation Policy?

- **What results to be monitored?**
- **How frequently are outcome indicators to be updated?**
- **Who is responsible to monitor the outcomes?**
- **Who is responsible to monitor the outputs?**
- **Who is responsible to monitor the process (activities and inputs)?**
- **How much budget is to be allocated for Monitoring and Evaluation?**
- **Who collects the data?**
- **Who cleans the data?**
- **Who does quality assurance of the reports?**
- **Who is responsible for Evaluation?**
- **Are management responses written to the recommendations of evaluations?**
- **Who implements the evaluation recommendations?**

Why do we need an M&E system?





REMEMBER MORE INFORMATION IS USEFUL
ONLY IF IT IS USED!

I

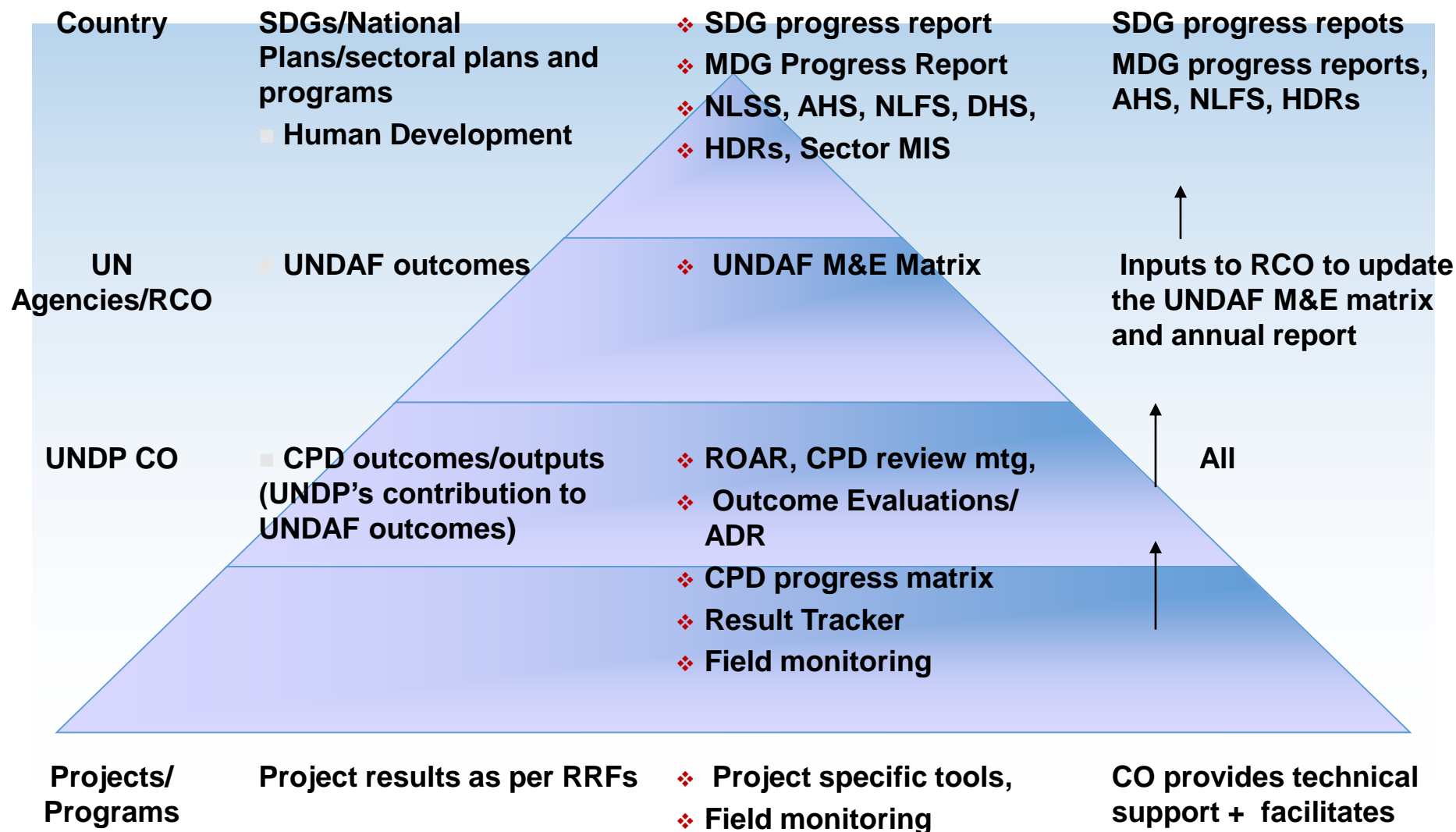
M&E at different levels: GoB and the UN

Levels of monitoring

What is monitored?

