Handbook on Monitoring and Evaluating for Results

Preface

Since 1999, UNDP has embarked on a major programme of reform and renewal to be able to demonstrate where and how the organization is making a measurable contribution to the elimination of poverty. Results-Based Management (RBM) is the major pillar of UNDP's transformation: performance at the level of development goals and outcomes is systematically measured and improved, and resources are strategically managed and put to the best possible use to enhance the organization's development effectiveness. The shift to a culture of performance calls for the realignment of all UNDP programming instruments with the organization's RBM methodology, including monitoring and evaluation M&E).

In the future, the success of UNDP will be judged by its measurable contributions to the achievement of higher-level outcomes. The emphasis on outcomes has underscored that development effectiveness rests on strengthening institutions, improving policy frameworks and forging strategic partnerships to coordinate and achieve development results.

The focus on outcomes places new demands on the role of monitoring and evaluation arrangements in UNDP. The emphasis of monitoring and evaluation has shifted toward a better measurement of performance; the systematic monitoring of and reporting on those results; and, most importantly, the fostering of an organizational culture of learning, transparency and accountability.

The Handbook on Monitoring and Evaluating for Results aims to support country offices in aligning their monitoring and evaluation systems around tracking and measuring the performance and contributions of their interventions and strategies to their outcomes.[1] It aims to provide simple, flexible tools for monitoring and evaluation that respond to the future needs of UNDP.

The Handbook will be used by various levels of management within UNDP who rely and use monitoring and evaluation information to report on results, improve interventions and make programme and policy decisions. It will also be used by staff concerned with policy advice and dialogue for monitoring progress in policy change and reform. The Handbook may also be used by an external audience, including other United Nations agencies and development partners, governments and non-governmental organizations (NGOs), independent evaluators engaged by UNDP and members of the academic community. As such, it is expected to contribute to capacity development for UNDP and its national partners.

In addition to the printed version of this Handbook, the document is available in its entirety on the Evaluation Office's website (http://www.undp.org/eo/). The website contains, inter alia, frequently asked questions (FAQ), a periodic update and development of *all* M&E methodologies within UNDP, references to other resources and training packages.

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[1] The Handbook specifically addresses the monitoring and evaluation of development results. Its scope does not cover monitoring of management actions. Nevertheless, where monitoring and evaluation actions at country level also concern management action, this is mentioned.

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Introduction

Purpose of the Handbook

The Handbook on Monitoring and Evaluating for Results is intended to:

- Strengthen the results-oriented monitoring and evaluation function and capacity in UNDP, for improving programmes and policies, organizational learning and accountability.

- Introduce simplified, streamlined and flexible approaches and tools focused on monitoring progress toward outcomes consistent with the organization's simplification initiative and drawing on the experience of UNDP and its partners.

- Establish methods to link the outputs of UNDP projects, programmes, policies, partnerships and soft assistance, with progress towards SRF (Strategic Results Framework[2]) outcomes.

- Explain new innovations and methodologies in results-oriented monitoring and evaluation, including the role of partners in outcome monitoring and evaluation.

- Provide practical guidance to country offices on monitoring and performance assessment.

Structure and Content of Handbook

The Handbook is divided into four parts, and annexes, as follows:

Part One presents the conceptual and operational framework for monitoring and evaluation in a results-based context. It introduces the elements of the new framework, defines the key concepts of outcome monitoring and outcome evaluation, and delineates their scope and purposes.

Part Two represents the main body of the Handbook for daily use. It provides practical guidance on the planning, organization and conduct of monitoring and evaluation processes focused on development results (outcomes and outputs). It provides approaches and methods that can be used to measure performance through monitoring and evaluation. The corresponding tools are featured in annexes.

Part Three discusses performance measurement and the use of indicators in monitoring and evaluation.

Part Four addresses the role of evaluative evidence for organizational learning and knowledge management.

The Annexes include optional, flexible formats for selected monitoring and evaluation tools, such as sample Terms of Reference (TOR) and an annotated outline for an outcome-level evaluation report. The formats and

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[2] See the Glossary for a complete definition of the SRF.

samples will be available electronically on the UNDP Evaluation Office (EO) website (http://www.undp.org/eo/) for easy adaptation by each organizational unit. Also annexed are the glossary, acronyms and a bibliography.

The Handbook will be supplemented with additional and more in-depth guidance for monitoring and evaluation (called the Companion Series) in select areas, for specific target groups—for example, "Guidelines for Outcome Evaluators" and "Evaluation Capacity Development (ECD)".

Finally, the Handbook has greatly benefited from the experience of other development agencies in monitoring and evaluation and in results-based management. Bibliographic and electronic references, and the information resources of UNDP and partner agencies, are available on the EO website.

All users are encouraged to provide feedback (and learning from experience) to the Evaluation Office, to improve continually the M&E framework. These updates, lessons learned and additional experience related to the Handbook will be provided electronically on the EO website (http://www.undp.org/eo/) for users to keep abreast of developments in the application of monitoring and evaluation for results.

Part 1
The Monitoring and Evaluation Framework

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PART 1 CONTENTS:

Chapter 1: Purposes and Definitions of Monitoring and Evaluation
Chapter 2: Results-Based Management and Monitoring and Evaluation

Chapter 1. Purposes and Definitions of Monitoring and Evaluation

Why do we have to monitor and evaluate our work? The focus of monitoring and evaluation is to enhance the effectiveness of UNDP assistance by establishing a clear link between past, present and future interventions and results. Monitoring and evaluation can help an organization to extract, from past and ongoing activities, relevant information that can subsequently be used as the basis for programmatic fine-tuning, reorientation and planning. Without monitoring and evaluation, we would not be able to judge if we are getting where we want to go, whether we can credibly claim progress and success or how to improve on our efforts.

This chapter highlights the main <u>purposes</u> of monitoring and evaluation, and explains how these functions are of use to the organization. This chapter also introduces the <u>definitions</u> of monitoring and evaluation.

This chapter covers:

1.1. Purposes of Monitoring and Evaluation

## 1.2. Definitions of Monitoring and Evaluation

1.1. PURPOSES OF MONITORING AND EVALUATION

In results-based management, **the overall purpose of monitoring and evaluation is performance *measurement* and *assessment*** in order to learn and manage for development results more effectively. The emphasis on demonstrating performance – progress towards and achievement of results – places new demands on the role of monitoring and evaluation in country offices (COs) and programme units. The shift in focus of monitoring and evaluation is on striking the right balance between assessing inputs and implementation processes (where the focus has traditionally been), and assessing the contributions of outputs, partnerships, policy advice and dialogue, advocacy and brokering/coordination to the achievement of a given development outcome (where the focus is now). As a result, Programme Managers need to actively respond to the information provided through monitoring and evaluation by applying this information to improve strategies, programmes and other activities.

In order to improve on performance and achieve results, the main objectives of monitoring and evaluation are to:

a. enhance organizational and development learning;
b. inform decision-making; and
c. support substantive accountability and UNDP repositioning.

Figure 1
Monitoring and Evaluation help staff to….

Building country capacity in each of these areas (and in monitoring and evaluating per se), is an overarching objective.
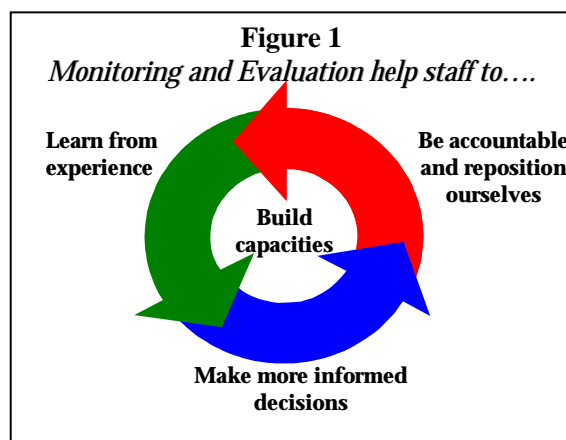
These objectives are inter-linked (see **Figure 1**). By learning from the past we make more informed decisions, by making better decisions we become more accountable to our stakeholders for our results and actions. Better decisions also allow us to continually reposition ourselves and our activities for improved performance. Partnering closely with key stakeholders throughout this process also promotes shared knowledge creation and learning, helps transfer skills and develops UNDP country office and project capacity for planning, monitoring and evaluation – all of which are central to the UNDP mission. In addition, feedback from stakeholders is a crucial ingredient for improving performance and learning. Thus the cycle continually reinforces good practices at the heart of monitoring and evaluation for results and, as a consequence, makes an essential contribution to development effectiveness.

1.2. DEFINITIONS OF MONITORING AND EVALUATION

There are **two distinct but *closely connected level*s** at which monitoring and evaluation take place:

- **Programmes and projects** that help generate the outputs contributing to the achievement of outcomes.
- **Outcomes** that represent the development changes intended to emerge from UNDP's efforts, including through the production of outputs and the related contributions of partners.

Throughout the Handbook, specific approaches, techniques and tools for monitoring and evaluation are presented that need to be applied at each of these levels. Traditionally, UNDP staff was more familiar with programme- and project-based monitoring and evaluation. With results-based management, however, the

challenge is to go beyond monitoring and evaluation of programme and project performance – in terms of the production of outputs – to linking such performance with rigorous and credible assessments of progress towards and achievement of outcomes. See **Figure 2** below for how outputs and outcomes inter-relate along the "results chain."

Figure 2: The Results Chain
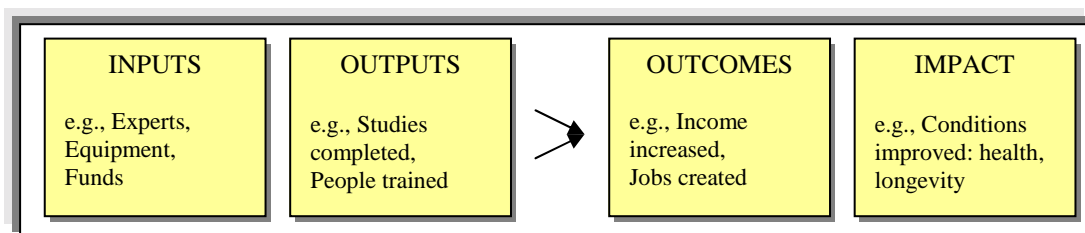
Regardless of the level at which monitoring and evaluation take place, common definitions of key concepts need to guide our actions.

- **Monitoring** – Monitoring is a continuing function that aims primarily to provide the management and main stakeholders of an ongoing intervention – be it of a project, programme or outcome nature – with early indications of progress, or lack thereof, in the achievement of results. **Reporting**, namely the systematic and timely provision of essential information at periodic intervals, is an integral part of the monitoring and evaluation function. **See** ☞ **Chapter 4** and the **Annexes** on how to conduct monitoring.

- **Evaluation** – Evaluation is a selective exercise that attempts to assess systematically and objectively progress towards and the achievement of an outcome (even project evaluations that assess relevance, performance and other criteria need to link to outcomes). In the context of results-based management, the outcome evaluation must increasingly be seen as an exercise rather than as a one-time event, involving assessments of differing scope and depth carried out at several points in time in response to evolving needs for evaluative knowledge and learning during the effort to achieve an outcome. **See** ☞ **Chapter 5** on evaluation.

- **Feedback** – is a process within the framework of monitoring and evaluation by which information and knowledge are disseminated and used to assess overall progress toward results or confirm the achievement of results. Feedback may consist of findings, conclusions, recommendations and lessons from experience. It can be used to improve performance and as a basis for decision-making and the promotion of learning in an organization. **See** ☞ **Chapter 7** on knowledge and learning.

- **Lessons learned** – are learning from experience that is applicable to a general situation rather than to a specific circumstance. The extent to which stakeholders not only learn but also internalize their learning from evaluative knowledge is often a direct result of the extent to which they are involved in the evaluation process. This implies that the way in which an evaluation is conducted will impact upon the sustainability of the relevant results. Lesson learning also reveals best practices that serve to accumulate and apply knowledge about how and why certain interventions or strategies work in different situations and contexts. Documentation of lessons learned and best practices is essential.

Chapter 2. Results-Based Management and Monitoring and Evaluation

This chapter highlights the main features of a results-based monitoring and evaluation system, and its rationale. It talks about the role of M&E in the new UNDP/RBM context, and shows what differs from the past with a results-based approach. The chapter should help users to pinpoint needs for changes in behavior and focus in their M&E activities.

This chapter covers:

2.1. Monitoring and Evaluation in the Context of RBM
- Outcome Monitoring
- Outcome Evaluation
- Relationship Between Outcome Monitoring and Evaluation
- Importance of Partnerships to Outcome M&E
- Significance of "Soft" Assistance for Outcome M&E

2.2. Implications for the Country Office
- Changes in M&E Tools and Processes
- Roles and Responsibilities
- Practical Challenges for Programme Managers

2.1. Monitoring and Evaluation in the Context of RBM

This section looks at the major changes in the focus, approach and application of monitoring and evaluation brought about by RBM.

Outcome Monitoring

In UNDP, monitoring traditionally took place at the project level. As UNDP focuses more on outcomes, however, the success of its interventions will be determined by their measurable contribution to development changes. UNDP interventions consist of projects, programmes, partnerships and soft assistance delivered outside projects or programmes—all acting in concert to achieve an outcome. This shift from project/output to outcome has resulted in a corresponding shift in the role and focus of the monitoring function.

Outcome monitoring is a continual and systematic process of collecting and analyzing data to measure the performance of UNDP interventions toward achievement of outcomes at country level. While the process of outcome monitoring is continual in the sense that it is not a time-bound activity, the medium-term nature of outcomes requires that outcome monitoring be <u>periodic in nature</u> so that change can be perceived. That is, country offices will accumulate information on an ongoing basis regarding progress toward an outcome but will only periodically compare the current situation against the baseline for outcome indicators and assess/analyze the situation.

What does outcome monitoring include?

Outcome monitoring focuses on the following range of interventions and strategies and their implications:

> ➢ Projects
> ➢ Programmes
> ➢ Partnerships
> ➢ "Soft" assistance

> **Note!** In order for a country office to effectively monitor outcomes and their outputs, it has to determine exactly what specific projects, programmes and other activities (including advice, advocacy, etc. delivered outside of projects) contribute to any specific outcome.

> (e.g. policy advice/dialogue, advocacy and brokerage/coordination provided outside of established projects or programmes)
> ➢ Implementation strategies (relevance and effectiveness vis-à-vis outputs)

Through outcome monitoring, Programme Managers track the outputs (specific products and services that emerge from processing inputs through programme or non-programme activities) and measure their contributions to outcomes by assessing the change from baseline conditions. Programme Managers need to keep an eye on the relevance and efficiency of strategies vis-à-vis the delivery of key outputs. Relevance in a results-based context refers to whether or not a UNDP intervention contributes to the achievement of a key outcome, supports national development priorities, and targets appropriate groups.

To conduct effective outcome monitoring, Programme Managers need to establish baseline data, select outcome indicators of performance, and design mechanisms that include planned actions such as field visits, stakeholder meetings and systematic analysis or reports.

It is important to remember that outcome monitoring is not the same as implementation monitoring (see

Table 1 below). Project managers in particular will still be expected to monitor the implementation of their projects. This monitoring, however, should be planned and integrated with any outcome monitoring to avoid duplication and lower transaction costs.

Table 1: Key features of implementation versus outcome monitoring	
Ideal Elements of Implementation Monitoring (Traditionally used for projects)	**Ideal Elements of Outcome Monitoring** (Used for a range of interventions and strategies)
• Description of the problem or situation before the intervention • Benchmarks for activities and immediate outputs • Data collection on inputs, activities and immediate outputs • Systematic reporting on provision of inputs, etc. • Directly linked to a discrete intervention (or series of interventions) • Designed to provide information on administrative, implementation and management issues as opposed to broader development effectiveness issues	• Baseline data to describe the problem or situation before the intervention • Indicators for outcomes • Data collection on outputs and how/whether they contribute towards achievement of outcomes • More focus on perceptions of change among stakeholders and more of a focus on "soft" assistance as well as "hard" • Systematic reporting with more qualitative and quantitative information on the outcome progress • Done in conjunction with strategic partners • Captures information on success/failure of UNDP partnership strategy in achieving the outcomes

Outcome Evaluation

Outcome evaluations cover a set of related programmes, projects, strategies and assistance such as policy advice or advocacy delivered outside the confines of a project or programme, that together contribute toward a certain SRF outcome. An outcome evaluation assesses *how* and *why* outcomes are or are not being achieved in a given country context, and the role UNDP has played in the achievement or inachievement. It can also help to clarify the underlying factors that explain the achievement or lack thereof of outcomes; highlight unintended consequences – both positive and negative – of interventions; recommend actions to improve performance in future programming; and generate lessons learned.

What does outcome evaluation include?

Outcome evaluations are designed to fill a number of different needs, ranging from early information about the appropriateness of UNDP's partnership strategy or impediments to achieving the outcome, to mid-course adjustments, to lessons learned for the next country programming cycle.[3]

The standard objectives of an outcome evaluation are to extract lessons learned, findings and recommendations—with varying degrees of emphasis among these objectives depending upon the purpose (and timing, scope and duration) of the evaluation—for:

a. Assessing progress towards the outcome
b. Assessing the factors contributing to the outcome
c. Assessing key UNDP contributions (outputs, including those produced through soft assistance) to outcomes
d. Assessing the partnership strategy

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[3] Formerly the "Country Cooperation Framework cycle."

These four major components (i.e., the outcome, the substantive influences, UNDP's contribution and how UNDP works with the other relevant actors) are examined in depth to varying degrees depending upon the purpose of the exercise. Other objectives can be added to these—e.g., objectives related to implementation issues—with the caveat that the more objectives added to any given evaluation, the more time and financial resources will be needed for the exercise and less detailed products can be expected.

Together with the rest of the country office team, Programme Managers plan outcome evaluations at country level using the Evaluation Plan (**See** ☞ **Chapter 3** on planning for evaluations). Country offices also need to set aside adequate resources for these activities. Planning significantly improves the management and quality of evaluation. Country offices (and Headquarters units) are responsible, in partnership with strategic partners, for planning evaluations, including defining objectives, and data collection and methods. As with outcome monitoring, programme management—by liaising with the appropriate levels of management from project to country office—is responsible for ensuring that baseline data and appropriate indicators of performance are established at the outset of an intervention.

