MONITORING AND EVALUATION POLICY AND PROCEDURES

A Manual for SEPLAA Foundation

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Annex 1: Monitoring and Evaluation Plan

Introduction

This Manual is a reference document which provides detailed information about Monitoring and Evaluation (M&E) and is intended to provide assistance to users with the objective of developing policies and procedures at the organizational level. The purpose of the manual is to promote a good understanding and reliable practices of M&E for projects or programmes. It covers the key planning steps and processes needed to set up and implement an M&E system for project planning, implementation and evaluation. It has been designed to be used by M&E specialists, managers of civil society organizations, in particular humanitarian relief and development programs, and decision makers responsible for programme oversight and funding.

The manual focuses on the key components of an M&E system that allows planners to develop and strengthen M&E policies and procedures for projects or programmes. The manual has been organized into three chapters which cover the theory, policy and application of M&E systems.
The first chapter lays out the theoretical foundation of M&E systems and the narrative is designed to help readers develop an understanding of essential concepts. The first chapter is divided into three sections which follow a logical train of thought from hypothesis of how change will come about, to development of specific objectives needed for this change, to methods on how to measure the project's achievements of its stated objectives, and finally procedures for collecting and analyzing data and information used in the measurement.

In Chapter two a template for framing an M&E policy is laid out which is designed to provide guiding principles to the organization in setting up and implementing M&E systems. This chapter also helps define and determine the role of M&E functions and further mandates addressing a number of M&E priorities.

Chapter three provides the structure for the practical application of an M&E system at the organizational level. In this chapter an outline of an M&E framework consisting of a list of standard M&E procedures, information required to perform these procedures, timelines and responsibilities is provided. In addition outlines to establish an M&E system is also given. This chapter proposes a list of tasks under each step to help M&E staff establish a central M&E function and meet project specific M&E requirements and includes the steps. This section is supported by a number of **templates** annexed with this manual to help perform standard M&E procedures.

CHAPTER 1
THEORY OF MONITORING AND EVALUATION

Section 1: Monitoring and Evaluation

Monitoring

Monitoring is a periodically recurring task already beginning in the planning stage of a project or programme. Monitoring documents results, processes and experiences and uses this information as a basis to guide decision-making and learning processes. Monitoring is about checking progress against plans. The data acquired through monitoring is used for evaluation.
Monitoring is the systematic and routine collection of information from projects and programmes for four main purposes:

- To learn from experiences to improve practices and activities in the future;
- To have internal and external accountability of the resources used and the results obtained;
- To take informed decisions on the future of the project or programme;
- To promote empowerment of beneficiaries of the project or programme.

Monitoring focuses on the measurement of the following aspects of an intervention:

- On quantity and quality of the implemented activities (**outputs**: What do we do? How do we manage our activities?)
- On processes inherent to a project or programme (**outcomes**: What were the effects /changes that occurred as a result of your intervention?)
- On processes external to an intervention (**impact**: Which broader, long-term effects were triggered by the implemented activities in combination with other environmental factors?)

Common types of monitoring in projects or programmes include;

- **Results monitoring** tracks effects and impacts. This is where monitoring merges with evaluation to determine if the project/programme is on target towards its intended results (outputs, outcomes, impact) and whether there may be any unintended impact (positive or negative). For example, a psychosocial project may monitor that its community activities achieve the outputs that contribute to community resilience and ability to recover from a disaster.
- **Process (activity) monitoring** tracks the use of inputs and resources, the progress of activities and the delivery of outputs. It examines how activities are delivered – the efficiency in time and resources. It is often conducted in conjunction with compliance monitoring and feeds into the evaluation of impact. For example, a water and sanitation project may monitor that targeted households receive septic systems according to schedule.
- **Compliance monitoring** ensures compliance with donor regulations and expected results, grant and contract requirements, local governmental regulations and laws, and ethical standards. For example, a shelter project may monitor that shelters adhere to agreed national and international safety standards in construction.
- **Context (situation) monitoring** tracks the setting in which the project/programme operates, especially as it affects identified risks and assumptions, but also any unexpected considerations that may arise. It includes the field as well as the larger political, institutional, funding, and policy context that affect the project/programme. For example, a project in a conflict-prone area may monitor potential fighting that could not only affect project success but endanger project staff and volunteers.
- **Beneficiary monitoring** tracks beneficiary perceptions of a project/programme. It includes beneficiary satisfaction or complaints with the project/programme, including their participation, treatment, access to resources and their overall experience of change. Sometimes referred to as beneficiary contact monitoring (BCM), it often includes a stakeholder complaints and feedback mechanism. It should take account of different population groups, as well as the perceptions of indirect beneficiaries (e.g. community members not directly receiving a good or service). For example, a cash-for work programme assisting community members after a natural disaster may monitor how they feel about the

selection of programme participants, the payment of participants and the contribution the programme is making to the community (e.g. are these equitable?).

- **Financial monitoring** accounts for costs by input and activity within predefined categories of expenditure. It is often conducted in conjunction with compliance and process monitoring. For example, a livelihoods project implementing a series of micro-enterprises may monitor the money awarded and repaid, and ensure implementation is according to the budget and time frame.
- **Organizational monitoring** tracks the sustainability, institutional development and capacity building in the project/programme and with its partners. It is often done in conjunction with the monitoring processes of the larger, implementing organization. For example, a National Society's headquarters may use organizational monitoring to track communication and collaboration in project implementation among its branches and chapters.

Although there are variations in the tools and processes according to the monitoring need as described above, there are however some best practices which are summarized below;

- Monitoring data should be well-focused to specific audiences and uses (only what is necessary and sufficient).
- Monitoring should be systematic, based upon predetermined indicators and assumptions.
- Monitoring should also look for unanticipated changes with the project/ programme and its context, including any changes in project/programme assumptions/risks; this information should be used to adjust project/programme implementation plans.
- Monitoring needs to be timely, so information can be readily used to inform project/programme implementation.
- Whenever possible, monitoring should be participatory, involving key stakeholders – this can not only reduce costs but can build understanding and ownership.
- Monitoring information is not only for project/programme management but should be shared when possible with beneficiaries, donors and any other relevant stakeholders.

Evaluation

Evaluation is assessing, as methodically and objectively as possible, a completed project or programme (or a phase of an ongoing project or programme that has been completed). Evaluations assess data and information that inform strategic decisions in order to improve the project or programme in the future. During an evaluation, information from previous monitoring processes is used to understand the ways in which the project or programme developed and stimulated change. Evaluations should help to draw conclusions about five main aspects of the intervention:

- Relevance
- Effectiveness
- Efficiency
- Impact
- Sustainability

Information gathered in relation to these aspects during the monitoring process provides the basis for the evaluative analysis. The evaluation process is an analysis or interpretation of the collected data which delves deeper into the relationships between the results of the project, the effects produced by the project and the overall impact of the project.

The major types of evaluation which can occur during the project or programme are defined under three headings;

1. According to evaluation timing.

- **Formative evaluations** occur during project/programme implementation to improve performance and assess compliance.
- **Summative evaluations** occur at the end of project/programme implementation to assess effectiveness and impact.
- **Midterm evaluations** are formative in purpose and occur midway through implementation. For projects/ programmes that run for longer than 24 months, some type of midterm assessment, evaluation or review is usually required by the donor. Typically, this does not need to be independent or external, but may be according to specific assessment needs.
- **Final evaluations** are summative in purpose and are conducted (often externally) at the completion of project/programme implementation to assess how well the project/programme achieved its intended objectives.
- **Ex-post evaluations** are conducted some time after implementation to assess long-term impact and sustainability.

2. According to who conducts the evaluation.

- **Internal or self-evaluations** are conducted by those responsible for implementing a project/programme. They can be less expensive than external evaluations and help build staff capacity and ownership. However, they may lack credibility with certain stakeholders, such as donors, as they are perceived as more subjective (biased or one-sided). These tend to be focused on learning lessons rather than demonstrating accountability.
- **External or independent evaluations** are conducted by evaluator(s) outside of the implementing team, lending it a degree of objectivity and often technical expertise. These tend to focus on accountability.
- **Participatory evaluations** are conducted with the beneficiaries and other key stakeholders, and can be empowering, building their capacity, ownership and support. (Section ???? discusses further the use of participation in M&E.)
- **Joint evaluations** are conducted collaboratively by more than one implementing partner, and can help build consensus at different levels, credibility and joint support.