Tools for M&E

UNDP CO's contributions



12 Components for functioning M&E system

- Component 1 : Organizational Structure
- Component 2: Human Capacity
- Component 3: Partnership
- Component 4: Harmonized one M&E Framework
- Component 5: M&E Work plan
- Component 6: Routine monitoring
- Component 7: Regular reviews
- Component 8: Central and Regional Database
- Component 9: Data management and data auditing
- Component 10: Evaluation and Research
- Component 11: Data dissemination and Use
- Component 12: M&E advocacy, communication/culture

**Structures
&
Functional
Capacity**

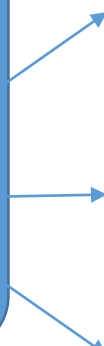
**Data Mgt
Capacities**

**Data Use
Capacities**

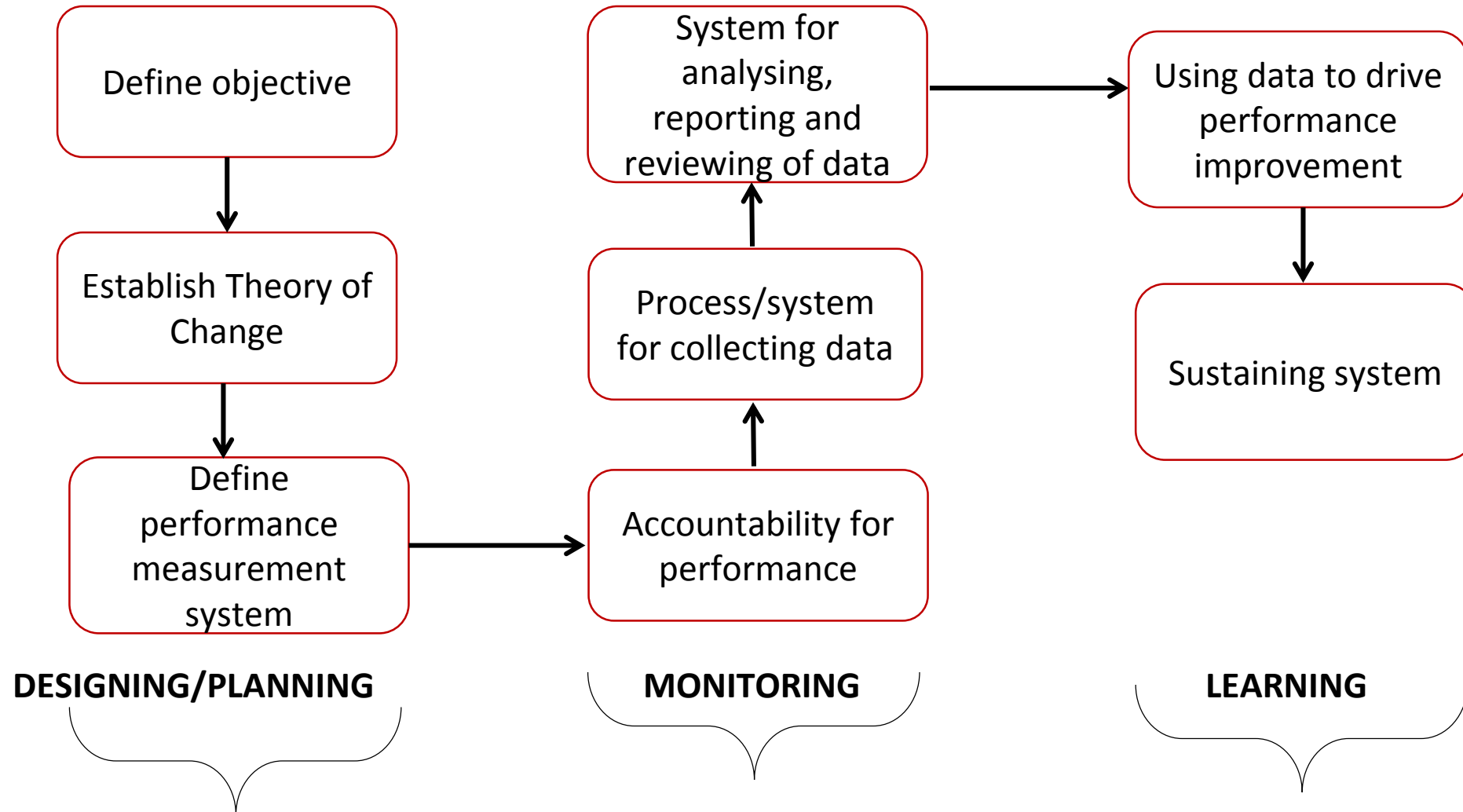
Institutional M&E Assurance System

Who: Actors and Accountability	What: Roles and Responsibilities	How: Timing and Methodology
Senior Management	Impact, Outcomes and Outputs	CPAP Annual Review UNDAF Outcome Review ROAR/IWP (Annual)
Program Units (thematic)	Outputs, contributions to outcomes	Project Board/Result and Delivery Meetings/IWP (Quarterly/Semiannual)
Project management Units (Project Director, Project Manager, team)	Outputs, Activities, Inputs	Project Board/Review Meetings (Quarterly? Semi-annually? Annually?);
M&E Officers in projects	Output, Activities, Inputs	Continuous (monthly/quarterly/annual reviews)
Projects' staff; field staff	Inputs, Activities, and outputs	Continuous (monthly/quarterly/semiannual/annual reviews; field visits; etc.)