Relationship Between Outcome Monitoring And Outcome Evaluation

Outcome monitoring and outcome evaluation are both aimed at the systematic collection and analysis of information to track changes from baseline conditions to the desired outcome and to understand why change is or is not taking place. Both functions are closely linked to decision-making processes at programme and policy levels. Both provide consistent information for the improvement of CO interventions and strategies to programme managers, project managers and stakeholders. And both can demonstrate accountability.

They differ, however, in their objectives, focus, methodology, conduct and use. **Table 2** below summarizes some of these key differences:

Table 2: Differences between outcome monitoring and outcome evaluation[i]

	Outcome Monitoring	Outcome Evaluation
Objective	To track changes from baseline conditions to desired outcome.	To validate what results were achieved, how and why they were or may not have been achieved.
Focus	Focuses on the outputs of projects, programmes, partnerships and soft assistance activities and their contribution to outcome.	Compares planned with intended outcome achievement. Focus on the how and why outputs and strategies contributed to achievement of outcome. Focus on questions of relevance, effectiveness, sustainability and impact.
Methodology	Tracks and assesses performance (progress toward outcomes) through analysis and comparison of indicators over time.	Evaluates achievement of outcome by comparing indicators before and after the intervention. Relies on monitoring data on information from external sources.
Conduct	Continuous and systematic by programme and project managers, and key partners.	Time-bound, periodic, in-depth. External evaluators and partners.
Use	Alerts managers to problems in performance and provides options for corrective actions.	Provides managers with strategy and policy options; provides basis for learning and demonstrates accountability.

Outcome evaluations rely on data generated through outcome monitoring, information from other sources such as UNDP's Results-Oriented Annual Report (ROAR) and information generated through external sources, such as independent client surveys or the reports of partners, for validation and credibility purposes. Similarly, outcome evaluation supports outcome monitoring. It can serve as a source of lessons that can be applied in the development of conceptual and methodological innovations for use in refining the monitoring function (e.g. devising realistic results and strategies, as well as appropriate indicators for future projects, or demonstrating the effectiveness of certain types of monitoring tools for certain types of interventions).

Importance Of Partnerships To Outcome M&E

Partnerships are at the core of achieving outcomes. No outcome is ever achieved in isolation, which means that in monitoring and evaluating outcomes, UNDP will need to work with partners—or those agents/actors with whom UNDP has or intends to have a substantive relationship in the pursuit of common outcomes. Ideally, when formulating interventions around outcomes, Programme Managers should consider ways in which to draw on the participation of partners. This requires knowing what each partner brings to the table.

For monitoring and evaluation, Programme Managers can involve partners and other stakeholders in the selection of indicators and targets, for data collection and analysis, as participants in field visits or as members of an evaluation team. Programme Managers can also use already established data sources and statistics of key partner agencies and avoid the costs of data collection. Even more importantly, Programme Managers need to work with partners in analyzing outcome progress and how to enhance their collective strategy.

Box 1 below provides an illustrative list of the kinds of agents and actors—and their potential roles—which Programme Managers can engage in monitoring and evaluating outcomes.

Box 1: Role of different agents and actors in monitoring and evaluation[ii]

Government coordinating authority and other central ministries (such as planning or finance) usually have overall responsibility for monitoring and evaluating development activities in terms of the overall framework as encapsulated in the United Nations Development Assistance Framework (UNDAF) and Country Programme. They are in a good position to coordinate the design, monitoring and support for M&E activities, particularly the annual review, and to take action on evaluations.

UN Agencies can provide baseline socio-economic information on population/beneficiary groups where UNDP is newly arrived or has a small presence. Such agencies share objectives in the Common Country Assessment (CCA) and UNDAF. They can provide technical support for evaluations and monitoring, and may provide information on status of outcomes.

Institutions designated to manage the project (executing agents) are in charge of project management and delivery of outputs. Such institutions can provide critical technical information on the outcome and development situation, as well as on the effectiveness of the implementation strategy and how outputs are delivered.

Target beneficiaries can participate as information providers on the relevance and the quality of outputs or services through stakeholder meetings and consultations. Target beneficiaries can provide technical support during evaluations.

National statistical offices are key providers of data as well as data collection and analysis expertise.

Universities, research centers and consulting firms are potential suppliers of monitoring and evaluation skills and also have the capacity to offer training in a range of skills and evaluative techniques. They also have background in different substantive areas that can inform outcome analysis.

Civil society can have a major role in using the information gained through M&E by promoting informed debate on public policies based on M&E findings. Civil society can also provide useful perceptions on status of outcomes.

Development assistance agencies may develop M&E capacity through the provision of technical assistance including advice, expertise, organization of seminars, training, identification of qualified consultants, and the preparation of guidance material including case study examples. Such agencies also provide information on the outcome and outputs, and exercise policy influence.

Significance Of "Soft" Assistance For Outcome M&E

"Soft" assistance—understood as policy advice/dialogue, advocacy and brokerage/coordination services (see below)—is an important input for the achievement of results but has tended in the past to be overlooked in planning, assessment and documentation of programming and performance. The introduction of RBM and the adoption of the Administrator's Business Plans (2001-2003), with their strong emphasis on "soft" assistance, have, however, substantially changed this situation.

What is "soft" assistance?

- **Policy Advice and Dialogue**

  In his Business Plans for 2000-03, the Administrator identified policy advice and dialogue as key to UNDP's effort to help countries make development gains. Accordingly, UNDP will move from project-driven policy to policy-driven projects.

  Assessing policy advice and assessing policy dialogue are two inter-related but distinct things. Assessing policy advice means looking at the provision of information and analysis on policy options and their impact from a human development perspective. Assessing policy dialogue, on the other hand, means examining the facilitation of exchange among stakeholders on policy options and their consequences for human development.

- **Advocacy**

  Advocacy involves speaking on behalf of or recommending something or someone. UNDP's advocacy role is one of promoting the human development agenda at the global, regional and national level through issues as diverse as poverty eradication, debt relief, gender equality, climate change and good governance.

  Assessing advocacy could, for example, look at how the recommendations of the Human Development Report (HDR) and the National Human Development Reports (NHDR), which often form the core of UNDP's advocacy work, affect policy change at the national level. The HDRs and NHDRs (and regional and sub-regional HDRs) provide analysis and recommendations on policy and institutional reforms, including more detailed analysis of cross-sectoral institutional issues

- **Brokerage/Coordination**

  Brokerage/coordination involves acting as an impartial intermediary, sometimes in sensitive areas, and it takes many forms—e.g., political, information and partnership.

  - Assessing *political brokerage* looks at UNDP's role as an impartial mediator (e.g., to promote dialogue between parties and interests that are in dispute or open conflict). Assessing this type of brokerage is particularly important in pre-conflict, conflict, post-conflict or otherwise transitional situations.
  - Assessing *information brokerage* looks at the sharing of lessons learned, information and knowledge (including on good practices) with development partners and stakeholders.
  - Assessing *partnership brokerage* looks at the facilitation of working relationships between and among international and national partners. This could include joint programming as well as resource mobilization around specific programmes or events (e.g., an election), and aid coordination among donors.

How is "soft" assistance provided?

Figure 1 below summarizes the basic system of soft assistance, incorporating the different forms, methods of delivery and contribution to outputs and outcomes that such assistance makes, including through partnerships.

Figure 1: The basic system of soft assistance
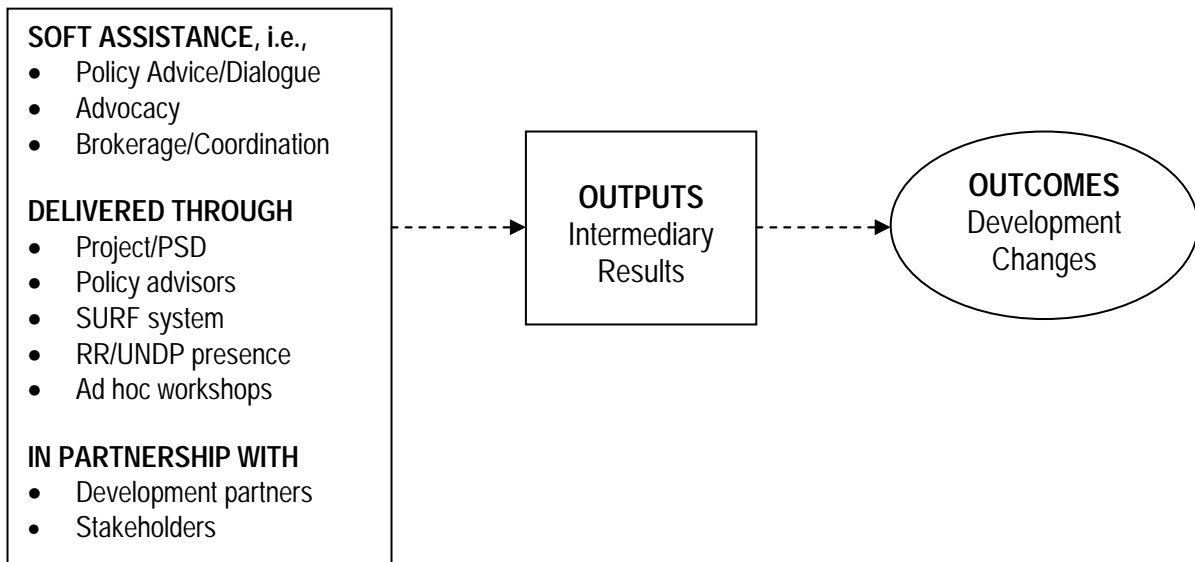
Why should "soft" assistance be monitored and evaluated?

⇒ Soft assistance has potential for reducing poverty and promoting human development. Policies and regulations must be conducive to an enabling environment in which human development can flourish.[iii] Policy advice, advocacy and brokerage represent critical tools with which UNDP can promote its development agenda.

⇒ Soft assistance is flexible, dynamic and highly responsive. Soft assistance interventions represent an additional service that UNDP can provide to developing countries. Such assistance requires little or no formal structure in terms of incorporation into a programme or RBM framework yet it can often produce significant development gains. It can also be delivered rapidly, meeting country demands in real time.

⇒ Today's UNDP places an emphasis on RBM, which demands monitoring and evaluation that moves beyond project implementation to assess progress toward outcomes and performance in areas that are not easily quantifiable.

⇒ Moreover, capturing the results of UNDP's soft interventions strengthens the ability to tell UNDP's story and to demonstrate its role and impact.

⇒ As UNDP puts more emphasis on broader and strategic evaluations (e.g. outcome, thematic, cluster, impact), assessing soft assistance, which is an important part of each, will become more important.

⇒ Assessing the quality of soft interventions will help UNDP know what works, what does not work and why, thereby ensuring the achievement of results at the outcome level.

2.2. Implications for the Country Office

The new requirements of results-based monitoring and evaluation hold implications for the country office on three main levels. First, the M&E tools and processes that the country office uses will change; second, roles and responsibilities of UNDP and project staff will change; and third, Programme Managers in particular will face a number of new challenges.

Changes in M&E Tools and Processes

In order to meet the requirements of results-based monitoring and evaluation, a number of changes have to be made to existing M&E practices and tools. Flexible monitoring instruments (project reports, workplans, field visits, stakeholder meetings) should be used by COs on a periodic basis to support performance measurement. The emphasis of these tools will be on what CO interventions are contributing toward results and what strategies contribute to that success. **See** ✍ also **Chapter 4** on the monitoring process and the **Annexes** for templates of monitoring and evaluation tools. The changes to key tools are summarized in **Table 3** below.

Table 3: Changes to programming, monitoring and evaluation tools

TOOL	BEFORE	NOW
Evaluation	Evaluation mandatory for project of $1 million or more, or when UNDP has supported an institution for 10 years or more. DEX evaluation mandatory.	Abolished the mandatory requirement of project evaluation ($1 million, 10 years). A certain number of outcome evaluations required during Country Programme period depending on the size of the total programme. Project evaluations optional.
Evaluation Plan	Country-level evaluation plan prepared by CO after Country Programme approval. Rolling three-year period, and revised yearly. Send to EO.	Country-level evaluation plan by CO electronically, to include implementation of evaluation recommendations (tracking system) with future link to RBMS. Analysis and feedback by EO. Serves as basis for evaluation compliance.

TOOL	BEFORE	NOW
Project evaluation information sheet (PEIS)	Project evaluation information sheet (PEIS)–a separate report/questionnaire presenting the project evaluation with evaluators' rating. Prepared by evaluation team leader (or the CO must hire a person to prepare it). Send to EO.	Abolished. Instead, submit full evaluation report electronically to EO which puts it into a database for lessons learned and analyses corporate trends with future link to RBMS. Rating of performance as integral part of evaluation reports.
Tripartite review (TPR)	The CO organizes in consultation with Government and the designated institution, prepares agenda and TPR meeting report. Held yearly. Terminal TPR towards the end of project.	Abolished as requirement. Can be conducted on optional basis for projects requiring it. Decision-making ensured by project steering committee, outcome thematic groups or similar arrangement. Periodic stakeholder consultations including beneficiaries recommended.
Annual Project Report (APR)	Annual programme/project report (APR). Assessment of a project during a given year by target groups, project management, government, UNDP. The designated institution prepares it. Used for TPR.	Old format abolished. Revised to become shorter and more results-oriented. Completed annually by designated institution to CO. Exception for projects not suited for APR.
Terminal report (TR)	Terminal report for each project by designated institution. APR for final year serves as the TR with lessons added. The RR sends TR to the RBx/EO. RBx provides feedback and decides on follow-up, EO enters TR in a database.	Abolished. Learning to be addressed through APR and annual review. Lessons learned to be shared with knowledge network. Terminal review also abolished as a requirement.
Field visits	The RR and CO staff must visit all projects yearly. Report immediately after the visit.	Regular project visits encouraged. Flexible format but more results-oriented. Exception for projects not suited for results validation visit. Visits to designated institution or outcome also included.
Annual Review	Annual meeting to generate annual report by operational units on progress for the SRF. Basis for ROAR.	A strengthened management dialogue at country level required to assess progress towards results (outcomes and outputs) with strong stakeholder participation, to serve as a basis for the ROAR. Key mechanism for generating lessons learned for new programming as Country Programme progresses.

To link the project-level assessment (the APR), assessment of outcomes at the Country Programme and SRF level (the ROAR), as well as input from the UNCT on Millennium Development Goals, an annual review will bring these elements together.

Results-based management makes it even more important that monitoring and evaluating are closely integrated into the programming cycle so that the organization can design quality interventions and apply what it has learned from past successes and failures. This means that monitoring and evaluation need to permeate the programming cycle from beginning to end.

Roles and Responsibilities

The revision of the M&E framework in line with RBM leads directly to a clearer understanding of the roles and responsibilities of UNDP staff for monitoring and evaluation according to their level of responsibility for results: senior managers, programme managers and project staff (**Table 4** below).

Table 4: Roles and responsibilities for M&E at the country level

WHO? Actors, Roles & Responsibilities	WHAT? Information needed	WHY? For what use
Country Office Senior Managers Main responsibilities are: - Collaboration with national partners to determine the focus and intended results	- Changes in the development context - Progress, problems and trends in the achievement of results	- To adjust UNDP assistance in view of changing development conditions, if required - To position UNDP strategically within the

of UNDP assistance to the country - Identification and management of partnerships - Assessment of the overall performance of UNDP assistance to the country (progress toward and achievement of results) - strategic and cost-effective use of UNDP resources	- Patterns and issues in the volume and efficiency of resource use	framework of development cooperation with the country - To forge strong coalitions for change - To resolve key bottlenecks to implementation in order to improve the chances of achieving results, especially outcomes - To link results with resources - To ensure active M&E around results
Country Office Programme Managers Main responsibility is UNDP portfolio of programmes and projects in a thematic area such as governance or poverty – hence, UNDP's contribution to outcomes	- Progress towards the achievement of outcomes - Progress of the partnership strategies for outcomes - Rate and efficiency of resource use	- To analyze progress toward and actual achievement of outcomes - To assess the efficacy of partnership strategies and take related actions (e.g. better coordination with partners). - To monitor the effectiveness of implementation strategies in tackling the constraints to the achievement of results, especially outcomes – and take related actions. - To ensure effective use of resources (deploying them so as to maximize the possibilities of achieving results, especially outcomes)
Project Staff level Main responsibility is management of UNDP assisted projects to help produce outputs	- The outcome towards which the project is working - Progress toward and achievement of outputs - Problems and issues related to implementation - Practical project-level collaboration with and monitoring of partners' contribution - Resource management	- To ground the project in the larger context - To take steps towards achieving output targets - To ensure effective collaboration with partners - To interface with beneficiaries - To ensure efficient use of resources

Practical Challenges for Programme Managers

Programme Managers are expected to provide an important input into the process of capturing the results of their programme in the context of the SRF. Therefore it will be necessary for them to shift their emphasis away from monitoring and evaluation of project implementation processes towards analyzing and reporting on the contribution of project outputs, soft interventions and strategic partnerships to outcomes. Programme Managers must also work rigorously at the project formulation and workplanning levels in order to ensure that projects meet targets, and apply tools to that effect. **See** ☞ **Box 2**.