3. According to evaluation technicality or methodology.

- **Real-time evaluations (RTEs)** are undertaken during project/ programme implementation to provide immediate feedback for modifications to improve ongoing implementation. Emphasis is on immediate lesson learning over impact evaluation or accountability. RTEs are particularly useful during emergency operations, and for example are required by IRCS in the first three months of emergency operations that are more than nine months in length or plan to reach 100,000 people or more.
- **Meta-evaluations** are used to assess the evaluation process itself. Some key uses of meta-evaluations include: take inventory of evaluations to inform the selection of future evaluations; combine evaluation results; check compliance with evaluation policy and good practices; assess how well evaluations are disseminated and utilized for organizational learning and change, etc.
- **Thematic evaluations** focus on one theme, such as gender or environment, typically across a number of projects, programmes or the whole organization.
- **Cluster/sector evaluations** focus on a set of related activities, projects or programmes, typically across sites and implemented by multiple organizations (e.g. National Societies, the United Nations and NGOs).
- **Impact evaluations** focus on the effect of a project/ programme, rather than on its management and delivery. Therefore, they typically occur after project/ programme completion during a final evaluation or an ex-post evaluation. However, impact may be

measured during project/ programme implementation during longer projects/ programmes and when feasible.

Summary: A Comparison between Monitoring and Evaluation

	Monitoring	Evaluation
Timing: When is it done?	Continuous throughout the project	Periodic review at significant point in project progress – end of project, midpoint of project, change of phase
Scope: What information is collected?	Day to day activities, outputs, indicators of progress and change	Assess overall delivery of outputs and progress towards objectives and goal
Main participants: Who does it?	Project staff, project users	External evaluators / facilitators, project users, project staff, donors
Process: How is it done?	Regular meetings, interviews, monthly, quarterly reviews, etc.	Extraordinary meetings, additional data collection exercises etc.
Written outputs: What is produced?	Regular reports and updates to project users, management and donors	Written report with recommendations for changes to project – presented in workshops to different stakeholders
How are the results used?	To improve quality of implementation and adjust planning. As input to evaluation.	To judge the impact on the target population; adjust objectives; decide about the future of the programme

Why is M&E Important

Monitoring and Evaluation is important because:

- it provides the only consolidated source of information showcasing project progress;
- it allows actors to learn from each other's experiences, building on expertise and knowledge;
- it often generates (written) reports that contribute to transparency and accountability, and allows for lessons to be shared more easily;
- it reveals mistakes and offers paths for learning and improvements;
- it provides a basis for questioning and testing assumptions;
- it provides a means for agencies seeking to learn from their experiences and to incorporate them into policy and practice;
- it provides a way to assess the crucial link between implementers and beneficiaries on the ground and decision-makers;
- it adds to the retention and development of institutional memory;
- it provides a more robust basis for raising funds and influencing policy.

Section 2: The M&E System

The M&E system provides the information needed to assess and guide the project strategy, ensure effective operations, meet internal and external reporting requirements, and inform future programming.

A functional M&E system provides a continuous flow of information that is useful **internally** and

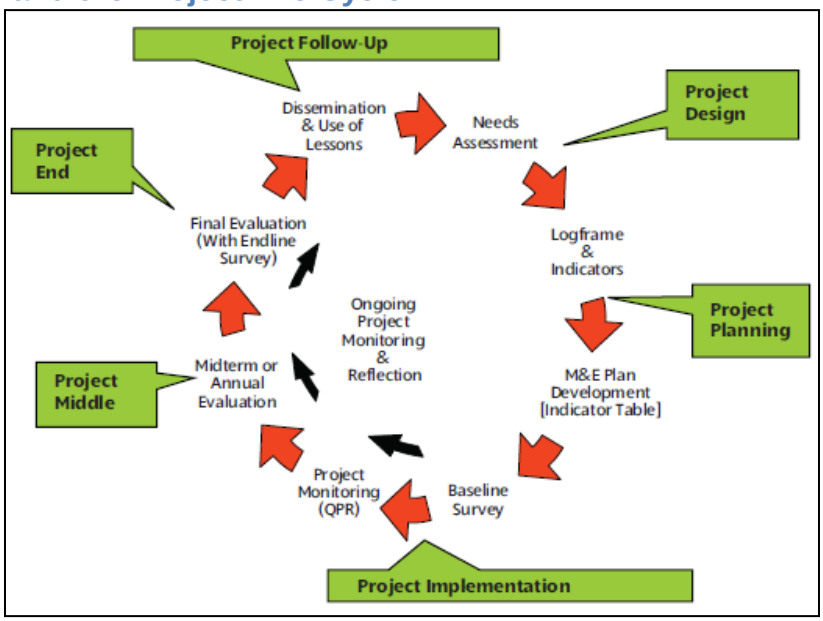
externally.

–The internal use of information on progress, problems, and performance is a crucial management tool that helps managers ensure that specific targets are met

–The information from an M&E system is also important to those outside SEPLAA Foundation who are expecting results, wanting to see demonstrable impacts

M&E should be an integral part of project design and also part of project implementation and completion. It is therefore important to understand the key stages of the project life cycle and how an M&E system corresponds to this (see Figure 1).

Figure 1: M&E and the Project Life Cycle



What is the Project Life Cycle?

The **Project Life Cycle** refers to a logical sequence of activities to accomplish the project's goals or objectives. A project passes through different operational stages in its life, completing a cycle starting from its design and ending upon its conclusion. Every project, whether large or small, passes through four stages of project management. It is important to understand the characteristics of these four key areas.

Stage 1 Design - Starting the Project

The stage involves determining the nature and scope of the project, generating, evaluating and framing the business case for the project and the general approach to performing it, and agreeing to prepare a detailed Project Plan. Any deficiencies should be reported and a recommendation should be made to fix them. If this stage is not performed well, it is unlikely that the project will be successful in meeting the business' needs.

This stage should include a plan that covers the following areas:

- analyzing the business needs/requirements in measurable goals
- reviewing of the current operations
- financial analysis of the costs and benefits including a budget
- stakeholder analysis, including users, and support personnel for the project
- project charter including costs, tasks, deliverables, and schedule

Outputs from this stage may include approval to proceed to the next stage, documentation of the need for the project, and rough estimates of time and resources to perform it, and an initial list of people who may be interested in, involved with or affected by the project.

Stage 2 Planning - Organizing and Preparing

After the design stage, the next step is the Planning stage in which the project is planned to an appropriate level of detail. This stage involves developing a plan that specifies the desired results: the work to do; the time, the cost and other resources required; and a plan for how to address key project risks. As with the first stage, a failure to adequately plan greatly reduces the project's chances of successfully accomplishing its goals.
The steps usually taken in Project Planning consists of;

- developing the scope statement;
- selecting the planning team;
- identifying deliverables and creating the work breakdown structure;
- identifying the activities needed to complete those deliverables and networking the activities in their logical sequence;
- estimating the resource requirements for the activities;
- estimating time and cost for activities;
- developing the schedule;
- developing the budget;
- identification of key assumptions and risks, risk mitigation planning;
- gaining formal approval to begin work.

Outputs from this stage include a Project Plan documenting the intended project results and the time, resources and supporting processes to help create them, along with all the other controls that the project needs, such as for risk management.

Stage 3 Implementation - Carrying Out the Work

The Implementation phase consists of the processes used to complete the work defined in the project plan to accomplish the project's requirements. The Implementation process involves coordinating people and resources, as well as integrating and performing the activities of the project in accordance with the project management plan. The deliverables are produced as outputs from the processes performed as defined in the project management plan and other frameworks that might be applicable to the type of project at hand.
The main processes in the Implementation phase include:

- Acquire human and other resources (such as equipment, office etc..)
- Carry out project activities,
- Quality assurance
- Develop and manage Project team
- Effective internal and external communication
- Manage stakeholders
- Test the deliverables against the initial design

Outputs from this stage may include project progress reports, financial reports and further detailed plans.

Stage 4 Conclusion - Closing the Project

This stage involves assessing the project results, obtaining customer approvals, assigning project team members to new work, closing financial accounts and conducting a post-project evaluation. Closing includes the formal acceptance of the project and the ending thereof. Administrative activities include the archiving of the files and documenting lessons learned.
This phase consists of:

- **Contract closure**: Complete and settle each contract (including the resolution of any open items) and close each contract applicable to the project or project phase.
- **Project close**: Finalize all activities across all of the process groups to formally close the project or a project phase

Outputs from this stage may include final, accepted and approved project results and recommendations and suggestions for applying lessons learned from this project to similar efforts in the future.

The Key Components of an M&E System

In conclusion, an M&E system is built on the parameters of a project such as;

- the overall goal of the project or the desired change you wish to bring about or the effect you want to happen;
- the beneficiaries the project aims to benefit;
- the hypotheses or assumptions of the project and how these connect the project objectives to project activities or interventions;
- the scope and size of the project;
- the capacity for M&E and the extent of participation;
- the duration of the project;
- the overall budget of the project.