Management support Unit monitors, supports, and capacitates



Roles and responsibilities in program and project monitoring



Roles and responsibilities in program and project monitoring

Functions

- Who reviews the data?
- Who analyses the data?
- Who reports the data?
- Who aggregates the data?
- Who quality assures the data?

Functions

- Who drives the data need?
- Who owns the data col. system?
- Who collects the data?
- Who quality assures the data?
- Who enters the data?
- Who maintains the data?

Roles

- Senior management
- Thematic Unit/Cluster head (CO)
- Programme Officer (CO)
- Programme Associate (CO)
- Project Managers (UNDP or IP)
- Project M&E Officers
- Other Project staff

System for analysing, reporting and reviewing of data

Using data to drive performance improvement

Process/system for collecting data

Accountability for performance

Functions

- Who disseminates data?
- Who communicates?
- Who uses the data?

MONITORING

LEARNING

Standardizing M&E

10 M&E key elements

1. M&E Focal Point
2. M&E Budget
3. M&E Framework/Plan in program document
(Indicator, Baseline and Targets)
4. Annual M&E Plan
5. Indicator Protocol Sheets
6. Program specific M&E tools
7. MIS database
8. Reports – Quarterly/annual
9. Evaluation Plan and Management Response
10. Result Review Meetings Quarterly), Semi annual (?), Annual; Annual progress review with stakeholders and Coordinating Agency

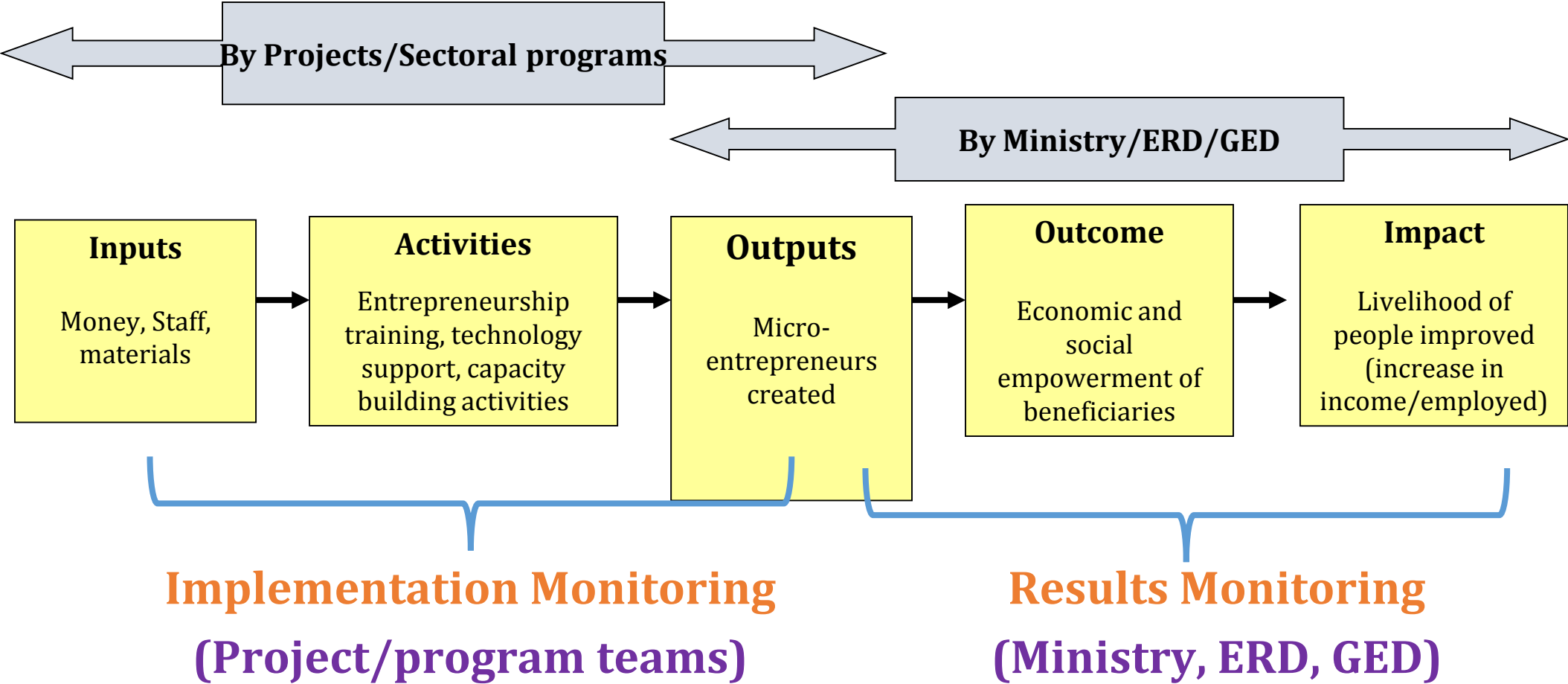
What is in place in the Ministries in Bangladesh?