Box 2: As a Programme Manager, what do I need to do differently?
- Focus on results rather than implementation
- Clarify expectations for implementation tasks, set major benchmarks and then let go
- Plan from the outset how, what and when to monitor and evaluate
- Develop and use indicators in my programmes
- Analyze the situation – keep track of changes and their implications
- In my reports, suggest action for decision-making
- Actively learn from mistakes and successes
- Work more closely with external partners
- Work with project staff to explain links to outcome
- Contribute to the team in my office concerned with my outcomes

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Figure 2: Monitoring and Evaluation Responsibilities of Programme Managers
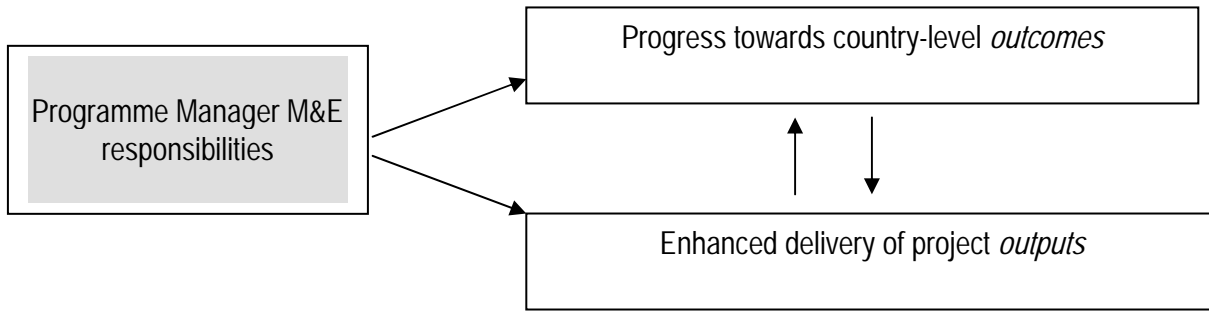
Thus, Programme Managers have two inter-linked levels of responsibility for M&E (illustrated in **Figure 2** above): 1) to capture medium-level results (progress towards outcomes) for the ROAR; and 2) to enhance project delivery of outputs, through, for example, workplanning, field visits, support to effective decision-making and analysis of the most effective and efficient implementation strategy.

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[i] Source: Adapted from UNICEF, UNFPA, World Bank
[ii] Adapted from World Bank, Monitoring and Evaluation Chapter, 2000 and UNDP, Alex Rusita, end of mission report, 2001.
[iii] USAID, Recent Practices in Monitoring and Evaluation, TIPS #14, 2000

UNDP Evaluation Office

Part 2
How to conduct monitoring and evaluation

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PART 2 CONTENTS:

Chapter 3. Planning for Monitoring and Evaluation

This chapter describes how to develop a comprehensive, logical planning framework for monitoring and evaluation activities for Country Programme, SRF, project-level and other relevant activities. It covers how to develop an M&E plan, as well as criteria for selecting and planning evaluations. This chapter should help users to plan for monitoring and evaluation actions in a coherent manner, depending on country needs and results pursued.

- This chapter covers:

3.1. Key Principles for Planning M&E
- Overall Workplanning
- Minimum Requirements
- Planning M&E at the Country Programme level

3.2. The M&E Planning Process
- Planning Monitoring
- Planning Evaluation
- Project Workplanning and M&E

3.1. Key Principles for Planning M&E

Overall Workplanning

Workplanning is a comprehensive tool that helps people translate, on an annual basis, documents or ideas into operational terms. Work plans need to describe not only the activities to be conducted, but also the expected outputs and outcomes. Workplanning covers far more than monitoring and evaluation planning per se. Monitoring and evaluation are, nevertheless, integral parts of a country office's overall workplan. A country office work plan contains three inter-related dimensions (see **Figure 1**):

1) the **overall work plan**, which contains substantive information and management actions and is overseen by country office management;
2) the **monitoring and evaluation (work) plan**, which is focused on outputs and outcomes and overseen by programme staff; and
3) the **project work plan**, which is focused on activities and outputs and overseen by project staff.

Figure 1. Dimensions of Workplanning
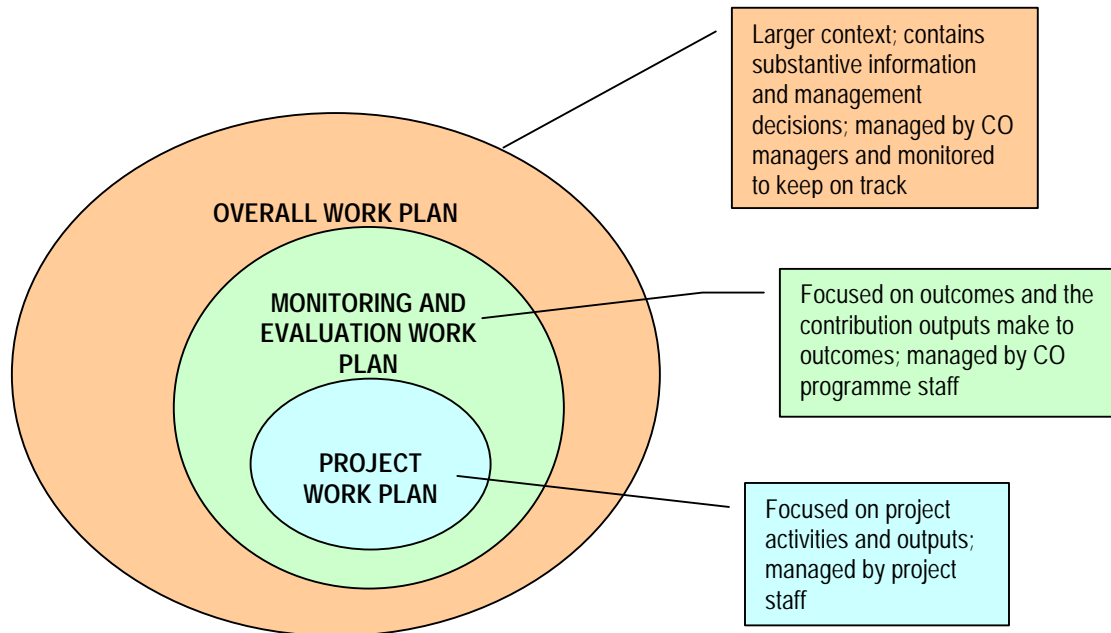
For results-based M&E, UNDP offices will need to design monitoring and evaluation based on the specific needs of the office, partners, project or outcome, rather than mechanically follow detailed and prescriptive M&E procedures. Thus the planning of monitoring and evaluation becomes more important for UNDP and its partners.

Minimum Requirements

There is a plethora of approaches country offices can use to integrate their results-based monitoring and evaluation planning into existing systems and structures. Nevertheless, as a minimum for planning, offices should:

1. Plan **monitoring and evaluation together**. Evaluation represents an important monitoring tool and monitoring representing an important input to evaluation. Because of this inter-related nature of monitoring and evaluation, it is recommended that country offices plan monitoring and evaluation processes together.
2. **Capture results** (outcome and outputs). Monitoring and evaluation can be planned around outcomes, outputs, projects, activities, themes, areas, etc. Regardless of the unit of analysis used by the M&E plan, however, meaningful information about outcomes and outputs needs to be captured.
3. Develop an **evaluation plan** for outcomes for the Country Programme period. All operating units and offices will prepare a mandatory evaluation plan within the first quarter of each Country Programme cycle, as a key element for performance assessment of offices.
4. Base planning on a **strategic choice**. Planning monitoring and evaluation is not primarily about scheduling (timing and selection of tools), it is about determining the best approach depending on needs and the nature of what is being monitored or evaluated.

Planning M&E at the Country Programme level

Planning of monitoring and evaluation begins as early as the formulation stage of the Country Programme and is subsequently kept up to date continuously, annually or periodically depending on local needs and as plans become more concrete and programmes evolve. Such planning helps to make strategic and selective decisions about what to evaluate, when and why. Planning therefore takes account of expected use of the evaluation for programming and policy improvement. In turn, the M&E findings will recommend actions that should feed into either the CO overall work plan, the project work plan or the work of the Programme Manager himself/herself.

At the design and approval stage of the Country Programme Outline (CPO), the country office with partners will:

✓ Decide on the <u>strategy for the M&E arrangements</u> and describe these in the CPO. This involves a general approach for how M&E will be done; seizing the opportunity of reaching agreement on M&E with the government through the Country Programme formulation process. It includes an indication of what outcomes will be evaluated—or of the process to reach decision on this; how outcomes, programmes, projects will be monitored in general terms.
✓ <u>Plan outcome evaluations</u> in the evaluation plan—actually select specific outcomes to evaluate and their timing. See the section on **Planning Evaluations** below.
✓ <u>Plan outcome monitoring</u> and set up systems for this. The assessment of progress towards outcomes is done based on continuous collection of data and information. This may involve using existing mechanisms or establishing consultation groups on outcomes; determining how indicator data will be collected, discussing what such monitoring should focus on, etc. See the section on **Planning Monitoring** below and **Chapter 4**.
✓ Once the CPO is approved and implementation starts, <u>plan the detailed programme/project monitoring</u> for Year 1, *beyond* the planned monitoring for the related outcome.

3.2   The M&E Planning Process

Planning Monitoring

Monitoring is planned around both outcomes and programmes/projects, and generally takes place at the Country Programme design stage; the programme/project design stage; and yearly thereafter. Once programmes, projects or new activities are developed or initiated during the programming cycle, their monitoring and evaluation arrangements are designed to fit into the existing M&E framework for the Country Programme and outcomes. UNDP Programme Managers are responsible for designing monitoring arrangements that are appropriate for the nature of the outcome, programme and project. *For example, an outcome to enhance livelihoods at the village level may require more participatory monitoring approaches than may an outcome requiring a high degree of policy advice, for which the monitoring should include a means of following the policy formulation process in the country. An outcome at regional or global level may require more frequent reporting because the countries involved are spread out.*

When planning monitoring to assess progress towards **outcomes**, country offices are encouraged to go through the following steps:

1. **Assess needs**, by assessing the *nature* of the outcome and/or the programmes/projects clustered under the outcome. What information is needed to assess that outcome? What are the elements that are most important to keep track of? What would indicate progress or success? *For example, if a given outcome involves a high degree of "soft" assistance in the form of policy advice, the monitoring plan for this outcome should include a means of following the policy formulation process in the country. If the outcome involves a high degree of advocacy, the monitoring tools used might need to capture changes in perceptions (as revealed through client surveys, focus groups, etc.), rather than physical changes (as revealed through field visits to project sites).*

2. **Assess current monitoring** (or proposed—for new projects), by looking at the all the *projects and programmes* intended to contribute to a given outcome and the various monitoring *tools* used. Are the tools providing the information needed? Do they involve the key partners? Is monitoring efficient by focussing on key issues? Are there possibilities for greater efficiency and coordination? This will help to determine gaps compared with the needs.

3. Review whether the **programme or project in question requires additional or specific monitoring scope** or tools. For example, projects not covered by outcome monitoring that require separate a steering mechanism; large or complex programmes that require more details on implementation; downstream projects that need additional participation by beneficiaries; or innovative pilot projects that generate specific lessons learned to capture through monitoring.

4. **Adapt and/or design monitoring mechanisms** to close the gap to provide sufficient analysis on outcomes. For example, ensure that monitoring steering mechanisms includes partners working in the same outcome area, or add tools such as stakeholder meetings if an outcome involves a high number of partners. See **Chapter 4** on selecting the right monitoring tools.

There is no required format for a monitoring plan. In practical terms, such planning can be reflected several places: in the CO workplan; the project workplans; individual workplans of Programme Managers; and

plans for coordination mechanisms. Nevertheless, for effective outcome monitoring, many COs would want to capture in one document the totality of efforts towards that outcome.

Planning Evaluation

Evaluation is key for learning, validation of results and decision-making. Country offices will be expected to conduct a limited number of outcome evaluations during the programming cycle, covering a number of projects associated with the outcome. COs will plan and record these evaluations in an evaluation plan, as well as any other evaluations of projects, programmes or themes that the office wishes to conduct. (See ☞ **Chapter 5** on evaluations).

Evaluation planning will be linked to the country programming cycle. Country offices will prepare and submit the evaluation plan within the first quarter of each Country Programme to the Evaluation Office. See **Annex B** for format[1]. Subsequently, the plan can be kept up to date continuously, annually or periodically depending on local needs—in essence, a 'rolling' plan. *For example, if a country office plans its first outcome evaluation three years into the Country Programme, the country office may not need to revisit the evaluation plan until the year prior to the evaluation.* If a CO revises the plan over the course of the cycle based upon changes in circumstance, for example if there are significant changes in financial resources and/or the national situation, the CO should liaise with the EO on the proposed changes.

The Evaluation Plan will be based on strategic and selective decisions by country offices—and, in particular, senior CO management about what to evaluate and when. Offices will then use the evaluation plan to ensure that evaluation activities are on track. It will also help in preparing for an evaluation by "backwards planning" (that is, looking at the scheduled time for an evaluation, the expected time needed for the evaluation preparation and conduct, and working backwards to anticipate by when the preparation process, at a minimum, needs to begin).

Planning Outcome Evaluations

Planning for outcome evaluations begins with the determination of which outcomes to evaluate during the Country Programme cycle, in the country office evaluation plan. This decision is left to the discretion of the country office, within a mandatory framework of the number of outcomes that must be evaluated. Using the SRF, COs should select their outcomes to evaluate balancing the following criteria:

a. **Purpose of the possible outcome evaluations.** Depending on their timing within the Country Programme cycle outcome evaluations can fill a number of different needs, ranging from early information about the appropriateness of UNDP's partnership strategy or impediments to the outcome, to mid-course adjustments, to lessons learned for the next programming cycle. Country offices should review the intended SRF outcomes and reflect on which outcome an evaluation would be most useful for, why and when the evaluation would yield most information for that respective purpose. *For*

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[1] A corporate system for *Evaluation Planning and Tracking* is being designed to: (a) Plan for the conduct of evaluations; (b) Record and analyze lessons learned and findings from evaluations and (c) Monitor the progress of evaluation recommendations. The system will link up with and integrate information from country office evaluation plans and evaluations for overall corporate learning and accountability. Country offices will be able to develop their evaluation plans and follow-up systems for electronic use at the country level.

example, if a governance outcome includes a great deal of policy advice and advocacy that the country office is relatively inexperienced in providing, it may be a good idea to evaluate this outcome early (even within the first year) for design and implementation strategy issues. If, on the other hand, there is a need for mid-course adjustment and verification of early outputs, then a mid-term outcome evaluation would be warranted. See ☞ **Chapter 5** for more on the purposes of outcome evaluations and the respective options.

b. **Significant country office resources go towards the outcome.** Country offices should select outcomes with more resources behind them rather than one outcome with few resources. In other words, country offices should not select only those outcomes that have very modest resources behind them.

c. **Possible future interventions in the same thematic area.** If the country office plans to continue assistance in the outcome or in another outcome in the same thematic area in the future, an outcome evaluation is an important means of generating recommendations to guide future work; taking stock of whether the outputs designed contributed to the outcome and whether UNDP has crafted an effective partnership strategy.

d. **Anticipated problems.** COs should select outcomes where there were past problems in progress; or where complications are likely to arise because the outcome is within a sensitive area with a number of partners. This way, the evaluation would aim to help prevent problems, obtain an independent perspective on problems and thus help build consensus.

e. **Need for lessons learned** in other thematic areas/regions. COs should select outcomes for which there is a need to obtain lessons for other thematic areas in the same country (and/or for other countries). An outcome evaluation in one thematic area can reveal generic lessons for other thematic areas in the same country and for other countries and regions that might be planning to work in the same thematic area (for example, in the design and implementation of policy or regulatory frameworks, an area in which UNDP has little accumulated experience). Outcome evaluations can help to yield these lessons for use across the organization.

Timing. The country office is also expected to determine the timing of the proposed evaluations based on the expected workload of the country office in any given year and an **equitable spread** of evaluations throughout the Country Programme, both in terms of timing and of scope (thus a mixture of early and late, light and heavy, exercises depending upon need). **Box 1** below gives an example of how a country might use the Country Programme for evaluation planning purposes.

Box 1. Outcome Evaluation Planning using the Country Programme

The UNDP programme in Country X is expected to have "medium" resources available to it for the next CP cycle. At the beginning of the CP period, country office X submits to the Evaluation Office an evaluation plan for three outcome evaluations that it plans to undertake over the next five years. The country office selects these three outcomes based on their prominence in terms of substance, the resources going towards them and the areas of likely future assistance. The country office also selects a mixture of types of outcome evaluations based upon what the CO and stakeholders want to get out of the exercises.

Based upon the expected timetables of the various projects, programmes and activities associated with the three outcomes, the evaluation plan submitted to the Evaluation Office in the first quarter of the CP envisages a relatively light outcome exercise

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centered around Outcome #1 at the end of Year 1, the more robust evaluation of Outcome #2 in the middle of Year 3 and the full evaluation of Outcome #3 at the end of Year 4.

CP	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5
Outcome 1	X				
Outcome 2			X		
Outcome 3				X	
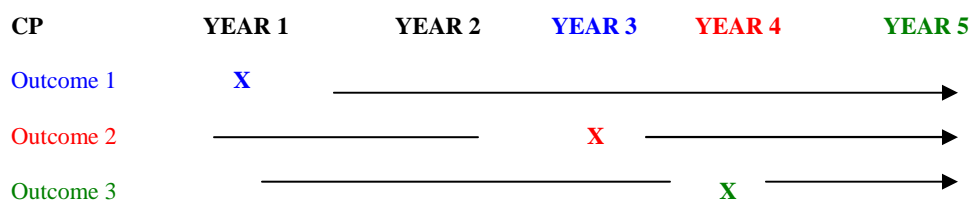
Once the outcome is selected for evaluation, the CO identifies in the Evaluation Plan the projects and programmes that may contribute to the outcome. This allows the concerned programmes and projects to take account of this in their monitoring and workplanning; helps the Programme Manager in outcome monitoring; and ensures that the evaluation scope will address the project contributions.

Evaluation Compliance

UNDP Headquarters will use the evaluation plan submitted by the country office as the basis for assessing compliance. Thus, **compliance will be based on the outcome evaluations that the country office commits to undertaking during a given Country Programme cycle**. Other evaluations that the country office elects to undertake will not figure into compliance rates. The EO will be responsible for monitoring evaluation compliance and systematically analyzing information generated to promote learning, and to report to the UNDP Executive Board on this. See **Box 2** for information on the basis for compliance calculation.