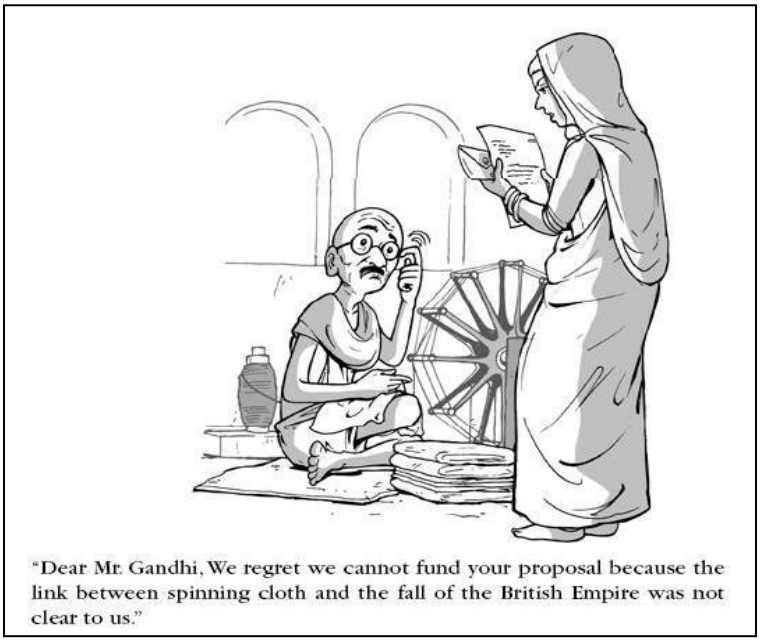
Therefore, each project will have different M&E needs and these will be dependent on; the context in which the project operates; the capacity of the implementing team; the requirements of the donor. These needs should be identified when preparing an M&E plan and the methods, procedures and tools used to meet them coordinated accordingly. In doing this, resources will be conserved and planning of M&E activities streamlined.
The foundation on which an M&E system is built consists of four key components; the Problem Analysis Framework, the Logframe or Logical Framework, the M&E Plan or Indicator Matrix and the Data Collection and Analysis Plan. A further two components Reporting and Utilization and M&E Staffing and Capacity Building which are integral and important are also discussed.

These components play a vital role in M&E planning and answer the following questions;

- What does the project want to change and how?
- What are the specific objectives to achieve this change?
- What are the indicators and how will they measure this?
- How will the data be collected and analyzed?

In the following section we shall discuss each of the key components in detail and exemplify how they contribute to the development of an M&E system.

Section 3: The Key Components of an M&E System



1. Problem (Causal) Analysis Framework

A problem (causal) analysis framework is essential to understanding key interventions and identifying the variables needed to assess the effects of the project. The analysis helps develop the hypothesis which the M&E system will test in order to determine whether the project's interventions and outputs contributed to the desired outcomes. In summary the analysis aims to identify the following:

- The major problem and condition(s) that the project seeks to change
- Factors that cause the condition(s)
- Ways to influence the causal factors, based on hypotheses of the relationships between the causes and likely solutions
- Interventions to influence the causal factors
- The expected changes or desired outcomes (see Table 1).

The information needed to carry out the analysis should be based on careful study of local conditions and available data and in consultation with target beneficiaries, implementing partners, stakeholders and technical experts. This information should be obtained if available from needs assessments, feasibility studies, participatory rapid appraisals (PRAs), community mapping, and SWOT (strengths, weaknesses, opportunities, threats) analysis.

Problem (Causal) Analysis	Hypothesis Development	Project Design
Cause/Conditions Mothers do not know that unclean water will make infants sick (knowledge).	**IF** mothers are aware of the dangers of unclean water,	**Interventions** Educate mothers about the dangers of unclean water
Mothers believe that breast milk alone does not satisfy infants younger than 6 months (attitude).	**AND** that breast milk is nutritionally sufficient for infants younger than 6 months,	Educate mothers about the nutritional value of breast milk for infants younger than 6 months
Mothers are giving breast milk substitutes to infants younger than 6 months (practice).	**THEN** they will breastfeed their infant exclusively to avoid exposure to unclean water,	**Desired Outcomes** Increased breastfeeding of infants younger than 6 months
Problem High diarrhea rates among infants younger than 6 months	**THEREBY** contributing to reductions in diarrhea among infants younger than 6 months,	Reduced diarrhea among infants younger than 6 months
Consequence High rates of infant mortality	**THEREBY** contributing to reductions in infant mortality	**Overall Goal** Reduce infant mortality

The framework presented in Table 1 hypothesizes that mothers will breastfeed their infants once they learn about the dangers of unclean water. However, if mothers are not breastfeeding for other reasons, such as cultural norms or working away from home, then different interventions are needed. In effect, the M&E system tests the hypotheses to determine whether the project's interventions and outputs contributed to the desired outcomes.

Please note that other forms of analysis exist which can achieve the same outcomes and the one you choose to implement should be familiar to you. Included on this list are **problem analysis techniques**, such as problem trees, the methodology this uses is to isolate conditions and consequences that help identify objectives and strategies, and **theory of change analysis**, which uses backwards mapping to identify conditions required to bring about desired outcomes.

2. Logframe or Logical Framework

The logframe or logical framework is an important project management tool which illustrates the conceptual foundation upon which a projects M&E system is built. It involves identifying strategic elements (inputs, outputs, activities, outcomes, impact) and their causal relationships, indicators, and the assumptions of risks that may influence success and failure. It thus facilitates planning, execution, and monitoring and evaluation of an intervention.

The logframe is a matrix made up of columns and rows which specifies the project **objectives**, what you are trying to achieve and, the project **indicators**, how the achievement will be measured. The project **objectives and indicators** are assessed against the project **inputs, outputs, outcomes and impact (goal)** and it is important to understand the difference between these**.** In table 1 the key terms and components of a classic 4x5 logframe matrix are presented and the terms defined.

The core of the Logical Framework is the "temporal logic model" that runs through the matrix. This takes the form of a series of connected propositions:

- If these Activities are implemented, and these Assumptions hold, then these Outputs will be delivered
- If these Outputs are delivered, and these Assumptions hold, then this Outcome will be achieved.
- If this Outcome is achieved, and these Assumptions hold, then this Goal will be achieved.

In table 2 a completed logframe is presented with an example of an actual real life example.

Table 1: Definitions of key terms and components of Logframe

Project Objectives	Indicators	Means of Verification	Risks & Assumptions
GOAL A broad statement of a desired, usually longer-term, outcome of a project. Goals express general project intentions and help guide the development of a project. Each goal has a set of related, specific objectives that, if met, will collectively permit the achievement of the stated goal.	**Impact Indicator** Quantitative or qualitative means to measure achievement or to reflect the changes connected to stated goal	Measurement method, data source, and data collection frequency for stated indicator	External factors necessary to sustain the long-term impact, but beyond the control of the project
OUTCOMES Set of beneficiary and population level changes needed to achieve the goal (usually knowledge, attitudes and practices, or KAP)	**Outcome Indicator** Quantitative or qualitative means to measure achievement or to reflect the changes connected to stated outcomes	Measurement method, data source, and data collection frequency for stated indicator	External conditions necessary if the outcomes are to contribute to achieving the goal
OUTPUTS The results of project activities; the direct products or deliverables of project activities, such as the number of HIV counseling sessions completed, the number of people served, the number of condoms distributed. Products or services needed to achieve the outcomes	**Output Indicator** Quantitative or qualitative means to measure completion of stated outputs (measures the immediate product of an activity)	Measurement method, data source, and data collection frequency for stated indicator	Factors out of the project's control that could restrict or prevent the outputs from achieving the outcomes
ACTIVITIES Actions taken or work performed through which inputs such as funds, technical assistance, and other types of resources are mobilized to produce specific outputs.	**Process Indicator** Quantitative or qualitative means to measure completion of stated activities, i.e., attendance at the activities	Measurement method, data source, and data collection frequency for stated indicator	Factors out of the project's control that could restrict or prevent the activities from achieving the outcomes
INPUTS Resources used to implement activities (financial, materials, human)	**Input Indicator** Quantitative or qualitative means to measure utilization of stated inputs (resources used for activities)	Measurement method, data source, and data collection frequency for stated indicator	Factors out of the project's control that could restrict or prevent access to the inputs

An example of a completed logframe is given below in table 2:

Table 2: Completed Logframe Matrix

Project Objectives	Indicators	Means of Verification	Risks/Assumptions
Goal Improve the health in target communities in FATA Districts, KPK, by reducing the incidence of polio	**Impact Indicator G1** percent of children younger than 5 who died from polio (child mortality rate)	1. Household survey 2. Medical clinic records	Security/political situation in FATA Districts remains stable and allows for project implementation
Outcome 1 Increased immunization of children less than one-year old in target communities	**Outcome Indicator 1.a** percent of children under 1 year who are fully immunized for polio (immunization coverage)	1. Household survey 2. Vaccine records	Community acceptance of polio vaccine
Output 1.1 Polio Immunization Awareness workshop (and people participation)	**Output Indicator 1.1a.** number of caretakers participating in Polio Immunization Awareness workshops	1. Workshop attendance roster 2. Focus group	Community capacity to participate in project is not compromised by other development initiatives within the community, natural disaster, and so on.
Activity A.1 Translation of polio immunization booklets	**Process Indicator A.1a** number of polio immunization booklets translated	Inventory of translated booklets	
Input I.1 Polio immunization booklets, trainers, facilities, and so on	**Input Indicator I.1a** number of polio immunization booklets printed	Warehouse inventory for booklets and printing receipts	

3. Indicators and M&E Plan (Indicator Matrix)

Indicators

Indicators are defined as quantitative or qualitative variable that provides a valid and reliable way to measure achievement, assess performance, or reflect changes connected to an intervention. Indicators help in observing and measuring the actual results as compared to the expected results. Indicators help by generating information and or data, which are required to guide effective actions. An indicator is neutral in nature and does not embed any direction or target. A bowing treetop is an indicator of the wind, an indicator does not require indicating the direction or extent to which a tree top should bow down.