Institutional M&E Assurance System

Who: Actors and Accountability	What: Roles and Responsibilities	How: Timing and Methodology
Senior Management (Secretary, Addn Sec; Directors/joint Secs)	Impact, Outcomes and Outputs	Annual Review
Heads of Divisions (thematic)	Outputs, contributions to outcomes	Steering Committee meetings (Quarterly/Semiannual)
Program/Project management Units (Project Director, Project Manager, team)	Outputs, Activities, Inputs	Project Board/Review Meetings (Quarterly? Semi-annually? Annually?);
M&E Officers	Output, Activities, Inputs	Continuous (monthly/quarterly /annual reviews)
Line agencies at Zilla, UZ, UP	Inputs, Activities, and outputs	Continuous (monthly/quarterly/semiannual/ annual reviews; field visits; etc.)

Management support Unit monitors, supports, and capacitates

Result-based Monitoring



Example of M&E plan template (from UNDP project document)

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.		
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.		
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.		
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the PB and used to make course corrections.		
Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk log with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report)			
Project Review (Project Board or PB)	The PB will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the PB shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Specify frequency (i.e., at least annually)	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.		

Annual Project M&E Plan: example of a template

Expected Results (Outcomes and Output)	Indicators (with annual Baseline and Target)	M&E Event with Data collection Method	Time or, schedule or Frequency	Responsibilities	Means of Verification: Data Source and Type	Resources	Risk
Obtained from CPD/Pro doc results framework.	Indicator: Baseline: Target:	How is data to be obtained? Example: through a survey, a review or stakeholder meeting, field visits, facility based data, etc.	Monthly? Quarterly? Annually?	Who is responsible for organizing the data collection and verifying data quality and source?	Systematic source and location where you would find the identified and necessary data such as a national institute, project MIS, beneficiary reports, field reports.	Estimate of resources required and committed for carrying out planned monitoring activities.	What are the risks and assumptions for carrying out the planned monitoring activities? How may these affect the planned monitoring events and quality of data?

Common types of monitoring

Result monitoring

Tracks attainment path or direction for expected results (output, outcome mainly)

Process monitoring

Tracks use of inputs, progress of activities and delivery of outputs

Compliance monitoring

ensures compliance with Gov/donor/UNDP regulations, policy, protocol, standards etc.

Context monitoring tracks the setting in which the project/programme operates, which may affect the assumptions and risk identified

Beneficiary monitoring tracks beneficiary perceptions, satisfaction, complaints of project/programme and change

Financial monitoring accounts for cost by input and activity within predefined categories of expenditure, conjunction with process monitoring.

Organizational monitoring tracks the sustainability, institutional development and capacity building in the project/programme and with its partner

Exercise 6: What do you do for monitoring?

Use the exercise sheet to list:

- what is monitored?
- what is the indicator?
- how is data collected for the indicator?
- What is the frequency of data collection
- Who is responsible to monitor?