Box 2. Evaluation Compliance

To determine evaluation compliance, countries will be categorized into ranges and required to undertake a certain number of outcome evaluations during the Country Programme cycle based upon **total resources (core and non-core) expected** to be at the disposal of a country office, and taking account of the previous evaluation workload. See http://intra.undp.org/eo for a list of expected evaluations per country. The ranges for mandatory evaluation compliance will be as follows:

Category	Resource Range (in US $million)	Number of Mandatory Outcome Evaluations per CP
A	< 2	Optional
B	2 < 5	1 to 2
C	5 < 10	2 to 3
D	10 < 20	3 to 5
E	20 < 70	4 to 6
F	70 <	Minimum of 6

Example: Country Z falls into Category E over the next programming cycle. It will therefore be required to undertake x to y outcome evaluations over the course of the next Country Programme (CP). The workload of the 4 to 6 outcome evaluations is lighter than the previously required project evaluations over the CP cycle (where, for example, country Z had 19 such evaluation of projects over 1 million USD).

Project workplanning and M&E

The project work plan is a tool for setting targets for the delivery of outputs and for developing a strategy for maximizing the contribution of the project and associated activities to the attainment of the goals of the SRF. Another important role of the workplanning process is building consensus between the project management and other stakeholders on the strategy for generating results.

The priority in a results-based approach to workplanning is to review the work plan regularly with a focus on the broad goals aimed at in the SRF rather than the focusing on just the project's objectives. This work plan serves as the mechanism to link inputs, budget, activities, outputs and outcomes. A more flexible approach to implementing the project may be needed with constant adjustments to the implementation strategy being made as lessons are learned.

The Programme Manager uses the project work plans as the basis for monitoring the progress of project implementation; to agree on results and to ensure that these results conform and contribute to the results and targets in the SRF. He or she may also use the workplan to discuss and agree on activities to produce the outputs and the corresponding inputs and budget lines. Critical milestones for activities and outputs in the work plan can be used to serve as early warning for progress that is off target.

The Project Manager should include key monitoring and evaluation actions by the project in the workplan, in particular how the production of outputs will be monitored. The plan may also include how to supervise contractors, how to collect data and information, and specific monitoring events such as stakeholder meetings.

Chapter 4. The Monitoring Process ("How to...")

Monitoring is arguably the most important responsibility of any programme manager. She or he monitors the progress of project activities towards the intended outcomes, and selects different monitoring approaches to do so. This chapter should help in this important task - to ensure success by good monitoring of results, which includes a good mix of reporting and analysis, verification of progress towards results, and participation.

Monitoring is based on adequate planning, discussed in **Chapter 3**. Monitoring also serves as the basis for evaluation, discussed in **Chapter 5**. Formats for select monitoring tools are presented in the **Annexes**, and templates are available on http://www.undp.org/eo/.

This chapter covers:

4.1.   Key Principles for Monitoring
- Conduct of monitoring
- Scope of monitoring
- Monitoring responsibilities
- Selecting the right monitoring tools

4.2.   The Building Blocks: Key Monitoring Tools and Mechanisms
- Field visits
- Annual project report (APR)
- Outcome groups
- Annual review (AR)

4.1.   KEY PRINCIPLES FOR MONITORING

Under RBM, good monitoring is demonstrated not merely by producing reports in a prescribed format at set intervals. Good monitoring means that monitoring is continuous, is focused on progress towards outcomes to provide the basis for the ROAR and for evaluations, and involves partners. This requires that a country office find the right mix of tools, balancing analysis of reports; reviews and validation; and participation.

UNDP offices will be expected to follow good practices—or key principles—when it comes to: (a) *scope* and (b) *conduct* of monitoring and evaluation. Within these principles, each office has for the most part the possibility to determine tools, formats, timing, and schedules, ensuring that M&E serve as input to the management team—and the partners—in helping them to manage for results. Offices will be assessed through reviews, management indicators and country office or project audits whether they observe these good M&E practices.

Conduct of monitoring

The credibility of M&E findings and assessments depends to a large extent on the manner in which they are conducted. Monitoring will be based on the following good principles (also called "minimum standards"):

- Good monitoring **focuses on results and follow-up**. It looks for "what is going well" and "what is not progressing" for progress towards intended results; records this in reports along with recommendations; and follows up with decisions and action.

- Good monitoring depends to a large measure on **good design**. If a project is poorly designed or based on faulty assumptions, excellent monitoring is unlikely to ensure its success. Particularly important is the design of a realistic results chain of outcome, outputs and activities. Offices should avoid using monitoring for correcting recurring problems that need permanent solutions.

- **Regular monitoring** visits by CO staff focusing on results and follow-up to verify and validate progress towards results. In addition to the day-to-day contact with project staff on implementation matters and problem solving, the Programme Manager must organize visits and/or bilateral meetings dedicated to assessing progress, looking at the big picture and analysis of problem areas. The Programme Manager ensures continuous documentation of the achievements and challenges, *as they occur* to feed into the ROAR, and does not wait until the last moment to try to remember what happened.

- **Regular analysis of reporting** from Project Management or Directors to the country office and other partners presenting issues and seeking solutions to problems as a basis for analysis by the UNDP Programme Managers. The most important of these reports is the annual project report (APR).

- Use of **participatory** monitoring mechanisms to ensure commitment, ownership, follow-up and feedback on performance. This is indispensable for outcome monitoring where progress cannot be assessed without some knowledge of what partners are doing. Examples are outcome groups, stakeholder meetings, steering committees, focus group interviews, etc.

- Good monitoring does not just rely on subjective judgment but uses ways to assess objectively progress and performance based on clear criteria and indicators. The CO makes efforts in improving its performance **measurement system, developing indicators and baselines**, without which it remains difficult to assess progress towards the outcomes.

- Assessing the **relevance, performance and success** of UNDP development interventions. Through monitoring, the country office periodically asks critical questions on the continued relevance of the support, and strives to judge performance and success—or lack thereof—based on empirical evidence. The findings are used for decision-making on programming and support.

- The country office is seen to actively generate **lessons learned**; **to ensure learning** through all monitoring tools; to adapt strategies accordingly and not repeating mistakes from the past. Also important is the use of electronic media for memory and sharing lessons.

Scope of monitoring

Monitoring aims to ensure progress towards results. The Programme Manager has to analyze - and take action on - programme and project activities contributing to the intended results within the strategic areas of support in the Strategic Results Framework (SRF) for the country[2]. Programme Managers also monitor and document the contributions of soft interventions and strategic partnerships. These tasks all form part of **outcome monitoring** (See definition in **Chapter 1).** All monitoring and evaluation efforts should address, as a minimum:

a. the progress towards **outcomes**—analyzing periodically to what extent intended outcomes have actually been achieved or are being achieved;
b. the **factors** contributing to or impeding achievement of the outcome—this would include monitoring the country context and the economic, sociological, political and other kinds of developments simultaneously taking place.
c. the contribution of UNDP to the outcomes through **outputs** (generated by programmes, projects, policy advice, advocacy and other activities)—analyzing whether outputs are in the process of being produced as planned, and most importantly whether the outputs contribute to the outcome; and
c. the **partnership** strategy—analyzing the design of partnership strategies, and the formation and functioning of partnerships, to ensure that partners who are concerned with an outcome have a common appreciation of problems and needs, and that they are synchronized in their strategy.

Offices may add additional elements where needed for management or analysis, while ensuring that the scope is realistic in view of available capacities. See **Box 1** on implementation.

Box 1: What about monitoring of implementation?
With increased efforts spent on monitoring and ensuring progress towards outcomes and outputs, there is often a trade-off with the monitoring of detailed implementation. It is up to each CO to strike the appropriate balance of monitoring implementation without getting "bogged down" in details. This would normally involve a de-emphasis on the monitoring of detailed implementation tasks, i.e. has the car been delivered; has the project assistant been paid, etc. Regular interactions between the Programme Manager and Project staff should provide sufficient detail on

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[2] The simplified format of the project document aligned with RBM should facilitate monitoring and be supported by project output indicators where appropriate, and the objectives in the project document should correspond to the SRF outcomes.

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implementation problems, activities, inputs and resource expenditure. This is the responsibility of the institution designated to manage the project (the executing agent). In cases where close monitoring of the project by the CO is nevertheless required to ensure accountability, it is still possible to "minimize" micro-monitoring by, for example, ex-post check-ups and tight workplanning with benchmarks. Nevertheless, monitoring cannot effectively solve more permanent problems of weak management or accountability. Capacity assessments, good project design and early agreement on standards for management are crucial.

The scope of monitoring is wider than just looking at what projects deliver; it includes assessing the progress of projects, programmes, partnerships and soft assistance in relation to SRF outcomes, providing managers with information as the basis for making decisions and taking action. Under RBM, monitoring becomes even more important as a tool for decision-making and learning and is indispensable in providing information and data for evaluations.

Adequate **budgetary** resources should be allocated for monitoring. The CO may charge the project budget directly for the cost of such visits while informing the designated institution. The project budget may also cover the participation of national partners in monitoring visits where the Resident Representative agrees.

Monitoring responsibilities

At each programming level, the partners will focus increasingly on higher-level results, i.e. project staff—on the project documents and outputs; UNDP Programme Managers—on the SRF and outcomes; and the CO senior management—on the Country Programme (or CCF if one is still in place), UNDAF overall performance and Millennium Development Targets.

The UNDP Country Office Management

The UNDP senior office management will be expected to be closely involved in strategic choice of monitoring mechanisms. In close partnership with key national stakeholders, with particular attention to the coordinating ministry, the role of senior management is to ensure that the programme developed contributes as best as possible to the attainment of the goals of the SRF and Country Programme. This supposes an active leadership of the ROAR and the annual review, advocacy and partnership strategy development, and of encouraging the move towards better monitoring for results and a learning environment. In general, the management sets the framework for managing for results, prioritization in workplanning and partnerships. Together with partners, the management also ensures that periodic assessments review whether the approach followed is the best way of producing the intended outcomes.

At this level, the focus is on all of UNDP programming, as well as on UNDP's contribution to UN priorities as expressed in the CCA and the UNDAF. The annual review is the main vehicle for such monitoring, drawing general lessons learned; and distilling trends in assistance, overall performance and problem areas whether these are related to specific outcomes or cut across results. This monitoring may also involve the participation by the UNDP Resident Representative/Resident Coordinator in a UN country team (UNCT) assessment of progress on UN-supported goals in the country, including the Millennium Development Goals.

The UNDP Programme Management

The UNDP Programme Managers will remain responsible for the overall monitoring of the progress towards outcome as well as the project's contribution in terms of strategic outputs. Programme Management takes on a greater role in advocacy and partnership building than previously. Deliverables include the ROAR, for which Programme Managers bring together an analysis of several projects, activities and data based on the annual review, and help generate lessons learned around outcomes. These staff may also add value to project work and provide soft assistance to exercise a positive influence on the outputs. It is also expected that their role in programme design is strong in order to ensure alignment with strategic priorities. Programme Management helps develop accountability mechanisms and, through them, monitors periodically to ensure that UNDP's resources are being used appropriately and to liberate time for analysis of results. At this level the focus is on outcomes and the contribution to outcomes, and is the main responsibility of the UNDP Programme Manager. He or she ensures that monitoring and reports at different programming levels and sources are brought together to provide complete information on outcome progress. An outcome monitoring plan (**See ✍ Chapter 3**) may facilitate this work.

The Programme Managers (PM) monitor outcomes periodically—as the development situation changes. Since progress towards outcomes cannot be assessed by project reports and indicators alone, the PM ensures continuous scanning of the environment; keeps abreast with evolving perceptions of key stakeholders and the contribution of partners; analyzes newspapers and reports received from other development partners on their contributions; uses evaluations to provide feedback on progress; and ideally conducts client surveys to find out if perceptions of progress hold true.

The Project Management

The project management, normally the government, will remain responsible for delivering the outputs of the projects, the actual implementation, input management and sound administrative management. A key task is the monitoring of implementation tasks by other contractors. The project staff will also develop the project work plan and the annual project report to the CO, thus providing critical information and lessons learned regarding the effectiveness of the implementation strategy and the delivery of outputs. The projects can contribute to the implementation of a partnership strategy developed by the CO. The institution managing the project ensures the interface between the desired results and the expectations of the target beneficiaries, thus promoting a sense of ownership.

Monitoring of project activities is done mainly by the executing agent. The annual project reporting is made by project staff with specific attention to outputs, and is analyzed by CO staff for the ROAR. The institution managing the project would ensure detailed attention to the totality of deliverables as well as to implementation tasks. Nevertheless, monitoring at project level would often contain some assessment of outcome status, and thus provide input to the ROAR, since project staff are often experts in the field and may therefore provide have good background on the status of the outcome.

Selecting the right monitoring tools

The monitoring approaches and tools described here can be applied to projects, programmes as well as to outcomes – and to any other issue that can be monitored. For example, while steering committees have normally been established for projects, it is even better to use steering mechanisms for an outcome covering several projects.

Within a framework focused on progress towards outcomes and UNDP's contribution to them, the UNDP Programme Manager has to determine the right mix of monitoring tools and approaches for each project, programme or outcome, ensuring that the monitoring contains an appropriate balance between:

a. Reporting/analysis - obtaining and analyzing documentation from the project that provides information on progress.
b. Validation - checking or verifying whether the reported progress is accurate or not.
c. Participation - obtaining feedback from partners and beneficiaries on progress and proposed actions.

Table 1 provides an illustration of monitoring tools categorized under their predominant characteristic. *For example, field visits can also be participatory if they involve beneficiaries' feedback, but their main purpose is validation by direct observation. Stakeholder meetings will normally provide feedback that can help validate.*

Table 1: An example of selecting the right mix of monitoring mechanisms		
Reporting and analysis	**Validation**	**Participation**
• The Annual Project Report (APR) • Progress and/or Quarterly reports • Workplans • PDR/CDRs • Substantive project documentation • Etc.	• Field visits • Spot-check visits • External assessments/monitoring • Client surveys • Evaluations • Etc.	• Outcome groups • Steering committees/mechanisms • Stakeholder meetings • Focus group meetings • The Annual Review • Etc.
← **Learning** is done through all monitoring tools or mechanisms →		

It is important to note that different groups of people will use different tools—or use them differently. It is not realistic to expect that a specific monitoring tool or mechnaism will satisfy all needs. Monitoring of outcomes may require a different mix of tools than the tools traditionally used at project level, for example through review by outcome groups, analysis or surveys. Instruments such as project visits or tripartite/bi-lateral meetings are insufficient either because the scope of the project is too narrow or because the range of partners involved is too limited. See **Annex E** for a depiction of how the three main groups concerned with UNDP's assistance would normally use the flexible menu of monitoring tools, in a medium to large CO.

4.2. THE BUILDING BLOCKS: KEY MONITORING TOOLS AND MECHANISMS

Country offices can use a range of formal and informal monitoring instruments, with formats and approaches adaptable to local needs, provided the minimum content is reflected (namely progress towards outcome, towards outputs, and towards partnerships). The tools and mechanisms described below are some of the key ones that are normally expected for any given office, outcome and/or project. Country offices would choose and adapt tools from the list in the section on "Selecting the right monitoring tools" above (and from **Annex E**)—and add other tools and monitoring approaches that they may find useful.

Field visits

Policy. A representative from the UNDP country office should visit each programme and project contributing to strategic results in the SRF at least once a year. These visits are normally undertaken by the

Programme Manager, the policy advisor and/or a team from the CO (particularly when dealing with a complex outcome). The resident representative and CO management are also encouraged to undertake field visits.

Timing. A field visit can be planned for any time of the year. If undertaken in the first half of the year, just after the ROAR, the purpose may be oriented towards validation of results. If undertaken in the latter part of the year, the field visit can provide information on the latest status of progress for ROAR preparation. The reports of field visits are action-oriented and brief, within a week of return to the office.

Purpose. Field visits serve the purpose of validation of results as reported by programmes and projects, in particular for larger, key programmes and projects that are essential for SRF outcomes. They involve an assessment of progress, results and problems, and may also include visits to the project management or directorate. Visits may increasingly be joint and/or concern clusters of programmes and projects within an outcome. *For example, a series of visits to concerned projects contributing to one particular outcome to get a full picture of the status of progress, often involving a team of Programme Managers. Also efficient are visits to a specific geographical area looking at all the UNDP activities there; ideal for joint visits with other partners.*

Not all projects may be worth time and effort of visiting every year. This may apply to, for example:
- Projects that deal with purely administrative matters (Programme Logistical Support Projects, business centers, certain umbrella projects without predetermined development results)—regular day-to-day monitoring may suffice.
- Projects that are small, not strategic in nature and/or last less than a year—monitoring through reporting and regular contact may be as effective.
- Other monitoring and/or evaluation efforts have recently taken place—if a recent outcome evaluation has been discussed at a stakeholder meeting, and decisions taken by a Project Steering Committee (PSC), the Programme Manager may want to plan a visit later to allow time for the actions on recommendations to take effect.

What to look at? The emphasis is on observing the progress being made towards the attainment of results (outcome and outputs) that are contributing to the goals of the SRF. Detailed implementation issues will no longer be the main focus of the visits. The Programme Manager would normally also look at the contribution of soft interventions and strategic partnerships developed, and rates progress towards outputs and outcome. **Annex D** contains a format for a field visit report.

Annual Project Report (APR)

Policy. The annual project report is the basis for assessing performance of programmes and projects in contributing to intended outcomes through outputs and partnership work. As a self-assessment report by Project Management to the CO, it does not require a cumbersome preparatory process, but can be used to dialogue with partners. The report is annual for larger, key projects that are essential for SRF outcomes and feeds into the annual review and the ROAR.

Timing. Project performance assessment can take place at any time of the year that is convenient to the country office and partners, therefore the reporting period of the APR is flexible. Ideally, however, the best-case scenario is to have the APR prepared every twelve months, with the review period coinciding with the

fiscal year of UNDP (January-December), particularly for larger, key projects that are essential for SRF outcomes.

Purpose. The annual project report (APR) aims to provide a self-assessment by the Project Management as part of the Programme Manager's review of its performance. The APR should provide an accurate update on project results that provides input into the country office reporting process and the ROAR; identify major constraints and propose future directions. It is analytical by analyzing the underlying factors of lack of progress to learn from experience and improve performance

Who prepares the APR? The preparation of the APR is a key performance dimension of the Project Management, that is, the person(s) responsible for the day-to-day management of the project (the CTA, Project Coordinator, National Director or equivalent). Often the UNDP Programme Manager would liaise with the Project to convey key concerns as input to the report. As a report from the project to UNDP and other stakeholders, the APR is not expected to be a participatory or consensus-building tool. The Project Manager and Programme Manager both normally rate output progress in the APR, however the Programme Manager also rates outcome progress.