Effective indicators are a critical logframe element. Technical expertise is helpful, and before indicators are finalized, it is important to jointly review them with key implementers to ensure that they are realistic and feasible and meet user informational need.

It is also important to understand the logframe's hierarchy of indicators. For instance, it is usually easier to measure lower-level indicators such as the number of workshop participants, whereas the higher-level indicators, such as behavioural change, typically require more analysis and synthesis of information. This affects the M&E data collection methods and analysis and has implications for staffing, budgets, and timeframe.

When designing indicators the following questions should be considered;

- **Are the indicators** relevant, measurable, achievable and time-bound? Indicators should be easy to interpret and explain, timely, cost-effective, and technically feasible. Each indicator should have validity (be able to measure the intended concept accurately) and reliability (yield the same data in repeated observations of a variable).
- **Are there international or industry standard indicators?** For example, indicators developed by the United Nations Millennium Development Goals (eg: Achieve Universal Primary Education, Reduce Child Mortality), and the Demographic and Health Surveys have been used and tested extensively. Other indicators include those developed by the Sphere Project and the Humanitarian Accountability Partnership (HAP).
- **Are there indicators required by the donor, grant or program?** This can be especially important if the project-level indicator is expected to roll up to a larger accountability framework at the program level.
- **Are there secondary indicator sources?** It may be cost-effective to adopt indicators for which data have been or will be collected by government departments, private sector, international agency or other NGO's, and so on.

M&E Plan (Indicator Matrix)

The M&E plan (indicator matrix) is a vital tool for planning and managing data collection, analysis and use. It expands the logframe to identify key information requirements for each indicator and summarizes the key M&E tasks for the project. The M&E plan is also known as the indicator matrix, indicator planning matrix or data collection plan.

Table 3: The M&E Plan (Indicator Matrix)

Definition of Indicators						
Indicators	**Indicator Definition**	**Methods/ Sources**	**Frequency/ Schedules**	**Persons Responsible**	**Data Analysis**	**Information Use**
Indicators can be either quantitative (numeric) or qualitative (descriptive observations) and are typically taken directly from the logframe.	Define key terms in indicator for precise measurement and explain how the indictor will be calculated, i.e., the numerator and denominator of a percent measure; also note any disaggregation i.e., by sex, age, or ethnicity	Identify information sources and data collection methods/tools Indicate whether data collection tools (surveys, checklists) exist or need to be developed	Identify how often the data will be collected, monthly, quarterly, or annually List start-up and end dates for data collection and deadlines to develop tools	Identify the people responsible and accountable for data collection/ analysis List each person's name and position title to ensure clarity in case of personnel changes	Describe process for compiling and analyzing data, i.e., statistical analysis	Identify intended audience and use of data, i.e., monitoring, evaluation, or reporting to policy makers or donors State ways the findings will be formatted and disseminated

The indicator matrix consists of the following key components;

- **Indicators:** The indicators provide clear statements of the precise information needed to assess whether proposed changes have occurred. Indicators can be either quantitative (numeric) or qualitative (descriptive observations). Typically the indicators in an indicator matrix are taken directly from the logframe.
- **Quantitative indicators** are measuring units such as number, frequency, percentile, ratio etc. (For example the number of human rights violations, ratio of women-to-men in decision-making positions in the government.)
- **Qualitative indicators** are subjective in nature and indicate presence or absence of certain conditions, extent of quality or comparison with some established standards. Qualitative indicators are used for assessing opinions, judgments or perceptions. (For example, the level of satisfaction project beneficiaries show on the quality of educational services provided by the government).
- **Indicator Definitions:** Each indicator needs a detailed definition of its key terms, including an explanation of specific aspects that will be measured (such as who, what, and where the indicator applies). The definition should explain precisely how the indicator will be calculated, such as the numerator and denominator of a percent measure. This column should also note if the indicator is to be disaggregated by sex, age, ethnicity, or some other variable.
- **Methods/Sources:** This column identifies sources of information and data collection methods or tools, such as use of secondary data, regular monitoring or periodic evaluation, baseline or endline surveys, PRA, and focus group discussions. This column should also indicate whether data collection tools (questionnaires, checklists) are pre-existing or will need to be developed. Note that the logframe column on "Means of Verification" may list a source or method, i.e., "household survey," the M&E plan requires much more detail, since the M&E work will be based on the specific methods noted.
- **Frequency/Schedules:** This column states how often the data for each indicator will be collected, such as monthly, quarterly, or annually. It is often useful to list the data collection

timing or schedule, such as start-up and end dates for collection or deadlines for tool development. When planning for data collection timing, it is important to consider factors such as seasonal variations, school schedules, holidays, and religious observances (i.e., Ramadan).

- **Persons Responsible:** This column lists the people responsible and accountable for the data collection and analysis, i.e., community volunteers, field staff, project managers, local partner/s, and external consultants. In addition to specific people's names, use the position title to ensure clarity in case of personnel changes. This column is useful in assessing and planning for capacity building for the M&E system.
- **Data Analysis:** This column describes the process for compiling and analyzing the data to gauge whether the indicator has been met or not. For example, survey data usually require statistical analysis, while qualitative data may be reviewed by research staff or community members.
- **Information Use:** This column identifies the intended audience and use of the information. For example, the findings could be used for monitoring project implementation, evaluating the interventions, planning future project work, or reporting to policy makers or donors. This column should also state ways that the findings will be formatted (e.g., tables, graphs, maps, histograms, and narrative reports) and disseminated (e.g., Internet Web sites, briefings, community meetings, listservs, and mass media).

The indicator matrix should be developed in conjunction with those who will be using it. Completing the matrix requires in-depth knowledge of the project and its context and this information is best provided by the local project team and partners. This involvement has the benefit of improving data quality because they will understand better what data they are to collect and how they will collect them. Table provides a sample format for an indicator matrix, with column definitions in the first row and a sample indicator in the second row.

Table 4: Example of an M&E Plan (Indicator Matrix)

Indicators	Indicator Definition	Methods/ Sources	Frequency/ Schedules	Persons Responsible	Data Analysis	Information Use
Example Outcome 1a. Percent of children younger than one-year old who are fully immunized for polio (immunization coverage)	1. Children refer to age between 3 days and 1 year 2. Fully immunized for polio refers to getting polio immunization vaccine according to MOH standards (1st dose at any time after birth, 2nd dose at 1-2 months later, 3rd dose at 6-12 months after second vaccination) 3. Numerator: number of fully immunized children in the community Denominator: Total number of children in the community per defined age category	1. Endline randomized household survey 2. Community focus group discussions 3. Community key informant interviews	1. Endline survey depends on the project timeline 2. School Focus Group Discussions (FGDs): teachers, students, and administration at the end of the project 3. Beginning of data collection according to the project timeline 4. Endline survey questionnaire pending depends on the project timeline	External Evaluation Team	1. Project management team during project reflection meeting 2. Post-project meeting with implementing partners facilitated by project manager	1. Project implementation and decision making with community 2. Monitoring process of project with management of implementing partners 3. Impact evaluation to justify intervention to Ministry of Health and donors

4. Data Collection and Data Analysis

Data can be gathered and collected from a variety of sources using a variety of methods. Some methods are hands-on and highly participatory, while others are more exclusive and rely on the opinion of one or two specialist sources. In most cases, it is best to use more than one data collection method. The process of identifying quality data sources and developing data collection methods can be broken down into four sub-steps.

Identify potential data sources

For each selected performance indicator, explore what data sources are available (or might be available if the indicators are conceptualized in different ways). Only indicators for which it is feasible to collect data should be used.