Examples of monitoring tools

Result monitoring

Tools: Result matrix with all the indicators and progress updated; interviews with beneficiaries; observation; trend analysis; Photo; before and after matrix; self-assessment of capacities

Context monitoring

Tools: Mapping stakeholders and their programs; Key informant interviews; FGD; transect walk; community meetings, local media monitoring, mobility maps,

Process monitoring

Tools: Observation, reviewing minutes, interview with participants of events, exit interviews

Compliance monitoring

Audit, spot checks, check lists, SOPs and their implementation,

Beneficiary monitoring

Tools: interviews, FGDs, observation, before and after check lists, Photos, case studies, perception surveys, feedback on services provided

Financial monitoring accounts

Tools: Review of financial reports, audit, spot checks, etc.

Organizational capacity monitoring

Tools: capacity assessment before and after; observation; FGDs; self-assessment by staff on capacity; exit survey of beneficiaries; before and after mapping of business processes;

Examples of UNDP's tools/platforms for monitoring

Financial progress monitoring

1. Quarterly financial report
2. Combined Delivery Report
3. Project Budget Balance (PBB) and Project Resource Overview (PRO)
4. Financial Delivery Tracker (quarterly? Monthly?)
5. Spot checks
6. Audits

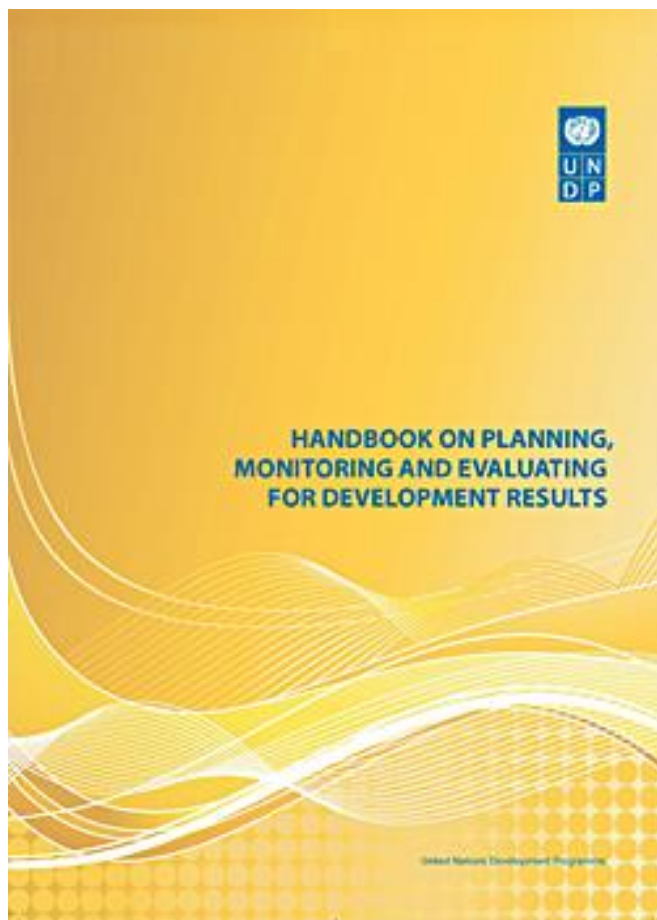
Result Monitoring

1. Atlas Project Management Module with project's outcome, outputs, Activity result
2. Quarterly updated progress against the targets (ATLAS Project Management Module)
3. Updated risk and issue logs (in ATLAS)
4. Field visits
5. Project board meetings (progress data analysis to be presented)
6. Project's quarterly/annual progress reports
7. Program review meetings with stakeholders
8. Project QA annually
9. Reflections on lessons learned
10. IWP mid-year progress report
11. ROAR (Corporate planning system)
12. Outcome Group review
13. Outcome progress reports
14. UNDAF annual report

Tips for Data quality assurance

- **Review** data to identify errors and inconsistencies
- **Validity** (i.e. accuracy): ensure data collecting instruments are properly designed; check if the data indeed represents what is being measured
- **Reliability** (i.e. consistency): e.g. notice outliers (very high or low value; missing data) and double check if data entry for them are correct; identify points where human errors can happen; if a software is used, introduce in-built ways to reduce errors (e.g. drop down menu; allowing entry only for numbers; etc.)
- Ensure **data collectors' capacity** to understand what data is to be collected and to use the data collecting instruments
- **Spot checking** based on a random sample of data
- If errors remain and there is no possibility of collecting the right data, make sure a decision is taken by the management to deal with it consistently.
- If resources are available, engage a **third party to verify, monitor.**

UNDP's Handbook on Planning, Monitoring and Evaluating for Development Results (2009)



Can download from:
<http://web.undp.org/evaluation/guidance.shtml#handbook>