The APR will be annual for larger, key projects that are essential for SRF outcomes. It may be prepared periodically or abolished for smaller projects or projects that do not have strategic outputs for the SRF/ROAR, such as:
✓ Projects dealing with purely administrative matters (PLSPs, support projects, business centers, certain umbrella projects without specific development results). The country office would want to monitor performance of such projects through other means, such as client satisfaction, services provided etc.
✓ Smaller projects with duration of one year or less. In this case, day-to-day monitoring and a final report on results towards the SRF may suffice.
✓ Smaller projects or projects that do not have key, strategic outputs or outcomes. Since these would not feed into the ROAR, other monitoring mechanisms recording performance may suffice.

Use of the APR. The APR is part of UNDP's country office central oversight and monitoring and project management, and the building block of the annual review and the ROAR. Consultations would normally take place once the report has been distributed, for example at the steering committee or through written observations from partners. Depending on its content and approach, the CO would use the APR for:

a.   Performance assessment The assessment of project performance is linked to the SRF and the ROAR. The UNDP Programme Manager reviews the APR for accuracy in reporting and whether the highlighted problems seem complete, and may ask for additional information if the achievements reported do no seem clear. Once cleared, the APR will feed directly into the annual ROAR. When using mechanisms such as outcome groups or steering committees to review project performance, the APR may also provide a basis for consensus-building and joint decision making with key partners on recommendations for future courses of action. Key elements of the APR are used for the country annual review. The APR should be used as a basis for feedback on project performance.

b.   Learning. The APR provides information on what went right or what went wrong, and why. This should feed into the annual review, SURF learning and practitioners networks, repositories of knowledge and evaluations. It is recommended that the APR for the final year of the project add sections on lessons learned and planning for sustainability (exit strategy). APRs may address the main lessons learned in terms of best and worst practices, the likelihood of its success and recommendations for follow-up actions where

necessary. It can also be used to share results and problems with beneficiaries, partners and stakeholders and get their feedback.

c.   **Decision-making**. The partners may use the APR for planning future action and implementation strategy, progress in achieving outputs, "soft interventions", and developing partnerships and alliances. It allows UNDP, steering committee and partners to seek solutions to the major constraints to achievement of results. The Programme Manager highlights issues to the CO management for action or input to the country annual review for discussion on results achieved, key problems and next steps.

Content of the APR. The APR will be very brief and contain the basic minimum elements that are needed for assessment of results, major problems and proposed actions, as follows:
a.   an analysis of the project performance over the reporting period, including outputs produced and, where possible, information on status of the outcome;
b.   the constraints in the progress towards results and reasons;
c.   the three (at most) major constraints to achievement of results;
d.   lessons learned; and
e.   clear recommendations for the future orientation in addressing key problems in lack of progress.

A format is presented in **Annex C**. In the interest of harmonization, donor report formats may also be used while including information on outcome, output and partnership strategies. Beyond the minimum content, additional elements may be added as required by UNDP, the project management or other partners. However, the more is added, the less easy it may be to focus on the key issues, an it is therefore recommended to review detailed issues only periodically. For example, some offices may want to include key management issues such as output expenditure; implementation problems—how the management arrangements work; adequacy of implementation approaches, strategies; external factors affecting relevance; and/or staff issues, relations and team work.

Outcome groups

Policy. For effective monitoring of progress towards outcomes, the country office needs to have mechanisms that involve partners and allow periodic discussion and analysis around outcomes. It is important that projects are included in that they produce strategic outputs and therefore need to have a vision of the outcome that ensures that these outputs are put to good use for the outcome. Ideally, such analysis should be using existing mechanisms, such as established programme steering committees and/or other coordination mechanisms (thematic groups, sectoral coordination groups etc.). If regular mechanisms do not exist, the CO may bring key partners together for decision-making through other approaches such as periodic meetings. For ease of reference one could call a coordination mechanism that monitoring outcomes an "outcome group"—the key being that this group actually focuses on monitoring of outcomes and the contribution to outcomes, rather than general information exchange or project details.

Purpose. To ensure continuous outcome assessment that serves as a basis for the SRF/ROAR and greater progress towards results. It also promotes partnerships. By bringing together different projects concerned with *one* outcome, it may help ensure synergy and a common strategy among UNDP projects and partners towards results.

Who participates? The key participants would be UNDP Programme Managers and Project Directors. The outcome groups would normally also involve the ARR or DRR and Government counterparts at the

technical level. Key external partners for results also participate at least once a year, but may not want to attend all meetings.

What to look at? The outcome group focusses on outcome by assessing the status of strategic outputs and related initiatives by partners and the contribution to outcomes (through information from projects, national reports, donor reports, etc.). By bringing partners together, it helps define the strategic approach towards the outcome and assists in its formulation. A key task is to agree on a monitoring plan for the outcome and oversee its implementation as well as serve as the focal team for outcome evaluations. It should also be a vehicle for documenting and disseminating lessons learned. When partners are involved, the outcome group may be part of the annual review, where the main consultations on the given outcome take place, while alerting the CO Management to key problems or issues that might be common across results or areas. Such mechanisms should not increase transaction costs by looking at at all project details.

How to organize? The Programme Manager is responsible for ensuring that there is consultation and analysis to support the monitoring of outcomes. In practical tems, COs would use existing fora if available. If there are many SRF outcomes, some COs may want to cluster them, e.g. under the Stategic Areas of Support (SAS) or thematic areas.

Annual Review (AR)

Policy. The AR connects reporting, feedback, evaluation and learning to assess performance as a basis for the annual ROAR. What is essential is that the ROAR is prepared from analysis based on consultations with partners. The AR is held towards the end of the year (October to December), in order to feed into the ROAR preparation. The review is fully managed at the country-level, as decided by the UNDP country office.

Purpose. The AR is a management dialogue at country level to assess progress towards results (outcomes and outputs) that can be used for building a consensus and a mutual understanding between UNDP and its partners around common outcomes. It involves an assessment by CO managers with partners of SRF outcomes and their contribution to goals at the Country Programme (or CCF) level, as a basis for the ROAR. The discussions are meant to guide the planning of UNDP assistance over the next 12 months. The AR is the key vehicle for learning by determining overall and general lessons learned and reviewing recommendations of outcome evaluations.

Who participates? The entire country office is expected to be involved in the review to varying degrees, and in particular the country office management. Also involved are key partners including the UN Country Team, the government coordinating authority, project management and counterparts. The Regional Bureau may also decide on the extent of its involvement, such as taking part directly or electronically, or simply being informed of key findings.

How to organize? The ambition of the review will have to be balanced with its complexity and added value and would depend on how well the CO has involved partners in the issues during the year—e.g. if outcome monitoring with partners has been regular, many of the AR issues would already have been covered. A focussed approach is recommended so that the key issues and/or outcomes are addressed, and the CO may well want to adapt the approach as the Country Programme evolves. To determine the most effective approach, the CO normally reflects on the three key questions in **Table 2.**

Table 2: Key questions to decide on the strategy for the annual review		
Key questions…	If the situation is….	…then, the CO might want to…
What do we want to get out of the annual review?	Partners are not very involved or informed about results and UNDP's approach.	Focus on *information-sharing*, less on planning and problem-solving. Involve key allies or government to generate interest. Seize the opportunity to engage partners.
	There is a controversial area or outcome. There are different views on progress.	Aim for *consensus-building*. Identify areas on conflict. Use facilitators? Meet and consult individually followed by bringing "adversaries" together. Use the review to improve progress.
	There are delays in progress and achievements in all or key areas.	Make *strategy-setting and planning* the main purpose. Get key decision-makers to take part. Put more stress on planning than on reporting.
Who needs to be involved?	There is a large number of partners involved, or a very large UNDP programme.	Avoid one large meeting that might be too unwieldy. Instead, use existing mechanisms such as thematic groups, or hold outcome/sector/project meetings. Concentrate on the most key outcomes within the SRF.
	Some partners are involved in many (two or more) of the outcomes.	It may be a high workload for partners to take part in many separate meetings around outcomes or UNDP projects. Several outcome or theme consultations may be more effective, as would focusing on "exception" outcomes/projects. A more limited policy level meeting with all parties at the end allows for the "big picture" negotiations.
	There are few, key partners in the country.	Then *one* meeting bringing them all together may be most effective. Good for full overview with key partners but requires effort and does not allow in-depth discussion of all issues.
	The government is strongly engaged in coordinating UNDP assistance.	Consult the government on the organization of the review, or organize it together.
What to focus – or not focus on?	There are one or a few outcomes with more difficulty or controversy than others.	Focus on these in the discussions. For the other outcomes with less controversy, it may be possible to simply produce the ROAR and share information on it.
	There are outcomes/projects with excellent "sectoral" coordination already. There are national programmes with coordination mechanisms that work.	Then there is probably enough consultation around these outcomes already - produce the ROAR and share information on it. Focus on *other* outcomes or issues.
	An outcome evaluation has just taken place, or a stakeholder meeting for a project.	Use that information and consultations as input to the ROAR. The annual review need only discuss these if there are policy issues that require solving by all parties.
	There are outcomes and projects for which progress is straightforward, or being achieved.	It is probably possible to produce the ROAR and simply share information on it.

Documentation. There is no formal documentation required for the AR, as it depends on the approach taken. The preparatory work is based on internal CO discussions to review performance based on the APRs, CCF/Country Programme, SRF, management issues, evaluations and other relevant information on project performance and progress towards outcomes before the AR to prepare and identify issues. In some countries, it may be useful to share the SRF and/or the draft of the current ROAR compiled from the APRs as a basis for discussion. This would allow the partners to agree on the achievements reported. In other circumstances, information is provided on the key results in a different format. If separate meetings on specific outcomes are taking place, the APRs can be distributed. For one larger meeting it is ambitious to

think that the APRs will be debated in detail and it would be more efficient to share with partners a list of consolidated key issues arising from the APR problems and recommendations, any evaluations or steering committee deliberations.

In terms of progress reported, the main output of the review is the ROAR. To ensure follow-up on other aspects discussed, the CO should prepare brief records of decisions, conclusions and lessons learned during the AR and share them with local partners and other relevant parties or networks to promote learning. This helps the Programme Managers to monitor implementation of agreements afterwards.

Review of the CCA and UNDAF. The UNDP contribution within the UNDAF is covered by the regular monitoring of outcomes and outputs. The Annual review may therefore also be used to provide information to periodic reviews of the CCA and the United Nations Development Assistance Framework (UNDAF) where they exist. See http://www.dgo.org for guidelines on matters dealing with the CCA and UNDAF.

Chapter 5. The Evaluation Process ("How to…")

This chapter covers how to prepare for and manage an evaluation from the perspective of the country office, and some elements of how to conduct an evaluation from the perspective of the evaluation team (full "Guidelines for Evaluators" are one of the companion series to this handbook). This chapter introduces outcome evaluation methodology and provides suggestions on improving project evaluations. It also helps users to manage an evaluation process and set standards for quality results-based evaluations.

This chapter will cover the following areas:

5.1. Preparing for an Evaluation
- Purpose and Timing
- Involving Partners and Stakeholders
- Revisiting the Outcome
- Defining the Scope
- Drafting the Terms of Reference
- Budgeting
- Organizing the Relevant Documentation
- Forming the Evaluation Focal Team within the UNDP Country Office
- Selecting the Evaluation Team

5.2. Managing an Evaluation
- Collecting and Analyzing Data
- Backstopping and Feedback
- Reporting
- Following up

5.3. Joint Evaluations

5.1. PREPARING FOR AN EVALUATION

Preparing for any evaluation requires an investment of time and thought. Preparing for an outcome evaluation generally, although not always, involves more advance preparation time and reflection than do project evaluations.

Purpose and Timing

Deciding precisely why and when to conduct an outcome evaluation are complex processes that begin early in the programming cycle. As discussed in **Chapter 3** on Planning, evaluation plans are made on the basis of a certain (and varying) number of outcomes that each country office is required to evaluate in a given Country Programme (CP) cycle. Given that a number of different outcome evaluations, with different purposes, scopes and timing, will take place during the CP cycle, it is important for country offices to identify at least generally the purpose and timing of its evaluations in a comprehensive and coherent manner as early as possible.

As noted in **Chapter 3** on Planning, the timing of an outcome evaluation should be directly linked to its purpose. If, for example, the outcome evaluation is expected to contribute to learning and a change in the type of outputs or the partnership strategy, it should be conducted early enough to allow this change in programming. This means that if UNDP began working towards an outcome in year one of the CP cycle, an evaluation of that outcome might be most strategically placed at the end of year three because enough time has elapsed to have something to evaluate, yet enough time remains to apply lessons from the evaluation. If, on the other hand, the country office wants to extract lessons learned regarding the quality of outputs and partnership strategy employed towards an outcome and how each did or did not contribute to its achievement, an evaluation of that outcome might be most strategically placed at the beginning of year five. Of course, project evaluations, if country offices elect to conduct them, should use this same principle—i.e., that the purpose of an evaluation should dictate its timing (and scope).

Table 1 below and **Annex C** provide more information on timing, purpose and duration of outcome evaluations.

Table 1. Possible Timing, Purpose and Duration of Outcome Evaluations		
Timing	Examples of Purposes	Duration
Early in the CP Cycle: Years 1-2	To check early strategy for a particularly ambitious outcome	Shorter-term
Middle of the CP Cycle: Years 2-3	To prompt mid-course adjustments in output production	Medium-term
End of the CP Cycle: Years 4-5	To learn lessons for the next Country Programme formulation	Longer-term

Involving Partners and Stakeholders

An emphasis on results places an even greater emphasis on the involvement of *partners*—those with whom UNDP is actively engaged in pursuing results—and *stakeholders*—those with a role and/or interest in the results—in evaluation exercises of all kinds. In particular, the *key partners* who are contributing to the

same outcome should be involved in every step of an outcome evaluation (see **Box 1**). Likewise, stakeholders affected by an evaluation—even if they are not directly involved in the programme or outcome—should also be involved, for example through a stakeholder meeting to discuss the initial findings of the evaluation team. Often, but not always, partners and stakeholders will include the same actors and agencies and, often partners, stakeholders and *beneficiaries* are co-terminous. However, because this is not always the case, it is important to distinguish between the three terms since in a given context one actor might be a partner, another a beneficiary and yet another a stakeholder. Take for example, a project to strengthen civil society's advocacy power with parliament that has a donor government agency as a partner and stakeholder; the civil society organizations as partners, stakeholders and beneficiaries; and the parliament as a stakeholder only.

The level to which different partners and stakeholders are involved at different steps in the process will vary. Some need only be informed of the process while it would be important for others to be involved in a decision-making capacity. Evaluation has important capacity development and learning dimensions, therefore who is involved and to what degree will impact upon the results. In general the greater the level of involvement the more likely it is that evaluative knowledge will be used. It is important to note that greater participation of partners or stakeholders or both often implies greater costs

Box 1. WHO ARE THE PARTNERS AND STAKEHOLDERS?
➔ National authorities
➔ Civil Society Organizations
➔ National and International NGOs
➔ UN Agencies
➔ Private Sector
➔ Other donors
➔ Academia and others

and sometimes can lead to a reduction in efficiency therefore participatory evaluation (should strive to *perhaps a bit directive*) can strategically involve stakeholders as a way to influence the degree of ownership of the evaluation results and sustainability.

Some tips for involving partners and stakeholders in the entire evaluation process are as follows:
➢ Make a preliminary selection of partners and stakeholders to contact in the early stages of evaluation planning (selecting the outcome, defining the scope, deciding on timing, etc).
➢ Share the TORs and CVs of suitable candidates for the evaluation team and obtain feedback from stakeholders and partners (for an outcome evaluation, partners can play a valuable role in defining the scope of the evaluation).
➢ Introduce team members to partners and stakeholders.
➢ Invite partners and stakeholders to the workshops with the evaluation team (evaluation questions, presentation of evaluation report, etc).
➢ Organize a joint analysis with partners of relevant documentation for the evaluation and ensure it is available for future examination by the evaluation team, and organize joint field missions with partners when relevant.
➢ Organize a meeting with partners and stakeholders after the first draft of the evaluation report is produced to discuss the findings with them.
➢ Follow up with partners and stakeholders to help ensure that the lessons learned and recommendations of the evaluation are internalized.

Revisiting the Outcome

As country offices plan to undertake an outcome evaluation, one of the first steps is to revisit the outcome selected for evaluation. This is done as a check to verify that it is still relevant to evaluate the outcome as

planned and to identify explicitly the range of key outputs, projects, programmes, activities—soft and hard—and partners' interventions that may have contributed to the outcome. This information should be readily available to the country office staff from regular monitoring reports, from the SRF/ROAR and from the Evaluation Plan prepared by each country office which details the projects, programmes, soft assistance, etc. that is directed towards a given outcome. Ideally, revisiting the outcome should occur at least six months in advance of evaluation itself.

Defining the Scope

Typically, the scope of a project evaluation is self-defined within the project document. The scope of an outcome evaluation will be larger than that of a project evaluation in most cases.[3] Senior country office management, the programme staff, the National Human Development Report staff (who can provide important contextual analysis on the outcome), key partners and, if possible, the evaluation team leader, should all participate in defining the scope of the outcome evaluation.

The scope of an outcome evaluation should incorporate, **at a minimum** the following **categories of analysis** either fully or in part:

> ➤ Whether the **outcome** has been achieved and, if it has not, whether there has been progress made towards its achievement.
> ➤ An analysis of the underlying **factors** beyond UNDP's control that influence the outcome.
> ➤ Whether UNDP's **outputs** and other interventions can be credibly linked to achievement of the outcome, including the key outputs, programmes, projects, assistance soft and hard that contributed to the outcome (see **Box 2** below for more on attributing results to UNDP).
> ➤ Whether UNDP's **partnership** strategy has been appropriate/effective.