Determining appropriate potential sources of data will require conversations with people knowledgeable about various data sources (partners, government officials, statistical experts or service providers, survey organizations, university research centers, etc.). These contacts will help you to understand:

- What data are already being collected
- Whether existing data would be appropriate for an indicator
- Whether the indicators are relevant and feasible for the situation
- What alternatives may work

If there are no feasible or reliable sources available, then consider proxy indicators for which good data will be available. Major sources of data and information for project monitoring and evaluation include;

- **Secondary Data.** Useful information can be obtained from other research, such as surveys and other studies previously conducted or planned at a time consistent with the project's M&E needs, in-depth assessments, and project reports. Secondary data sources include government planning departments, university or research centres, international agencies, other projects/programs working in the area, and financial institutions.
- **Sample Surveys.** A survey based on a random sample taken from the beneficiaries or target audience of the project is usually the best source of data on project outcomes and effects. Although surveys are laborious and costly, they provide more objective data than qualitative methods. Many donors expect baseline and endline surveys to be done if the project is large and alternative data are unavailable.
- **Project output data.** Most projects collect data on their various activities, such as number of people served and number of items distributed.
- **Qualitative studies.** Qualitative methods that are widely used in project design and assessment are: participatory rapid appraisal, mapping, key informant interviews, focus group discussions, and observation.
- **Checklists.** A systematic review of specific project components can be useful in setting benchmark standards and establishing periodic measures of improvement.
- **External assessments**. Project implementers as well as donors often hire outside experts to review or evaluate project outputs and outcomes. Such assessments may be biased by brief exposure to the project and over-reliance on key informants. Nevertheless, this process

is less costly and faster than conducting a representative sample survey and it can provide additional insight, technical expertise, and a degree of objectivity that is more credible to stakeholders.

- **Participatory assessments**. The use of beneficiaries in project review or evaluation can be empowering, building local ownership, capacity, and project sustainability. However, such assessments can be biased by local politics or dominated by the more powerful voices in the community. Also, training and managing local beneficiaries can take time, money, and expertise, and it necessitates buy-in from stakeholders. Nevertheless, participatory assessments may be worthwhile as people are likely to accept, internalize, and act upon findings and recommendations that they identify themselves.

Generate data collection options

There are a number of data collection methods available. Some of the most commonly used methods are:

- **Structured interview (Closed-ended).** A technique for interviewing that uses carefully organized questions that only allow a limited range of answers, such as "yes/no," or expressed by a rating/number on a scale. Replies can easily be numerically coded for statistical analysis.
- **Community interviews/meeting.** A form of public meeting open to all community members. Interaction is between the participants and the interviewer, who presides over the meeting and asks questions following a prepared interview guide.
- **Direct observation.** A record of what observers see and hear at a specified site, using a detailed observation form. Observation may be of physical surroundings, activities, or processes. Observation is a good technique for collecting data on behavior patterns and physical conditions.
- **Focus group discussions.** Focused discussion with a small group (usually 8 to 12 people) of participants to record attitudes, perceptions, and beliefs pertinent to the issues being examined. A moderator introduces the topic and uses a prepared interview guide to lead the discussion and elicit discussion, opinions, and reactions.
- **Key informant interview.** An interview with a person having special information about a particular topic. These interviews are generally conducted in an open-ended or semi-structured fashion.
- **Laboratory testing.** Precise measurement of specific objective phenomenon, for example, infant weight or water quality test.
- **Mini-survey.** Data collected from interviews with 25 to 50 individuals, usually selected using non-probability sampling techniques. Structured questionnaires with a limited number of closed‑ended questions are used to generate quantitative data that can be collected and analyzed quickly.
- **Most significant change (MSC).** A participatory monitoring technique based on stories about important or significant changes, rather than indicators. They give a rich picture of the impact of development work and provide the basis for dialogue over key objectives and the value of development programs.
- **Semi structured interview (Open-ended).** A technique for questioning that allows the interviewer to probe and follow up topics of interest in depth (rather than just "yes/no" questions).
- **Participant observation.** A technique first used by anthropologists; it requires the researcher to spend considerable time with the group being studied (days) and to interact with them as a participant in their community. This method gathers insights that might otherwise be overlooked, but is time-consuming.

- **Participatory rapid appraisal (PRA).** This uses community engagement techniques to understand community views on a particular issue. It is usually done quickly and intensively – over a 2 to 3 week period. Methods include interviews, focus groups, and community mapping.
- **Questionnaire.** A data collection instrument containing a set of questions organized in a systematic way, as well as a set of instructions to the enumerator/interviewer about how to ask the questions (typically used in a survey).
- **Rapid appraisal (or assessment).** A quick cost-effective technique to gather data systematically for decision-making, using qualitative and quantitative methods, such as site visits, observations, and sample surveys. This technique shares many of the characteristics of participatory appraisal (such as triangulation and multi-disciplinary teams) and recognizes that indigenous knowledge is a critical consideration for decision-making.
- **Self-administered survey.** Written surveys completed by the respondent, either in a group setting or in a separate location. Respondents must be literate (for example, it can be used to survey teacher opinions).
- **Statistical data review.** A review of population censuses, research studies, and other sources of statistical data.
- **Survey.** Systematic collection of information from a defined population, usually by means of interviews or questionnaires administered to a sample of units in the population (e.g., person, beneficiaries, and adults).
- **Visual techniques.** Participants develop maps, diagrams, calendars, timelines, and other visual displays to examine the study topics. Participants can be prompted to construct visual responses to questions posed by the interviewers, for example, by constructing a map of their local area. This technique is especially effective where verbal methods can be problematic due to low literate or mixed language target populations or in situations where the desired information is not easily expressed in either words or numbers.
- **Written document review.** A review of documents (secondary data) such as project records and reports, administrative databases, training materials, correspondence, legislation, and policy documents.

Select data collection option

The best data collection systems are designed to be as simple as possible – not too time consuming, not unreasonably costly, but able to provide you with good information at a frequency that meets your management needs.

Therefore, take **practicality** into account when selecting a data collection tool. Consider the level of effort and resources required to develop the data collection tool and analyze the data. Also think about how often and at what point during the management cycle the data will be available for use, and the conditions in the environment in which you operate.

For example, if data of adequate quality are already collected routinely by a secondary source, costs may be minimal. If primary data have to be collected at your expense, costs will be higher – how much higher will depend on the scope, method, and frequency of the data collection. A survey, for example, may cost several hundred thousand rupees, whereas a rapid appraisal would be much less expensive.

The below table 5 lists some factors and related questions to consider when selecting an appropriate method.

Table 5: Factors to Consider in Selecting a Data Collection Method

Factor	Questions to Consider
Cost	What is a reasonable cost for the team to incur for collecting the data? Some low cost data collection methods limit the type of information that can be collected
Speed	How much time is available and reasonable for data collection and processing? How will shorter collection times impact other data characteristics - accuracy/level of detail?
Geographic Diversity	What is the geographic area impacted by the program? How can data be effectively collected in hard-to-reach or widely-dispersed geographic areas?
Demographic Diversity	How much diversity is present in the target audience (e.g., income, size of organization, ethnicity)? A diverse population whose target audience is non homogeneous on one or more factors may require a bigger sample size to capture impact accurately.
Level of Accuracy	How accurate should the data be? How accurate are the local government statistics? How do you balance level of accuracy against the cost of collecting data?
Reliability	Can comparable data be collected using this same method in the future?
Frequency	How often are the data to be collected? How does this impact data collection in terms of staff/partner resources and costs associated with collecting the data?

Develop data collection tools

Once data collection methods are chosen you will need to develop tools to collect the data. Below in Table 6 guidelines for developing and using several of these tools are presented.

Table 6: Guidelines for Developing and Using Data Collection Tools

Collection Method	Tool	Guidelines
Individual and Group Interviews **(In-depth, Key Informant Interviewss (KIIs), focus groups discussion (FGDs), Community interviews, informal surveys, etc)**	• Guidelines, checklists	• Define the problem and formulate the research question • Identify the sample population for the study • Generate and pre-test the interview guide • Finalise the sample • Conduct the interviews, meetings, focus groups, survey, etc. • Analyze data and share the results with stakeholders

Case study	• Guidelines, Checklists	• Define the problem and formulate the scope and objective of the query with specific attention toward the nature and context of subject • Identify samples to be used in the study. They should address the representational needs of the range of data being evaluated and show the relevance of the study • Select the type of case most appropriate to the needs of the program • Collect the data to be analyzed through a combination of sources • Analyze the data, accounting for rival explanations, reproduction of findings, internal validity, plausibility, ability to generalize, and overall coherence • Evaluate the results regarding ability to generalize and internal data validity • Write the report and share the findings
Surveys	• Questionnaire	• Define the areas of evaluation and develop applicable questions • Establish a survey plan • Develop a sampling protocol that includes a well thought out method of data collection, sampling techniques and method of analysis • Develop the questionnaire • Field test the questionnaire, individual questions and the time it takes to administer the test • Distribute the questionnaire to respondents with a return date. • Provide a follow-up contact with non-respondents • Analyze data and share the results with stakeholders

Data Analysis Plan

A data analysis plan should identify:

When data analysis will occur. It is not an isolated event at the end of data collection, but an ongoing task from project start. Data analysis can be structured through meetings and other forums to coincide with key project implementation and reporting benchmarks.

To what extent analysis will be quantitative and/or qualitative, and any specialized skills and equipment required for analysis.

Who will do the analysis, i.e., external experts, project staff, beneficiaries, and/or other stakeholders.

If and how subsequent analysis will occur. Such analysis may be needed to verify findings, to follow-up on research topics for project extension and additional funding, or to inform future programming.

Utilization and Reporting

Collecting information on project activities and achievements can serve many important functions, such as improving the quality of services; ensuring accountability to beneficiaries, donors, and other stakeholders; and advancing learning. Project reporting is closely related to M&E work, since data are needed to support the major findings and conclusions presented in a project report. Often the focus and frequency of M&E processes are determined by reporting requirements and schedules.

Practical considerations in information reporting and utilization planning include:

- Design the M&E communication plan around the information needs of the users: The content and format of data reports will vary, depending on whether the reports are to be used to monitor processes, conduct strategic planning, comply with requirements, identify problems, justify a funding request, or conduct an impact evaluation.
- Identify the frequency of data reporting needs: For example, project managers may want to review M&E data frequently to assess project progress and make decisions, whereas donors may only need data once or twice a year to ensure accountability.
- Tailor reporting formats to the intended audience: Reporting may entail different levels of complexity and technical language; the report format and media should be tailored to specific audiences and different methods used to solicit feedback.
- Identify appropriate outlets and media channels for communicating M&E data: Consider both internal reporting, such as regular project reports to management, and progress reports to donors, as well as external reporting, such as public forums, news releases, briefings, and Internet Web sites.

M&E Staffing and Capacity Building

Staffing is a special concern for M&E work because it demands special training and a combination of research and project management skills. Also, the effectiveness of M&E work often relies on assistance from staff and volunteers who are not M&E experts. Thus, capacity building is a critical aspect of implementing good M&E work.
Suggestions for ensuring adequate M&E support are to:

- Identify the various tasks and related skills needed, such as adequate data collection systems in the field, research design, and data entry and analysis
- Assess the relevant skills of the project team, partner organizations, and the community beneficiaries themselves
- Specify to what extent local stakeholders will or will not participate in the M&E process
- Assign specific roles and responsibilities to team members and designate an overall M&E manager
- Recruit consultants, students, and others to fill in the skill gaps and special needs such as translation, statistical analysis, and cultural knowledge
- Identify the topics for which formal training is needed and hold training sessions
- Encourage staff to provide informal training through on-the-job guidance and feedback, such as commenting on a report or showing how to use computer software programs

CHAPTER 2

MONITORING AND EVALUATION POLICY

M&E POLICY of SEPLAA Foundation

- **SEPLAA Foundation** is committed to ensure transparency, accountability and effectiveness in all its development efforts, projects and programs.
- To ensure transparency, accountability and effectiveness, **SEPLAA Foundation** requires its management to establish and strengthen an M&E function at organizational level.
- **SEPLAA Foudation** endorses allocating necessary human and capital resources required for establishment and proper functioning of its M&E function.
- **SEPLAA Foundation** firmly believes that our program management practices should be guided by certain M&E Principles. **SEPLAA Fooundation** requires its management to adhere to these principles.

These ***M&E Principles*** are;

Relevance:

- the projects have clearly identified their target beneficiaries
- the projects are meeting the real needs of target beneficiaries
- the projects ensure that the real needs are met in required magnitude

Effectiveness:

- the project results represent the most desirable changes in the lives of the target beneficiaries
- the intervention logic is defined correctly
- the project outputs are significantly contributing towards the project purpose
- the project inputs are identified correctly

Efficiency:

- the project inputs are organized and utilized efficiently to ensure best value for money (the project benefits reach to the maximum beneficiaries by utilizing the available resources)
- the project inputs are the best available resources to achieve the desired results
- the project targets are achieved on planned timelines

Impact

- the project is contributing towards the solution of the subject problem
- the project is contributing towards the long-term goals
- the changes caused or influenced by the project sustain after the life of the projects

Sustainability:

- the project beneficiaries and partners are enabled to sustain and augment the changes caused or influenced by the project
- the reforms pursued by the project in policies, administrative structures, systems, processes and practices are institutionalized within respective entities.
- the project is not producing any changes (intentionally or un-intentionally), which are harmful for the target beneficiaries and the society at large.

Learning & Sharing:

- the key learning points are recorded and used for programmatic decisions for adequate alterations/ adjustments in the design and implementation of intended efforts
- the stakeholders especially beneficiaries are kept informed about relevant achievements, failures, changes and decisions.

Inclusion and participation:

- the stakeholders especially beneficiaries are included in designing, planning and implementation processes.
- no team member is excluded from management processes on the basis of religious, ethnic, sectarian or any other identity.
- no potential beneficiary is excluded from availing the benefits on the basis of religious, ethnic, sectarian or any other identity.

Accountability:

- the stakeholders especially beneficiaries are made part of the monitoring processes.
- A feedback/ complaint system is established and activated for the beneficiaries.
- responsibilities of stakeholders and staff are clearly identified in ways that cater to conflict of interest between implementation and monitoring roles.
- Reporting mechanisms are clearly established specifying the timelines and nature of required information.
- All programmatic decisions/ approvals are recorded adequately.

A. **SEPLAA Foundation** believes that achieving results is the central thrust of our development efforts. **SEPLAA Foundation** hence requires its M&E function to ensure continuous information gathering, assessment, analysis, learning and reporting around results.

B. **SEPLAA Foundation** requires its management to constitute a Monitoring and Evaluation Committee (MEC). The Monitoring and Evaluation Committee will be custodian of **SEPLAA Foundation** M&E function. The following Terms of References (ToRs) spell out the composition and responsibilities of **SEPLAA Foundation** Monitoring and Evaluation Committee (see below).

Terms of Reference of
Monitoring and Evaluation Committee (MEC)

(ToRs of MEC)

1. The BoD/ BoG/ BoT of **SEPLAA Foundation** notifies constitution of MEC, which will be custodian of **SEPLAA Foundation** M&E function.
2. MEC is constituted by having one representation each from the following segment;
    a. BoD/ BoG/ BoT members
    b. stakeholders/ partners
    c. beneficiaries,
    d. civil society e.g. academia, media, social activists etc.
    e. M&E function of **SEPLAA Foundation**
3. The representative of M&E function of **SEPLAA Foundation** is *ex-officio* secretary of the MEC.
4. MEC meets quarterly (or as and when deemed necessary basis).
5. MEC is responsible to ensure that M&E principles are adhered by achieving respective standards.
6. MEC is responsible to ensure that every project complies with **SEPLAA Foundation** monitoring procedures as well as project specific monitoring requirements if arise.
7. MEC is responsible to furnish Quarterly Monitoring Note (QMN) extracting findings of all M&E activities. The QMN is supposed to outline recommendations for BoD/ BoG/ BoT requiring strategic adaptations and/or implementation level changes. QMN may include recommendations such as revisiting the intervention logic, revision of budget, indicators, targets, activities, processes and replacement of spatial coverage etc.
8. The secretary MEC is responsible to draft QMN for MEC in consultation with other members and project/ program teams. The MEC is responsible to finalize the QMN and submit to the BoD/ BoG/ BoT subsequently.

CHAPTER 3
M&E POLICY:
STANDARD PROCEDURES AND METHODOLOGY

Standard Procedures and Methodology

SEPLAA Foundation M&E system strives to attain procedures, which ensure effectiveness, transparency and accountability in to the program management practices at various stages of program cycle. The table below outlines a set of M&E procedures and identifies the type of information required to perform these procedures. Tentative timelines and responsibilities to perform these M&E procedures are also proposed, which may be appropriated as required.

#	M&E Procedure	Key tasks and guidelines	Frequency /Timeline	Responsibility
1	Preparing and updating M&E policy manual	Step 1Preparing to set up an M&E System Develop organization's long term (i.e. 5 years) LFM/ Results Framework ascertaining long term objectives and indicators. Develop Performance Monitoring Framework supplementing organization's LFM/RF. This will require reviewing indicators, identifying baseline data, setting targets, identifying data sources, data collection methods, frequency of data collection and responsibilities for data collection. Constitute project monitoring teams. This may require hiring of new staff. In case of non-availability of monitoring staff (for example due to budgetary constraint), designate Monitoring Focal Person/s (MFP) from within the available team/ staff. It is important to ensure that the staff/ team members having a background in monitoring are designated as MFPs. Please note that; Reporting line of the monitoring staff is separately drawn from the project supervision/ management line to avoid conflict of interest element. the work-load of the designated MFPs is considered and appropriated accordingly. Terms of References for monitoring positions/ staff are clearly identified. Conduct orientation session/s to help the monitoring staff clearly understand **SEPLAA Foundation** M&E policy and standard M&E procedures. Facilitate the inducted/ designated monitoring staff in clearly understanding their role to ensure an efficient implementation of **SEPLAA Foundation** M&E policies and procedures, thereto. Facilitate monitoring team in understanding the intervention logic of project/s. It is very important to ensure that the monitoring team acquires an in-depth understanding of the results promised by the project/s. Develop/ review project based Performance Monitoring Frameworks. Developing Performance Monitoring Framework may also require development of data collection instruments specific to the needs of a particular project. The monitoring team is required to grasp the project specific monitoring requirements. The monitoring team is also required to identify and outline project specific M&E tasks and instruments as may be proposed or required by the project. Identify (project) specific reporting requirements. Discuss, understand and practice the reporting templates. Specify timelines and responsibilities to complete reporting requirements. Please note the following; The monitoring team is required to ensure that project specific monitoring tasks and instruments have interface with **SEPLAA Foundation** performance monitoring framework.	Annual	Management through M&E Function
2	Approval of M&E Manual		Annual	BoD
3	Routine sharing of M&E manual with relevant staff		As and When required	Management through M&E Function
4	Resourcing M&E function with dedicated staff and finances		As and When required	Management through BoD
5	Establishing program objectives (long and short term objectives)		3 to 5 yearly	BoD and Management
6	Identification of quantitative and qualitative indicators to measure achievement of program objectives		3 to 5 yearly for program/ Project based	BoD and Management M&E Function
7	Identification of program interventions and activities		3 to 5 yearly for program/ Project based	BoD and Management/ M&E Function
8	Development of Results Framework based on its objectives, indicators		3 to 5 yearly for program/ Project based	BoD and Management/ M&E Function