Box 2. Measurement, Attribution and Credible Linkages[iii]

Outcome evaluation will demonstrate a credible linkage between the whole spectrum of work undertaken by UNDP in partnership with others, on the one hand, and the achievement of or progress towards outcomes, on the other.

The outcomes identified by country offices in their SRFs and they have been defined from the vantage point of the contribution UNDP is trying to make. For example, if a country office has defined an outcome in terms of the "effectiveness of a regulatory framework on decentralization", UNDP's attribution can be claimed based on neither the approval of the law (which is parliament's mandate) nor its effective implementation (which is the municipalities' mandate). However, if a country office reflects in the SRF/ROAR that it is assisting the country, for example, in facilitating the discussion process on the legal regulations for decentralization; piloting municipalities to extract experiences on decentralized budget execution; or promoting community empowerment for planning local development, these contributions can be claimed to be conducive to the achievement of the outcome. Reporting for the achievement of these outputs should not become a problem and neither should be the establishment of a link between these outputs and their contribution to a more effective decentralization process.

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[3] Exceptions to this generality could occur. For example, an evaluation of an extremely large, complex and long-term project could conceivably entail a larger scope that an early, light outcome evaluation conducted one or two years into the Country Programme.

Within these categories of analysis, however, country offices may wish to place the emphasis of the exercise on one or more of the four in comparison to the others. For example, **Table 2** below adds the category of "scope" to Table 1 above and shows how the purpose, scope, timing and duration of an outcome evaluation interact.

Table 2. Variations in Timing, Scope, Purpose and Duration of Outcome Evaluations		
Timing	*Purpose Scope	Duration
Early in the CP Cycle: Years 1-2	* To check early strategy for a particularly ambitious outcome • Relevance of outcome/outputs • Strategic positioning of UNDP • Partnership strategy and formulation	Shorter-term
Middle of the CP Cycle: Years 2-3	* To prompt mid-course adjustments in output production • Relevance of outcome/outputs • Strategic positioning of UNDP • Partnership strategy and formulation • Production of outputs (possibly with partners) • Possibly status of outcome and factors affecting it	Medium-term
End of the CP Cycle: Years 4-5	* To learn lessons for next CP formulation • Status of outcome and factors affecting it • Relevance of outcome/outputs • Strategic positioning of UNDP • Production of outputs • Partnership strategy, formulation and performance	Longer-term

Once these four categories are covered, there are **additional aspects** that could be included within an outcome evaluation, depending upon the nature of the outcome and the evaluation objectives:
- ➢ Identification of innovative methodologies to approach key development issues to SHD.
- ➢ National capacities developed through UNDP assistance (capacity building is a component of most of UNDP's support).
- ➢ Level of participation of stakeholders in the achievement of the outcome, i.e. to ascertain whether the assistance provided by UNDP was of a participatory nature. For example if the civil society and representatives of grassroots groups were consulted in the design of a policy on social investment.
- ➢ Identification of direct and indirect beneficiaries and their perceptions of how they have benefited from the assistance.
- ➢ Implementation and/or management issues if they are suspected of being a problem, including the timeliness of outputs, the degree of stakeholder and partner involvement in the completion of the outputs, and how processes were managed/carried out (transparently, participatory, etc).

Together, the outcome selected and the purpose, timing and scope of the evaluation will dictate much of the substance of the **terms of reference** for an outcome evaluation.

Drafting the Terms of Reference

Annex C to this handbook contains specific information on the Terms of Reference for evaluations, including detailed guidance on outcome evaluations. At a minimum, it is expected that Terms of Reference—for all evaluations—will contain the following information:

➢ **Introduction –** a brief description of what is to be evaluated (outcome, programme, project, series of interventions by several partners, etc.)

➢ **Objectives of the Evaluation –** why the evaluation is being undertaken; list of the main stakeholders and partners

➢ **Scope of the Evaluation –** what issues, subjects, areas and timeframe the evaluation will cover

➢ **Products Expected from the Evaluation –** the products that the evaluation is expected to generate (i.e., findings, recommendations, lessons learned, rating on performance, and an "action item" list if possible, within an evaluation report of a suggested length)

➢ **Methodology or Evaluation Approach –** the methodology suggested to the evaluation team

➢ **Evaluation Team –** composition and areas of expertise

➢ **Implementation Arrangements –** who will manage the evaluation and how is it organized

Note on flexibility
The terms of reference should retain enough flexibility for the evaluation team to decide the best approach to collecting and analyzing data (see below for more on the various methods for doing so). For example, the TOR might suggest a combined approach of questionnaires, field visits and interviews, but the evaluation team should be able to revise this approach as it sees fit.

The terms of reference involves a strategic choice of what to focus on and should therefore be reviewed by key stakeholders in an evaluation and, in the case of outcome evaluation, should involve partners in the drafting process.

Budgeting

Budgeting for an evaluation will depend upon the complexity of the project or outcome to be evaluated and the purpose of the exercise, both of which will dictate the timeframe and evaluators needed. For projects, evaluation resources are allocated from the monitoring and evaluation lines of the project budget. Similarly, outcome evaluations draw on the respective monitoring and evaluation allocations of the projects and programmes that contribute to that outcome.

When budgeting for an outcome evaluation, the UNDP country office should consider the following factors:

➢ The relative **scope**, **complexity** and **time commitments** of the evaluation: An outcome evaluation conducted early in the Country Programme is apt to be less complex and entail a smaller scope and time commitment than would a "heavier" exercise conducted at the end of the Country Programme. The greater the complexity and scope of an evaluation the longer time and more detailed work will be required of the evaluation team, thus increasing evaluators' fees. The duration of an outcome evaluation will be determined by its purpose, with earlier, shorter-term exercises costing less than later, longer-term exercises. Table 3 below gives an idea of the types of costs associated with outcome evaluations and how they may differ depending upon the scope and timing of the exercise.

Table 3: Sample Comparison of Time and Resource Requirements for Outcome Evaluations

Time Required for:	Early in CP Years 1-2	Middle of CP Years 2-3	End of CP Years 4-5
Initial visit of team leader	1 day	3 days	1 week
Desk reviews	4 days	1.5 weeks	2-3 weeks
Evaluation mission	1.5-2 weeks, including:	3 weeks, including:	4 weeks, including:
✓ *Drafting Evaluation Report*	✓ *0.5-1 week of time*	✓ *1.5 weeks of time*	✓ *2 weeks of time*

✓ Debriefing	✓ 2 days of time	✓ 3 days of time	✓ 1 week of time
Preparation of final report	0.5-1 week	1-2 weeks	2 weeks
TOTAL	**3-4 weeks**	**6-7 weeks**	**9-10 weeks**
Possible Breakdown of the Resources required for:			
National consultants—research	1 for 1 week	2 for 2 weeks	2 for 3 weeks
International experts—mission	1 for 1-2 weeks	1 for 2-3 weeks	1 for 6 weeks
National experts—mission	1 for 3-4 weeks	1 for 4 weeks	2 for 6-7 weeks
Travel costs	Travel and DSA for national and international experts	Travel and DSA for national and international experts	Travel and DSA for national and international experts

It is recommended that country offices provide the evaluation TORs to all short-listed candidates for the evaluation team leader to obtain feedback on the methodology and timing of the mission. This can help minimize the time spent on preparation. Another possibility to minimize time is to hire firms rather than individuals, in cases where firms charge a flat rate for the entire evaluation rather daily rates for additional unexpected time. It is also recommended that country offices **take advantage of national evaluative expertise** and use national experts on outcome evaluation missions, to the extent possible.

➢ Outcome evaluations may also entail **field visits and interviews** to speak with a range of partners, stakeholders and beneficiaries about perceptions of progress towards results or the production of UNDP outputs: For outcome evaluations conducted earlier in the Country Programme field visits and interviews may be quite brief. Later exercises would require evaluators speak with a wider variety of stakeholders and partners, thereby influencing travel, DSA and consultancy costs.

➢ The **national consultants** to complement the work of the evaluators: Depending upon their timing and purpose, outcome evaluations may require analysis of documentation prior to the arrival of the evaluation team in country. This can often be done through the hiring of national consultants to review the data, as well as through the UNDP country office staff spending some time in accumulating and making a first cut of analysis of the relevant documentation.

➢ The number of **areas of expertise** needed among the evaluators given the multi-disciplinary approach: Because a multi-disciplinary approach is needed for outcome evaluations, the evaluation team will need to include at least one evaluator—national or international—with RBM knowledge. In addition, one evaluator—national or international—should also have in-depth knowledge of the outcome to be evaluated. These criteria could increase the consultancy costs for the mission.

Organizing the Relevant Documentation

Once the scope of an evaluation has been defined, the CO gathers the basic documentation and provides it to the Evaluation Team. If agreed in the TOR or suggested by the Evaluation Team, preliminary deskwork can be carried out to gather information on activities and outputs of partners, previous UNDP-related assistance and the current situation of the project, programme or outcome itself.

For an outcome evaluation team, the following sources of information would be most useful:

- **Country Cooperation Framework/Country Programme**, which reveals the key outcomes that UNDP had planned to achieve in a three- to five-year time period. It also provides background information and UNDP's perspective on development in a given country.
- **Country Office SRF/ROAR**, which reveals some of the projects and programmes clustered under the outcome in question and should, ideally, reveal all of the projects/programmes/sub-programmes and soft assistance that contribute to the outcome. Also included is information on key outputs, the strategic partners, partnership strategy, how much progress has been reported in previous years, the quality of outcome indicators, or the need to work further in this area and baseline information.
- **CCA and UNDAF**, which include baseline information on the country development situation, partnerships and joint activities (UNDP and other UN agencies).
- **Monitoring and evaluation reports,** which include evaluation reports on related subjects, APRs, field visit reports and any other outcome and key programme/project documentation.
- **Reports of related regional and sub-regional projects and programmes**, which can reveal to what extent these projects and programmes have complemented UNDP's and partners' contributions in the progress/achievement of the outcome.
- **Reports on progress of partners' interventions**, which reveal progress made by partners in the same outcome and how they have strategized their partnership with UNDP.
- **Data from official sources** (government, private sector organizations, the academia, national research institutes) on the outcome progress.
- **Research papers** (from the government, NGOs, International Financial Institutions, academia, National Human Development Report, etc.) on outcome-related topics.

The above sources would therefore expect to yield information about the four categories of analysis in an outcome evaluation in the following manner (see **Table 4**):

Table 4. Summary of Sources of Documentation and corresponding Categories of Analysis				
	What it may tell you about			
Source of Information	Outcome Status	Underlying Factors	UNDP Contribution	Partnership Strategy
CCF/Country Programme	X	X	X	X
SRF/ROAR	X		X	X
CCA/UNDAF	X	X	X	X
M&E reports	X	X	X	X
Regional/Sub-regional reports			X	X
Partners' reports	X	X		X
Official source data	X	X		
Research papers	X	X		

Forming the Evaluation Focal Team within the UNDP Country Office

For project evaluations, the project manager took charge of planning and ensuring that the exercise was undertaken within the framework of the TOR. With a new emphasis on results, however, it is recommended that additional members be involved in the process. For outcome evaluations, it is recommended that the senior management of the country office form a small (2-4 member) Evaluation Focal Team within the programme unit to assume primary responsibility for the outcome evaluation.

Because outcome evaluations touch upon a broad range of assistance that usually go beyond the portfolio of one project manager, they are not efficient for one person to manage alone.

Ideally, preparing for an outcome evaluation should not be a separate process from outcome monitoring. The same programme staff who have been involved in monitoring progress towards a given outcome should be the same staff responsible for preparing for the evaluation, with partners in an outcome group, where one exists. See **Box 3** below for more information on tips for forming the Evaluation Focal Team.

Box 3. The Preferred Approach to Forming the Outcome Evaluation Focal Team

If possible, country offices are advised to set up an Evaluation Focal Team (EFT) within the office as soon as a given outcome is selected for evaluation during the planning stage. Setting up of an EFT from the time of the identification of the outcome to be evaluated offers several benefits:

- It brings in a team approach within the CO to track developments connected with the evaluation as well as widens learning and cross fertilization of knowledge; and

- It provides a team to *monitor* the outcome automatically during the period leading up to the beginning of the evaluation, thereby increasing the connection between outcome monitoring and outcome evaluation.

At the stage when the country office is preparing for an evaluation, revisiting the outcome to be evaluated is one of the first steps. At this time, it is the EFT that can best ascertain the continued relevance of the outcome as already stated/identified for evaluation. For example, it is possible that changes in the circumstances could make it necessary to change the envisaged timing, scope and nature (light/forward looking, mid-term/course adjusting or late/backwards looking) of the evaluation in order to enhance the development value of the intended outcome. The Team could advise on such issues. A well thought out team approach would be more valid to make decisions on such issues than individual or ad hoc advice.

The EFT will serve a useful function in connecting the evaluation team with the programme unit, the senior management and the partners. The Team will also be responsible for substantive and logistical arrangements, such as drafting terms of reference of the evaluation team; identifying suitable candidates (individuals or firms) for the evaluation team; hiring the evaluation team; ensuring a participatory evaluation process; contacting partners; backstopping the evaluation team; and commenting on the evaluation draft report.

It is the EFT's job to ensure a high level of participation within the country office and among partners at all stages of the evaluation process. Participation is important in order to keep all interested parties informed of the evaluation progress and to ensure the credibility and quality of the exercise. The following parties would conceivably provide the most relevant input to the evaluation process:

➢ **Senior management**, to give direction and vision to the evaluation, provide information on the strategic positioning of the office, soft assistance and the SRF, and provide first-hand information on planned or potential assistance (e.g., preliminary discussions with high-level authorities on a specific assistance or services and soft pipeline).
➢ **Programme staff**, to enrich discussions through the exchange of information on related or complementary initiatives in other thematic areas, key outputs from projects/programmes, key ongoing soft assistance and linkages with cross-cutting issues (e.g., governance, environment, gender, risk management).

➢ **Human Development Report staff**, if one exists, to provide the team with recent information on human development variables, statistics and other relevant information.
➢ **"Think tank" staff**, if available, to provide context, suggestions on how to approach outcome-related matters, hints on sources of information and contacts with key partners.
➢ **Partners**, to understand simultaneous assistance towards the same outcome and to assess UNDP's partnership strategy.

Selecting the Evaluation Team

The choice of the evaluators is an important factor in the effectiveness of evaluations. Evaluators can be internal to UNDP or external, firms or individuals, national or international, or a combination of the above (see **Annex C** on the evaluation TORs for a comparison of advantages and disadvantages of hiring firms or individuals as evaluators). However, regardless of the type of evaluator selected, all members of a team must be *independent* (i.e., they should not have any connection with the design, formulation and implementation of the UNDP or partner programmes, projects or activities in question). Neither should they be government civil servants directly/indirectly related to the results produced. The non-observation of this requirement could compromise the credibility and independence of the exercise.

For outcome evaluations as well, all members of the evaluation team must be independent. However, country offices are encouraged to include on their outcome evaluation teams, where possible, UNDP staff members from other countries or regions in order to maximize cross-regional/country knowledge sharing and staff learning/capacity development. These UNDP staff members—who should be at the country office programme management or senior management level—must not have had any connection with the design, formulation or pursuit of the outcome in question or with any of its associated projects, programmes or activities.

Areas of expertise to be considered in the team composition are the following:

❖ Technical knowledge and experience in UNDP's thematic areas, with specifics depending on the specific focus of the evaluation.
❖ Knowledge of the national situation/context.
❖ Results-based management expertise (increasingly, evaluations will need to mainstream RBM principles and methodology; therefore, evaluators will need to know how to establish a link between the progress of UNDP's assistance and the role it plays in bringing about development change).
❖ Capacity building expertise.
❖ Familiarity with policymaking processes (design, adoption and implementation) if the evaluation is to touch upon policy advice/dialogue or other upstream issues.

5.2.   MANAGING AN EVALUATION

The "Guidelines for Evaluators", which are a companion series to this Handbook, give detailed guidance to outcome evaluators in undertaking their task. This section, however, is intended to assist the UNDP country office staff—usually the Programme Managers, Outcome Group or Evaluation Focal Team (all of which could be co-terminous depending upon the country office set-up)—who are tasked with managing an outcome evaluation.

Collecting and Analyzing Data

The outcome evaluators are not expected to undertake a great deal of primary data collection and analysis. This role will fall to the country office and, more specifically, the EFT if there is one. The EFT should then decide which method(s) to use in the collection and analysis of information for the evaluation. Both **qualitative** and **quantitative** methods are used for collecting and analyzing data. The methods are highly complementary even though each may respond to different objectives and use different instruments and methodologies. Preparing for an evaluation—be it for a project or outcome evaluation—would normally require a combination of both.

Qualitative methods can be used to inform the questions posed by the evaluators through interviews and surveys, as well as to analyze the social, economic and political context within which development changes take place. On the other hand, **quantitative** methods can be used to inform the qualitative data collection strategies by, for example, applying statistical analysis to control for socio-economic conditions of different study areas.[iv] See examples of both approaches, and their mixture, in **Table 5**.

Table 6. Examples of a Mixture of Approaches in an Outcome Evaluation		
Outcome	Quantitative analysis	Qualitative analysis
Improvement of legislative capacity	Data on the number of laws passed by the parliament - when, on what subjects and whether they were government or private member sponsored.	Analysis of how many of those laws were technically complex and/or addressed significant national priorities; how many were technically proficient (were well written and constitutional); and how participatory and transparent the process was.
Increased transparency in the public sector	Data on the number of corruption cases presented for adjudication and the number to reach a final decision.	Analysis of how was the process was carried out and how citizens perceived it.

Backstopping and Feedback

The UNDP country office staff responsible for managing an evaluation—or the EFT if one is created—is responsible for liaising with partners, backstopping and providing technical feedback to the evaluation team. Specifically, the EFT or other staff should be in constant liaison with the evaluation team. These staff must be informed, must push the evaluation team to justify its conclusions and back them up with evidence, and must provide some clarity and depth to the team's discussions.

In short, the EFT will be the key group with which the evaluation team interacts. It will answer questions, facilitate interactions or provide information. The EFT will also provide feedback on the draft report and will organize a stakeholder and partner meeting to discuss the evaluation team's findings.