	and activities	A set of sample monitoring instruments/ TEMPLATES is also attached with this manual. However, this may require addition, deletion or adaptation as per the project specific requirements. Keep stakeholders on board and seek their feedback while planning for implementation of M&E tasks/ procedures. Discuss M&E procedures and adopt/ adapt accordingly. Develop a monitoring plan which lists all the monitoring activities, timelines and the responsibilities to conduct these activities. Prepare/ review Annual Project Work-plan with quarterly break-down of targets and Annual Project Budget with quarterly break-down of amounts. Identify arrangements to carryout M&E activities. This will have cost implications. Align the cost of M&E activities with the project budget. *Step 2: Implementing an M&E system* (Gathering data/ information and analyzing) Implement monitoring activities as per the plan. Start gathering required information using monitoring instruments. Make system to gather and consolidate information. The information which is gathered must be answering the following questions. To what extent the activities have taken place? To what extent the outputs have been produced and counted? What are the tangible outputs/ products produced by completing the activities? How much output targets have been achieved during the reporting period? Who are the beneficiaries of these outputs/ products? If the outputs are benefitting the identified beneficiaries? How many people benefited from these outputs/ products (if the outputs are benefitting the desired number of people)? If the benefits are distributed equitably among women, men, minority, children etc? To what extent the outputs produced and counted satisfy inclusion and participation (of the genders, minorities, stakeholders, beneficiaries etc) What are the changes created/ contributed by the outputs (if the outputs are causing desirable change in behaviors, attitudes, practices, skills, capacities etc)? What extent these changes are likely to contribute towards the project purpose/ intended outcome? To what extent, the outputs produced and counted seem contributing towards the change in the perceptions, attitudes, practices, skills etc? To what extent, the indicators have moved from baseline towards the target? To what extent, the outputs produced seem contributing towards the outcome at large? Lessons about partnerships, successes and failures; what worked and what went wrong? Conduct any other monitoring activity deemed necessary such as special monitoring missions, case studies etc.*Step 3: Analyzing, Learning and Integrating lessons* Summarize the collected information and analyze the findings. Ensure that the information meets the needs of the management. Conduct reflection sessions and/ or review workshops for validation of collected information as well as collective learning. Generate recommendations for adoption of required changes/ alterations/ modifications. (this is very essential task since this helps in re-aligning our efforts for achievement of desirable/ intended results) Seek approval of the required changes/ modifications. Implement the changes/ modifications.		
9	Annual work planning based on results framework		Annual	Project Team/s
10	Updating annual work plans on quarterly basis Note: It is advised that process and quality standards of activities are also identified.		Quarterly	Project Team/s
11	Development of annual monitoring and evaluation plan		Annual	M&E Function
12	Updating annual monitoring plan on quarterly basis		Quarterly	M&E Function
13	Establishing baseline in the beginning of program/ project			
14	Establishing Progress tracking system (manual/ automated) which produces measurable data		Monthly/ Quarterly	M&E Function
15	Development of Performance Measurement Framework		Project based	M&E Function
16	Reviewing and updating Performance Measurement Framework		Regularly/ quarterly	M&E Function
17	Data collection			M&E Function
18	Monitoring visits for verification of collected data			
19	Compiling/		Required	M&E Function

	consolidating/ collating progress against all plans	*Step 4: Reporting of results* Plan for reporting results. This will require embedding the reporting requirements, timelines and responsibilities in to the project monitoring plans. Identify and know your audience. It is important to know the requirements and interests of the target audience, which will determine the purpose of reporting results. In general, results are mainly reported for accountability, advocacy (including awareness raising) and/ or participatory decision making purpose/s to seek financial support, commitment for action, cooperation and/ or improved coordination. The identification of the right purpose further guides us in knowing; What type of information (e.g. numeric or subjective) is required for desired reporting? How much information is required? (It is very important to limit our wish list. Since the information gathering involves time, efforts and resources, it should therefore be determined that how much information would suffice our reporting requirements) What writing style should be adopted or how to narrate the results? Form a team for reporting/ communicating results. Reporting/ communicating results in ways preferred by the target audience can earn back huge support/ response. This is recommended to pool multiple professional experts in to the reporting team. Involve people with skills in presenting statistical data, writing catchy narratives, formatting and most importantly people with ability to interpret results by drawing conclusions from M&E findings. (In case the organization does not have in-house capacity to pool the abovementioned skills, involve volunteer students, teachers and social workers). Raise consensus on M&E findings. Discuss the M&E findings with the stakeholders and reach to the agreed conclusions. This will help in enhancing the accuracy of the M&E findings. Draft narrative on performance against results. The narrative should be based on the agreed M&E findings. The narrative on results' performance may include the following elements. what was the main idea/ crux behind the output and how the output is linked with the project outcome/s progress on the output delivered (quantity, spatial coverage, beneficiaries etc) immediate effect of the output (how the output has contributed towards achieving the desired change e.g. change in behavior, practices, knowledge, skills, capacities etc) what are the examples to qualify reporting the change If the outputs delivered took in to consideration the inclusion, gender balance, participation of and accountability to the beneficiaries and stakeholders? What are the activities performed to deliver these outputs, implementation methodology/ process User's perception on the quality and contribution of the output. Efficiency of resources invested Major learning outcomes (what went well and what went wrong) Note: it is important to understand that these are the generic elements of reporting results. The emphasis and order of these elements may vary in different reporting environments. Share narrative with the concerned team members and seek feedback. Incorporate the feedbacks, which enhance clarity of the narrative and presentation of the information to capture the interest of the target audience as well as serve the intended purpose. Finalize the narrative and share with the target audience.	reporting intervals	
20	Reporting key lessons to further improve program design and delivery		Quarterly	M&E Function
21	Periodic internal evaluations		Annual	M&E Function
22	External evaluations		Mid-term/ project End	Management and M&E Function
23	M&E Institutional Assessment of the organization		Annual	M&E Function with Program team/s

ANNEX 1
MONITORING AND EVALUATION PLAN

SEPLAA Foundation

Monitoring and Evaluation Plan

CONTENTS

1. Introduction

Acronyms

List relevant acronyms and terms used by your project.

Acronym Definition

Purpose of M&E Plan

What is the purpose of the M&E plan? This is a question for you to consider and answer with key personnel/stakeholders at your organization – your M&E team. Ideally you want to engage key persons from multiple sectors in your M&E system such as data collectors and programme managers. The audience of this document may vary from one organization to another.

Some suggestions, an M&E plan:

- *Allows our organizations to work more effectively and efficiently towards achieving our programme goals and objectives.*
- *Is a communication tool that outlines various roles and responsibilities regarding monitoring and evaluation for a project or organization.*
- *Organizes plans for data collection, analysis, use, and data quality.*
- *It outlines specific strategies and tools to encourage informed decision making.*
- *Organizes the numerous M&E activities that must take place in order for M&E to be truly successful in our places or work.*
- *Engages a wider body of people in an organization so that M&E is integrated into part of everyone's' job.*

[Organization/Project] Overview

Background of Organization and Project

Summarize background information of your organization and project.

Vision Statement

List your organization's vision statement. This helps all users of this document link project activities and our work in monitoring and evaluation to our more fundamental reason of coming together.
If you're not sure of your organizations' vision statement, go find out! Does it still apply? Do you think it needs revisions?

Project Description

This is your opportunity to describe in summary form the main points of your project, activity, or organization. Provide relevant background information on the work that you are doing including any pertinent demographical information on the public health issue you are addressing.

Goal: What is the goal of your project? This is the main goal that drives all of the activities and related sub-activities.

Objective: What are the specific objectives that you have outlined as steps in order for you to take to accomplish your desired goal?