Reporting

The seeds for reporting evaluation conclusions and recommendations are found in the TORs of the evaluation. For example, the terms of reference for an outcome evaluation will include the outcome to be studied and why it was selected, the scope of the mission and the strategy for collecting and analyzing data. The resulting outcome evaluation report would therefore be expected to include these elements as well. The evaluation team is bound by the TORs to ensure that the selected issues are adequately

addressed in the report; although enough flexibility should be retained for the team to add issues that it feels are particularly pertinent. Therefore, the team leader would normally draft, at the earliest stage of the evaluation, a table of contents that is based on UNDP's requirements, the TORs and the discussions with interested parties and partners.

The draft table of contents will be a convenient framework around which to organize information as the work proceeds. The table will help focus the fieldwork to collect missing information, verify information, and draw and discuss conclusions and recommendations. See **Annex D**.

The Evaluation Focal Team, if there is one, or relevant UNDP country office staff members (e.g., focal point for the evaluation, project staff and/or senior management), should analyze and provide comments to the first draft of the evaluation report. After comments are incorporated, the final draft version should be circulated among partners to ensure feedback. The evaluation team leader is responsible for the incorporation of comments into the final version of the report and for its submission to the senior management of the country office. Depending upon the complexity of the evaluation findings, the country office should consider organizing a (half-day) stakeholders meeting to make a presentation to the partners and stakeholders and ensure that there is a common understanding of the evaluation findings. This will also facilitate the feedback on the report draft.

Following up

The evaluation process does not end with the submission and acceptance of the evaluation report. Rather, the findings and conclusions, recommendations and lessons learned need to be internalized and acted upon. Therefore, the final stage in the managing and conduct of any evaluation is follow up on the evaluation report and implementation of change. This step is very much linked to the knowledge and learning processes, which are discussed in more detail in **Chapter 7**.

5.3. JOINT EVALUATIONS[v]

In general, joint evaluations can be conducted within the context of any kind of evaluation and in partnership between UNDP and donors, governments or other partners. Suggested steps in planning and conducting a joint evaluation—whether outcome or otherwise—are as follows:

1. **Agree on the Scope.** As the first step in a joint evaluation, the scope should be defined jointly by the organizers of the evaluation. Priority areas of concern as well as mutual interests – which are not always necessarily the same – should be clearly identified. Practical issues that should be clarified include the project, outcome, etc. to be evaluated, the issues to be covered and the time frame of the exercise.

2. **Divide the Labor.** As one of the first steps after selecting of the scope of the evaluation, the senior management of the UNDP country office should agree on a decision-making arrangement among the actors and on how the labor will be divided among them. This involves determining who will take the lead role in each of the subsequent steps in the evaluation—in other words, appointing "Task Managers". For example, one partner might be tasked with taking the lead in drafting the TOR, another in recruiting the team and another in making the logistical arrangements for the mission. Field visits may involve respective parties gathering data in different locales simultaneously.

Be prepared to adapt to different institutional approaches to evaluation. Take account of possible delays in this regard when planning the timetable for the evaluation. Different donors even within the same country can have different administrative, political, financial and methodological practices that delay the process. Be clear on respective responsibilities during the field visit(s) – be attentive to detail. Who – or which organization – is responsible for funding the transportation of the experts from one site to another? Who will keep track of the "individuals met" list so that there is a well-documented account at the conclusion of the exercise? Which side will collect the documents during the field visit and how will those documents reach the other experts during subsequent analysis in respective home countries?

3. **Select the Funding Modality.** There are a number of funding modalities available for joint evaluations. The more preferable of these to UNDP is for the partner(s) to contribute financial support for the evaluation into a pool of funds (akin to a trust fund) that is administered by UNDP and that covers all costs related to the exercise. A second option is for the partner(s) to finance certain components of the evaluation while UNDP covers others (akin to parallel financing). While this is sometimes necessary due to financial rules of partners, it does require additional time and administrative processing.

4. **Draft Terms of Reference.** In general, it is more efficient and effective for all of the partners in a joint evaluation to discuss and agree upon the scope of the evaluation but for one party take the lead in drafting the terms of reference. After a draft is produced, it should be discussed and agreed upon by the partner institutions. The optimal type of TOR is one that can satisfy all respective interests of the parties concerned, however, given the range of motivations for undertaking an evaluation—e.g., identifying lessons learned, establishing an empirical basis for substantive reorientation or funding revision, satisfying political constituencies in donor countries, fulfilling institutional requirements that are particular to large projects, etc.—this is not always possible. In such a case, consideration must be given to prioritizing a common agendas that balances ownership with what is feasible.

5. **Select the Experts.** As with funding modalities, different options are available for selecting the experts in a joint evaluation. One option is to task one of the partners with recruiting the evaluation team, in consultation with the other partners. Another option is for each of the partners to contribute its own experts. The option used to select the experts might need to correspond to the funding modality used (i.e., if parallel financing is used, each partner might need to bring its own expert to the team). In cases where each party brings its own evaluators to the team, evaluators may have difficulty in "reporting to" one actor while serving as a member of a joint team. To resolve this issue, the evaluation managers from both institutions should make clear to evaluators that the independence of the team will be respected and expected.

   In addition, ensure that there is at least one face-to-face planning session, involving the experts involved, prior to the field visit(s). In other words, do not combine initial introductions among the experts with data gathering. In some cases, the experts, especially in situations in which they are selected respectively by UNDP and the counterpart, should meet with respective stakeholders and in the process gain an overview of the project or outcome context before visiting the field.

6. **Conduct the Evaluation.** To the extent possible, experts recruited separately – by UNDP on the one hand and the counterpart on the other – should undertake field missions together. For example, a

group of four evaluators – two selected by UNDP and two by a donor country – can pair off to optimize their time in a given country or region, but it is best if the pairs comprise one expert from each "side". It may also be useful in terms of capacity development of UNDP staff to have a representative of UNDP and/or the counterpart(s) participate on the evaluation team, particularly during the fact-finding phase, on a purely observer basis. This is admittedly a sensitive issue, however, and should be approached as such between the parties to a joint evaluation and the evaluation team.

7. **Prepare the Report.** Only the evaluation team per se should be involved in analyzing the findings and drafting the joint evaluation report. That said, in evaluation teams composed of representatives from different institutions, there may sometimes be differing views of how to portray findings or recommendations. Drafting the report may therefore entail some process of negotiation among the team members. After a draft is produced, the report should be shared with UNDP and the partner institution(s) for comments. Thereafter, the report can follow normal vetting and finalization procedures.

8. **Follow-up and Implement Recommendations.** This last step of course holds true for all evaluations, which must follow-up on the findings and recommendations of the evaluation report. In joint evaluations, however, it can be particularly challenging, given that the internalization of the findings and implementation of the recommendations needs to be done on an individual institutional level and at the level of the partnership. Partners need to agree on what to do individually and collectively, and decide upon a follow-up mechanism that checks the status of implementing change.

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iii   Ibid.
iv   "Impact Evaluation," World Bank, April 2001
v   Joint evaluations will be covered in more depth in the companion series to this handbook.

UNDP Evaluation Office

Part 3
Monitoring and Evaluating Performance

PART 3 CONTENTS:

Chapter 6: Performance Measurement

Chapter 6. Performance Measurement

This chapter covers methodology in approaches for performance measurement. It introduces the use of indicators, including baseline data, setting targets, data collection systems and quantitative and qualitative analysis in performance monitoring and evaluation of UNDP-supported assistance.[1] The chapter should help users to apply indicators to better judge progress toward results and performance.

This chapter covers:

6.1. Performance Measurement
- Rating System

6.2. Selecting Indicators
- Key Steps
- Indicator Planning

6.3. Using Indicators
- Involving Stakeholders
- Using Results Indicators for Monitoring

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[1] Indicators of performance for corporate planning within UNDP are outside the scope of this Handbook.

6.1. PERFORMANCE MEASUREMENT

To assess performance, a person not only needs to know actual achievements, but also information about how they were achieved, factors that influenced this positively or negatively, whether the achievements were exceptionally good or bad, who was mainly responsible, etc.

It has traditionally been easier to measure financial or administrative performance, such as efficiency. Results-based management lays the basis for substantive accountability and performance assessment, or effectiveness. The APR, evaluations and the ROAR provide the means to assess performance at the CO level.

In any given country office, results-based management may also serve as input to assessment of performance of projects, programmes, programme areas, groups of staff and/or individuals should the CO find it useful. **Figure 1** illustrates the linkages between performance measurement, rating and indicators as elements of such assessments.

Figure 1. Dimensions of Performance Measurement
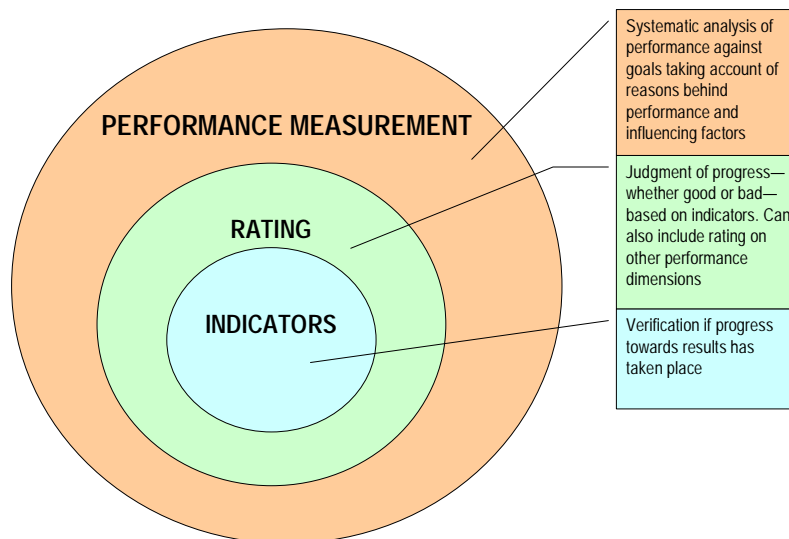
Rating System

The growing internalization of RBM within UNDP gradually allows for an expanded use of reported performance results for internal management and oversight functions. A key area for such expanded use involves the development of a **common rating system** for all results reported by the organization under the RBM framework. Such a system allows UNDP to rate performance at the results level, and to analyze and compare trends by thematic category (e.g., governance, poverty, etc.); level of intervention (e.g.,

project, output, outcome, etc.); geographic area (e.g., Africa, Asia, etc.); or organizational unit (e.g., country office, regional bureaux, etc.).[2]

Building on the three-point rating system developed in the ROAR, a common rating system can be used **for all key monitoring and evaluation tools**—i.e., the ROAR, the APR, field visits and outcome evaluations—to compare performance across results. With this approach, there are two kinds of ratings: self-ratings (e.g., APR) and independent ratings (e.g., outcome evaluation). Having two kinds of ratings that use the same rating criteria allows a richer picture of how progress towards, and achievement of, results are perceived by the UNDP CO, by UNDP HQ and by independent assessors. It also provides the basis for dialogue within and between the CO and HQ if ratings for the same outputs or outcomes vary.

Key elements. The common rating system consists of the following core ratings:

For outcomes: Three ratings reflect progress on outcomes, without attributing the progress to any partner. The three ratings are meant to reflect the degree to which progress towards or away from achieving the outcome has been made. The methodology in all three ratings is to compare, as measured by outcome indicators, the evidence of movement from the baseline either towards or away from the end-SRF target.

☐ **Positive Change** (positive movement from baseline to SRF target as measured by the outcome indicator[s])

☐ **Negative Change** (reversal to a level below the baseline as measured by the outcome indicator[s])

☐ **Unchanged** (no perceptible change between baseline and SRF target as measured by the outcome indicator[s])

For outputs: Three ratings reflect the degree to which an output's targets have been met, serving as a proxy assessment of how successful an organizational unit has been in achieving its SRF outputs. The three ratings are meant to reflect the degree of achievement of outputs by comparing baselines (the inexistence of the output) with the target (the production of the output). The "partially achieved" category is meant to capture those en route or particularly ambitious outputs that may take considerable inputs and time to come to fruition.

☐ **No** (not achieved)

☐ **Partial** (only if two-thirds or more of a quantitative target is achieved)

☐ **Yes** (achieved)

This results rating system applies to:

a.   The ROAR will continue to rate outcome and output progress. A ROAR analyst team at Headquarters makes the rating annually. The ratings are used to report trends and progress to external stakeholders, as well as to identify weak areas for improvement by the organization. Feedback to the country offices on the ratings should stimulate debate on progress and needed action. Because country offices will receive information via other sources—outcome evaluations and key monitoring

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[2]   A three-point rating system (positive change, negative change, unchanged) for *outcomes*, and (achieved, not achieved, partially achieved) for annual *output* targets, was originally developed for the ROAR. This system allowed UNDP to determine **output and outcome performance rates** and compare them across countries, regions, goals, sub-goals, etc., but was completed by analysts at HQ, was not typically shared with country offices and was not compared with country office rating of the same changes.

tools—using the same ratings, they will have a basis to discuss results, and perceptions of the progress towards them, with Headquarters.

b. Evaluations will rate outcome and output progress *but* will also rate, where possible and appropriate, other key performance dimensions such as sustainability, relevance, efficiency, etc. (**See** ☞ **Companion Series #1** to this Handbook, "Guidelines for Evaluators," for more on the rating system to be used by outcome evaluators). The rating is made by independent assessment teams, periodically when outcome evaluations are taking place. Other types of assessments should also provide ratings where appropriate, such as assessments of development results by the Evaluation Office. The ratings will be used for trend analysis and lessons learned corporately, as well as for validation of country-level results and debate on performance at country level.

c. **Select country-level monitoring reports will rate outcome and output progress for projects, on a voluntary basis. For the** Annual Project Report, **the rating on progress towards** *outputs* **is made annually by** *both* **the** *Project Manager* **and the** *Programme Manager* **and forms the basis of a dialogue in which consensus ratings for the outputs are produced. If there is a disagreement between the project staff and the programme staff on how outputs are rated, both ratings are included in the report, with proper attribution. The rating on progress towards** *outcomes* **in the APR is made by the** *UNDP Programme Managers and/or other CO staff* **alone. For** field visits, **the** *UNDP Programme Managers and/or other CO staff* **periodically rate progress towards** *both outputs and outcomes*, **discussing their ratings with the project staff. The ratings will be used by the CO to assess project performance and for trend analysis and lessons learned. They may also be used corporately for validation and lessons learned.**

For an effective use of performance assessment and rating, the country office may want to:
✓ debate and determine the use that will be made of the results to be obtained from performance assessment system, such as trend analysis, targeting projects for improvement, contribute to PAR ratings and contract extensions of project staff, etc.
✓ share with the relevant CO and project staff information on how the rating system will be used so that there are no false expectations as to its application
✓ determine organizational unit/individual responsibility for performance assessment and rating as well as control measures to mitigate biases by "raters"
✓ qualify quantitative rankings with qualitative performance assessments.

The use of rating for relevant monitoring and evaluation tool—specifically, the APR, the field visit and the outcome evaluation—is covered in more detail in the **Annexes** and in **Companion Series #1** to this Handbook on "Guidelines for Evaluators."

6.2. SELECTING INDICATORS

Note *!*
*Among the three levels of UNDP management—project, programme and senior CO—the programme managers and senior CO managers are **most concerned** with indicators that reflect progress towards outcomes. Much of the following information is therefore relevant to them more so than for project managers, who deal mainly with output indicators for which baselines, targets and information gathering are fairly clear-cut.*

Indicators are an important component of performance measurement, while by no means the only component. Some key steps for UNDP managers in working with indicators are outlined below.

Key Steps

- **Set baseline data and target**. A baseline and a target are essential components of an indicator for an outcome or development situation. (It is rarely needed for output indicators since outputs are being produced and the baseline is that they do not exist.) Baseline data not only provide information on which interventions can be designed and implemented, but also an invaluable set of data against which success or at least change can be compared to measure progress toward a result. The verification of results depends upon having an idea of change over time. It requires clarity about the development problem we are addressing before any intervention. The situation *before* a programme or activity is the <u>baseline</u>, and is the starting point for results monitoring. What the situation is expected to be at its end is the <u>target</u> (**see Box 1** for an example of each). Between the baseline and the target there may be several *milestones*—e.g., corresponding to expected performance at periodic intervals. Baseline data and target setting should be developed through a thorough analysis of key factors that influence the development problem being addressed.

  > **Box 1: Baseline and target**. If wider access to education is our intended result, school enrollment may provide a good indicator. In terms of monitoring results, we may have a *baseline* of 55% enrollment in 1997 and a *target* of 80% enrollment in 2002.

- **What to do when there are no baselines identified?** In the case of ongoing programme or project where no baseline was specified at the time of formulation, it does not mean that the baseline does not exist. In some cases it may be possible to find estimates through the CCA and annual review exercises and national administrative sources of approximately where one was when the programme started (**see Box 2**). In cases where it is not possible to get any sense of change, try to establish a measure of where one is <u>now</u> that will at least enable future assessment of change. The sections on context and problems to be resolved in the project document (or PSD) give some information of the situation.

  > **Box 2**: Even when one cannot find data after implementation has begun it may <u>still</u> be possible to obtain a measure of change over time. For instance, in respect of local governance, one can ask a number of people:
  > *Compared to three years ago do you now feel more or less involved in local decision-making?* If there is a clear tendency among respondents—either towards "more" or towards "less"—that gives an indication of whether change has happened or not.

- **Use proxy indicators when necessary**. In cases where cost, complexity and/or timeliness of data collection prevents a result from being measured directly, proxy indicators may be used to reveal performance trends and make managers aware of potential problems or areas of success. This is often the case for outcomes in policy dialogue, governance and other results difficult to measure. The outcome of *"fair and efficient administration of justice"* is often measured by surveying public confidence in the justice system. Although high public confidence does not prove that the system actually is fair, it is very likely that there is a correlation. As another example, in an environmental protection programme where a target result is the improvement in the health of certain lakes, the level of toxins in duck eggs may serve as a proxy indicator of that improvement.[i]

- **Use disaggregated data.** Good indicators are based on basic disaggregated data in terms of location, gender, income level, and social group, which is also necessary for good project and programme

management. Such information, sometimes in the form of estimates, can be drawn from government and non–governmental administrative reports and surveys. Regular quality assessments, using qualitative and participatory approaches may be used to corroborate, clarify and improve the quality of data from administrative sources. For example, for the outcome of "e*ffective legal and policy framework for decentralization*", the indicator "*proportion of total public revenues allocated and managed at sub-national level*" may demonstrate increased overall distribution of resources to local level but hide large disparities in distribution to some regions.