Activities: The activities are what you to do carry out your objectives.

Sub-activities: Sometimes there are "sub" objectives that must be accomplished in order to achieve your main objectives. If your main objective is, for example, to build strengthen routine surveillance for influenza-like illness, developing a case definition for influenza-like illness may be a "sub" objective or activity that would need to be planned for as part of your main activity.

2. Logical Framework

Goal: What is the intended goal of the activity or project?

Objective: What are the planned objectives designed to achieve your desired goal?

Begin by inserting your activities

Input	Activity	Output	Outcomes	Impact
Quantifiable resources going in to your activities – the things you budget for.	1) What you do to accomplish your objectives? 2) What else do you do to accomplish these objectives? Are there any sub-objectives that should be measured? In most cases each activity should have its own set of inputs and outputs.	Immediate results from your activity, e.g.: - people trained - services provided	Longer-term expected results related to changes in knowledge, attitude, and behaviour. Outcomes usually give an indication whether program goals are being achieved	Long-term, effect on the incidence (e.g. reduction in mortality due to influenza-like illness) of the disease or the effects on the population at large (e.g. population living longer/healthier) Can relate to a program or organization vision / mission statement

3. Indicators

Indicators are how we measure progress towards a specific objective or goal. After you've laid out the various levels (input, output, outcome, impact) of your activity, you can then begin to decide how to measure progress towards achieving your objectives and goals by selecting appropriate indicators.

	Input	Activity	Output	Outcomes	Impact
Level	Quantifiable resources going in to your activities – the things you budget for.	1) What you do to accomplish your objectives?	Immediate results from your activity - people trained, services provided	Longer-term change in knowledge, attitude, behaviour, etc. Related to programme Goal	Long-term, population level change. Can relate to a programme or organizations vision / mission statement
Indicator **(***example***)**	*- # of training manuals* *- amount of money spent on the training workshop*	**Training**	*# of people trained* *# of trainings conducted*	*Measure of change in quality of care provided to patients infected with Influenza A/H5N1*	*ILI Case Fatality Ratio*

4. Data Flow and Use

4.1 Data Flow

Map the flow of your data from collection to use and examine areas where data processes can be consolidated or uses can be enhanced. Differentiate between data elements and indicators (transformed data)

Source →	Collection →	Collation and Storage →	Analysis →	Reporting →	Use
What are we collecting?	*Who collects this data, from where, and how often?*	*How are data aggregated?* *Where are the data stored?*	*List any possible opportunities to transform the data into more meaningful information and thus for further review* *Are there other pieces of information available?*	*To whom will this information be reported?*	*How can this information be used to make informed decisions? List specific opportunities for use.* *Link to Data Use Template (4.2)*
Data elements	*Data elements*	*Data elements* *Indicators*	*Data elements* *Indicators*	*Indicators*	*Indicators*

4.2 Data Use Plan

Summarize planned uses for the collected data. Think about how information collected can be utilized to make informed programme decisions and what steps can help ensure that data collected get to the right person in the right time in the right format!

Indicator	Uses	Stakeholders	Mechanism	Format	Next Steps
List by indicator	*What are the multiple uses for the information generated from this indicator?*	*Who will you want to communicate this information to?*	*How will you communicate this information?*	*How should this information be formatted to best reach the intended user?*	*What steps must be taken to ensure that this information is used?* *Any follow up needed? Feedback?*

4.3 Stakeholder Analysis

It is important to have key stakeholders involved and informed. Understanding a specific information users' background and characteristics will better help to meet their information needs and lead to more informed decision making.

Stakeholder Analysis

Stakeholder	Stakeholder Background (knowledge, experience, etc.)	Stakeholder Demographic Characteristics	What information is required? (Stakeholder needs and interests)	Why is the information required?	When is the information required?	How will the information be communicated? (format)
External Stakeholder						
Internal Stakeholder						

5. Data Quality

5.1 Data Quality Management Plan

Identifying and managing potential risks to the quality of data collected and information used is of utmost important to programme success.

Name of Indicator	Data Quality Issues	Actions Taken or Planned to Address this Limitation	Additional Comments
(list by indicator)	*List possible risks to the quality of data collected. Consider the five criteria for data quality: validity, reliability, integrity, precision, and timeliness.*	*How will the identified possible risks to the quality of data be managed?*	

6. Evaluation

Evaluation can help you learn additional information from programmes such as activity outcomes and quality of services provided that cannot be gained from a routine monitoring system.

It is important to plan for programme evaluation prior to implementation when possible since it will typically require additional data collection that may only be done periodically.

Guideline for Using Evaluation to Answer Key Programme Questions

Process Evaluation
What intervention can work in this context (interventions that have proven effective in this context)? Are we doing the right things are we doing it right and on a large enough scale?

Outcome Evaluation
Is the intervention working, is it making the intended difference in outcomes such as changes in knowledge and behaviour?

Impact Evaluation
Are our combined efforts affecting change on a population level?

Additional Information
List any evaluation activities that you are currently implementing and the evaluation questions they are addressing.

How will the data be obtained?

7. Reporting Plan

Include a matrix of what you will report, to whom, and when. In addition, describe what information products based on data translated into strategic information (eg, reports, bulletins, graphics, newsletters) will be fed back to stakeholders who have reported data to you. Correlate this to your Stakeholder analysis and to your reporting requirements.

Data element	Information Product	Recipient	Date
(what you've been collecting)	(specific report(s) based on a data element or grouping of data elements, indicators)	(NAHICO, MOH, MOA, development partner(s), implementing stakeholder(s))	(date each report is due)

8. Appendices

8.1 Indicator Information Sheets Introduction

The purpose of the following sheets is the act as a comprehensive guideline for all things related to our data: collection, quality, and use. This is also a communication tool so that a wider body of people understand some of the critical components of these sheets. Every indicator (information collected) should have some form of indicator information sheet.

Note: Not every indicator requires a complete set of information filled out in the indicator information sheets. You will find that for INPUT and OUTPUT data, the information and detail you will need to manage is much less.

8.1 Indicator Information Sheet Template

Indicator Protocol Reference Sheet Number: I
Name of Indicator: *Simply put as possible, insert the name of this indicator*
Result to Which Indicator Responds: *The specific result that this indicator corresponds to.*
Level of Indicator: *Does this indicator respond to an INPUT, OUTPUT, OUTCOME, or IMPACT level result?*
Description
Definition: *Unpack as much as possible the specific definition of this indicator. Spell out nearly every word so that all who come across use of this indicator have the same complete specific understanding of the intention of what this indicator is intended to measure.*
Unit of Measurement and Desegregations: *In what unit will this indicator be captured and are there any disaggreations (male / female, age, etc.)*
Plan for Data Acquisition
Data Collection Method: *When was this data collected?*
Data Source: *Where was the data collected? (Where was the data borne?)*
Frequency and Timing of Data Acquisition: *How often are the data collected?*
Individual Responsible: *Who is responsible (what position) is responsible for collected the data?*
Location of Data Storage: *Where, specifically (which office, which drawer) are the raw data stored?*
Data Quality Issues
Known Data Limitations and Significance: *Are there identified threats to the quality of this data? Consider: Validity / Reliability / Integrity / Precision / Timeliness*
Actions Taken or Planned to Address this Limitation: *What are some steps you have taken to manage the possible threats to data quality.*
Internal Data Quality Assessments: *Have you performed your own Data Quality Assessment?*
Plan for Data Analysis, Review & Reporting
Data Analysis: *Do the data from this indicator require a specific plan for analysis? If yes, please describle. If not, please delete this section for this indicator.*
Review of Data: *Do the data from this indicator require a specific plan for review (internal / external) before dissemination? If not, please delete this section.*
Using Data : *Where must the data from this indicator go? Funders? Internal / external decision makers. Who needs this information to make decisions?*
This sheet was last updated on: **Other notes / comments:**

8.2 Target Setting Worksheet

Indicator:	Year One			Year Two			Year Three			Notes:
	Baseline	Target	Actual	Baseline	Target	Actual	Baseline	Target	Actual	

8.3 Members of M&E Team

Monitoring and evaluation is most successful when everyone in your organization has an established role in M&E. To help initiate this process, setting up an M&E Team can be helpful in integrating key concepts of M&E, such as data use and data quality, into various sectors of your organization.

Who is involved in your M&E team? Identify all individuals involved with various aspects of monitoring and evaluation in your organization: data collectors, information system personnel, programme managers, directors, etc. This team should meet on a regular basis to check in with progress on planned M&E activities and to use information from our monitoring and evaluation systems to inform decision making within your organizations.

Team Member	Role / Responsibility

8.4 Costing for M&E

Key M&E Activities (Survey, Focus Group, Data Base Development, M&E Plan Development, Dissemination, Data Quality Assessment)	Salaries	Consultant	Travel	Meetings	Documentation	Dissemination	Other Direct Costs e.g. computers software	Activity Subtotal
M&E Activity 1								
M&E Activity 2								
Total								