- **Involve stakeholders.** At the *project* formulation stage, the institution designated to manage the project and other stakeholders should be involved in selecting a preliminary list of *output* indicators. Participation intends to promote ownership of, and responsibility for, the planned results and agreement on their achievement. At the level of *outcomes*, partners would normally be involved in outcome indicator selection through the Country Programme and SRF formulation processes. It is critical that for outcomes, which UNDP contributes towards in partnership with others, partners agree on which indicators to use for monitoring and on respective responsibilities for data collection and analysis. This serves as a basis for changing the implementation strategy where the indicators show that progress is not on track.

- **Distinguish between quantitative, qualitative and proxy indicators**. Both quantitative and qualitative indicators should be selected based on the nature of the particular aspects of the intended result. Efficiency, for instance, lends itself easily to quantitative indicators. On the other hand, measuring dynamic sustainability, which involves people's adaptability to a changing environment, necessitates some qualitative assessment of attitudes and behaviors. Methodologies such as beneficiary assessment, rapid rural appraisal (RRA) and structured interviews can be used to convert qualitative indicators into quantitative indicators.

- **Try to limit the number of indicators.** Too many indicators usually prove to be counterproductive. From the available information, develop a few credible well-analyzed indicators that substantively capture positive changes in the development situation. Since several projects can contribute to one strategic development outcome, even where projects already have indicators the CO may have to be selective, striking a good balance between what *should be* and what *can be* measured. The list can be narrowed using the SMART principles and additional criteria to sharpen results indicators. **See Table 1** for selection table developed by UNDP Mali.

Table 1: How to select indicators

A= the meaning of the indicator is clear
B= data are easily available
C= the effort to collect the data is within the power of the project management and do not require experts for analysis
D= the indicator is sufficiently representative for the total of the intended results (outcome or output)
E= the indicator is tangible and can be observed
F= the indicator is difficult to qualify but so important that it should be considered (proxy indicator)

Select the 2-3 indicators with best score

Project:										
Intended results	**Performance indicators**	**Classification of indicators**							**Total Score**	**Selected**
		A	B	C	D	E	F			
Impact	If any -									
Outcome 1	Indicator 1 Indicator 2 ….	[Rate 1 per satisfied criteria]								
Output 1	Indicator 1 Indicator 2…..									

- **Ensure timeliness**. Usefulness of an indicator depends on timeliness and clear actions so that an indicator target date fits with the expected progress of the assistance. If changes take place—e.g., in modifying outputs or outcomes—then new sets of indicators would need to be established to reflect the actual targets.

Indicator Planning

A critical test of an indicator is how practical it is to use for monitoring results—that is, how easy it is to obtain and analyze data for the indicator. To get "valid" and "representative" data can become a large, complex and costly affair. For example, asking everybody's opinion through a survey is rarely possible—it would be easier to obtain a smaller but representative "sample" of respondents. Indicators should therefore be as simple and few as possible, while demonstrating *some* measure of progress or magnitude of change.

The data collection and analysis responsibilities—primarily of the **Programme Manager**, in consultation as relevant with the senior CO management and the project management—include:

- For **outcomes** ensure that baseline or situational data is available at the programme formulation stage. This will allow time-series data to be compared with the baseline data to assess progress in achieving the desired outcomes. Use existing sources and processes to do so, such as the NHDR and the CCA. The majority of outcomes will be identified at the Country Programme/SRF formulation stage, however some may assume a slightly different formulation in specific programmes and projects. Some outcomes may also feature slightly different and/or additional indicators than those found in the SRF. The important thing is to ensure that regardless of the outcome and indicator specificities, adequate baseline or situational data is available at the time both the outcome and the indicators are selected.
- Ensure that **data collection and analysis is planned** for the outcome (see **Box 3** below). As much as possible, rely on existing national sources rather than collection by the CO or the project. For example, for the outcome "r*esponsiveness of national policies to gender issues*", the indicator "government policy statements and plans include targets from the improvement in the status of women" is measurable, but someone will have to collect all the plans and then go through them to see if targets are set. This would have to be planned.
- Include efforts to obtain **information from beneficiaries** on outcomes, through, for example, household and/or individual surveys, and consultations with community and stakeholders.
- For **outputs**, ensure that data is collected through the projects themselves and that the Project Management is aware of its responsibilities and/or from various administrative sources or national systems.

As discussed in **Chapter 3**, an outcome monitoring plan—drawn up by the **programme management**—helps to ensure that the CO continuously collects information on the outcome and periodically analyzes it to chart progress. Therefore, for those country offices that establish an outcome monitoring plan, it is critical to include in the plan information on the outcome indicators so that (a) indicators are not selected unless data is likely to be available, and (b) that data will be available for the indicators that were selected.

It is recommended that an outcome monitoring plan, should country offices decide to use one, include the following information on indicators:
- relevant outcome to which the indicators apply
- outcome indicator(s)

- data source(s)
- method and frequency of collection and analysis

The plan may also include who will be responsible for data collection and analysis and who will use the resulting information (see **Table 2** for a sample format of how indicators might fit into an outcome monitoring plan).

Table 2: How Indicators might fit into an Outcome Monitoring Plan[ii]

Outcome	Outcome indicator(s)	Data source(s)	Method of data collection/analysis	Frequency of data collection/analysis	Who is responsible	Who will use the information

If the indicators selected are too complex, it will be difficult to understand or analyze them properly. Particularly for situational indicators and assessments of the national development priorities, it is useful to secure support for technical, economic, social or environmental analysis. **Box 3** highlights key generic principles and issues to be addressed when Programme Managers **plan data collection and analysis using indicators**.

Box 3. Key Principles for Data Collection and Analysis Using Indicators

- **Rationale**—Build a conceptual framework into which ideas can be placed, giving definition, orientation and direction to both available information and your own ideas about the project or programme. For UNDP, this means a *credible chain of results* in terms of outcome, outputs and partnerships.
- **Statement of purpose or problem**—What is it that you plan to investigate? Define problems/issues; look for signals that have clear meaning; agree with beneficiaries and partners. This involves the definition of the development problem at the *SRF Sub-Goal* level.
- **Questions to be answered**—When the data collection is finished, what are the major questions to which reasonable answers can be expected? What evidence can be used to verify the level of achievement of the indicator?
- **Statement of outcome**—Spell out the particular outcome(s) you will monitor; set targets that are realistic; keep data sources and monitoring responsibilities in mind.
- **Design and procedure**—State who your interview/survey/focus group subjects will be, how they will be selected, the conditions under which the data will be collected, what measuring instruments or data-gathering instruments will be used, and how the data will be analyzed and interpreted. Look for data that is easily available and avoid major data collection.
- **Assumptions**—What assumptions have you made about the nature of the issues you are investigating, about your methods and measurements, or about the relations of the investigation to other problems or situations?
- **Limitations**—What limitations exist in your methods or approach to internal and external validity?
- **Delimitations**—On what basis have you narrowed the scope of data collection and analysis? Did you focus only on the selected aspects of the problems or outcome, certain areas of interest, or a limited range of subjects?
- **Definition of terms**—List and define the principal terms you will use, particularly where terms have different meanings to different people. Emphasis should be placed on operational and/or behavioral definitions.

When planning data collection and analysis using indicators, Programme Managers may realize that data are not immediately available. In such cases, Programme Managers should plan to collect data through alternative instruments and/or approaches, such as:

- Awareness/attitude surveys and questionnaires (**see Box 4**)
- Expert panels

- Key informant interviews
- Focus groups
- Mapping techniques

6.3. USING INDICATORS

> **Box 4: Attitude surveys** allow for some *quantification* of *qualitative* change. If the proportion of people who perceive of local government management as "participatory" goes up from 40% to 65% (over a certain period of time) that *does* give some measure of the *degree* of qualitative change.

Involving Stakeholders

The country office—specifically, the Programme Manager in direct consultation with the senior CO management—should establish mechanisms for sharing information generated from indicators with primary stakeholders, particularly for outcome indicators. This would ensure that the analysis of progress is locally relevant using local knowledge, while fostering 'ownership' and building group decision making-skills. It is important to add, however, that stakeholder or partner participation in analysis of the indicator data may significantly alter the interpretation of that data.

A reliable form of assessment is visual on-site verification of outputs, ideally by participatory observation, in-depth participatory reviews with implementation partners and 'beneficiaries' (see **Box 5**). However, other elements of assessment might include more top down approaches to achieve analytical rigor, independence, technical quality, uniformity and comparability. Finally, the indicators should be part of evaluations to

> **Box 5**: Techniques for feeding back information:
> - group discussion
> - use of video
> - interviews
> - surveys

assess progress towards the outcome and outputs produced, including stakeholder satisfaction with the results.

Using Results Indicators for Monitoring

Monitoring development performance within RBM involves looking at the two key points of assessment— *outputs* and *outcomes*—both planned and unplanned. What is assessed at each point is summarized in **Table 3**.

| Table 3. Monitoring Results Indicators |
Point of measurement	What is measured	Indicators	Primary Level of Use
Output	**Effort**, or goods and services generated by projects and programmes	Implementation of activities	Project Management
Outcome	**Effectiveness**, or results in terms of access, usage and stakeholder satisfaction from goods and services generated by projects, programmes, partners and soft assistance	Use of outputs and sustained production of benefits	Programme Management
Impact	**Effectiveness**, or results in terms of the combined effect of a combination of outcome activities that improve development conditions at a national level	Use of outcomes and sustained positive development change	Senior CO Management

In practical terms, indicators are used periodically to validate partners' perception of progress and achievement, as well as to keep on track and receive early warning signals of problems in progress. Indicators only *indicate*, they do not *explain*. Any interpretation of indicators will be done through qualitative analysis. For example, as indicated in **Figure 2** below, a qualitative analysis would be needed to interpret what the indicators say about progress towards results (also see **Note on Figure 2**).

Figure 2: Progress towards results
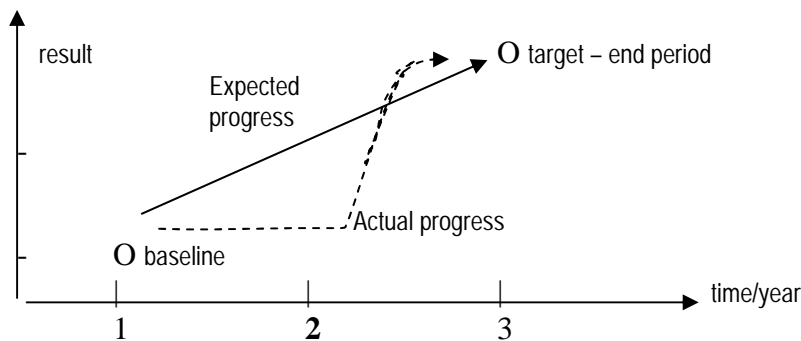
Note on Figure 2: Progress is rarely linear. In this example, the indicator at year 2 would show that there has been no progress since the start. Analysis is required to explain why that is so and whether the effect is just delayed and likely to happen by end-period.

On the other hand, the actual progress may mean that action *was* taken at year 2 when progress was slow and that is why the target was reached in the end.

For **outputs**, the Programme Manager uses day-to-day monitoring to verify progress, as well as field visits and reports and/or information received from the Project Management. The Annual Project Report (APR) is too infrequent to allow early action in case there are delays or problems in the production of outputs. For the **outcome** annual monitoring is more appropriate, through input from the technical project experts in the APR, discussions at the Steering Committee and the Annual Review. Since the outcome is less tangible than outputs, indicators are indispensable for an informed analysis on progress. Discussions of indicators for **impact**—situational indicators—can be done annually if information is available, but is normally done less frequently, at the occasion of CCA and Country Programme preparation, mid-term in the Country Programme and/or UNDAF, and towards the end of the Country Programme or SRF period.

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[i] Allen, John R., "Performance Measurement: How to Do It, How to Use It," paper presented at a workshop sponsored by the American Evaluation Association, Atlanta, November 1996.
[ii] USAID Performance Monitoring Plan, TIPS No. 7

UNDP Evaluation Office

Part 4
Use of Monitoring and Evaluation Information

PART 4 CONTENTS:

Chapter 7: Knowledge and Learning—Use of Evaluative Evidence

Chapter 7. Knowledge and Learning – Use of Evaluative Evidence

This chapter deals with the use of evaluative evidence and monitoring and evaluation information, with links to **Chapter 1** on the purposes of evaluation. In particular, the chapter describes how to ensure effective feedback on M&E results and covers approaches to lessons learning. It also touches on evaluative evidence and lessons learned. The chapter should help users to ensure that monitoring and evaluation information is effectively applied for improvements in performance, decision-making and learning.

The chapter covers:

Introduction

7.1. Knowledge and Learning from Experience
- Definitions
- RBM and Knowledge Management

7.2. Feedback from Monitoring and Evaluation
- The Feedback Process
- Information Tools and Methods
- Applying the Recommendations from M&E Feedback
- Publication of Evaluative Evidence and Feedback Material

INTRODUCTION

Knowledge from monitoring and evaluation (M&E) lies at the core of UNDP's organizational learning process. M&E provide information and facts that, when accepted and internalized, become knowledge that promotes learning. Learning must therefore be incorporated into the overall programming cycle through an effective feedback system. Information must be disseminated and available to the potential users in order to become applied knowledge.

At country office level, UNDP can use and apply the learning from monitoring and evaluation to improve the overall performance and quality of results of ongoing and future projects, programmes or strategies. Learning is particularly significant for UNDP support to policy reform processes, which are often innovative and contain uncertainties. To ensure relevance of learning, evaluative evidence should demonstrate 'real time' capability. Giving 'real-time' results to stakeholders means getting it right in the very first instance. An immediate advantage is that conclusions can be field checked with respondents within weeks, providing a major opportunity for eliminating erroneous interpretations, increasing respondents' sense of 'ownership' of their distilled experiences and getting evaluative results to interested stakeholders when it is likely to be most useful. The publication of outdated results or irrelevant recommendations should decrease once dissemination of 'real time' information becomes normal practice.

Learning complements performance measurement—it lends a qualitative edge to our assessments. Whether or not we have excellent and clear indicators associated with the results, we can and will learn from the process and thereby be able to improve it. Learning is also a key tool for management and as such the strategy for the application of evaluative knowledge is an important means of advancing towards outcomes. Because outcomes are a more ambitious and complex endeavor than the simple supply of inputs and production of outputs, a premium will be placed on UNDP's ability to learn what works—in terms of outcome relevance, partnership strategy, output design, indicators, etc.—and feed this back into ongoing and future outcome assistance.

The focus on learning from evaluative knowledge emphasizes the fact that evaluation should be seen not just as a 'one off' event but as part of an exercise whereby different stakeholders are able to participate in the continuous process of generating and applying evaluative knowledge. Who participates in this process and to what extent they are involved (informed, consulted, equal partners or as the key decision-makers), are strategic decisions for managers that will have a direct bearing on the learning and the ownership of results. A monitoring and evaluation framework that generates timely knowledge, promotes learning and guides action is by itself an important means of capacity development and sustainability of national results.

Box 1: My checklist for learning
- record and share lessons learned
- keep an open mind
- plan evaluations strategically
- involve stakeholders strategically
- provide real-time information
- link knowledge to users
- monitor how new knowledge is applied

M&E contribute to the organizational and global body of knowledge on what works, what does not work, why and under what conditions in different focus areas lessons learned should be shared at a global level, through for example communities of practice or M&E groups. This requires that staff record and share the lessons they have acquired with others (**see Box 1**). Learning also requires that managers are open to change.

With the focus on outcomes, the learning that occurs through monitoring and evaluation has a greater and wider potential for

application at the organizational level and for policy and operational purposes. Lessons learned for an SRF outcome that is pursued by many COs are more likely to be replicable beyond that country than would be more context-specific project-related lessons. Outcome evaluations can help bring together development partners. With this focus in mind learning from evaluative knowledge becomes wider than just organisational learning and also includes development learning. It helps to test systematically the validity, relevance and progress of the development hypotheses. Country offices and headquarters units should plan and organize evaluations to ensure that they cover the most crucial outcomes, that they are timely and that they generate sufficient information on lessons learned. This will enhance learning.

Effective monitoring can detect early signs of potential problem and success areas. Project, programme and senior managers must act on the findings, applying the lessons learned to modify the programme or project. This learning by doing serves the immediate needs of the programme or project, but it can also provide feedback for future programming.

7.1. KNOWLEDGE AND LEARNING FROM EXPERIENCE

Definitions

The UNDP country office has to use information and evaluative evidence effectively in order to manage development issues and to achieve results. Success is based on the premise that development practitioners learn from what worked—and did not work—in order to ensure better progress towards results and better results. **Learning** is a continuous, dynamic process of investigation where the key elements are experience, knowledge, access and relevance. It requires a culture of inquiry and investigation of development experience and transforming it into knowledge, rather than simply response and reporting, in order to achieve development results.[1] This is more easily accomplished when people are given the chance to observe, engage in, and invent or discover strategies for dealing with particular types of problems or development issues.

Knowledge is content- and context-specific information capable of bringing change or more effective actions at a wider level that can contribute to new learning and knowledge. The management of knowledge involves creating, sharing and leveraging knowledge that not only requires establishing systems and processes to gather, organize, package and disseminate information on time to the right decision makers, but also assessments of the processes. Information gained from the processes may be described as **feedback. See** ◁ **Chapter 1.**

Evaluative evidence, in particular, helps us to use information generated from experience to influence the way in which appropriate policies and programmes are developed, or the way in which projects are managed. **Evaluative evidence** refers to information/data indicating qualitative and quantitative values of development processes, outcomes and impact, derived from multiple sources of information and compiled in an evaluation exercise. The essence of evaluative evidence is based on:
1. the explanation of causal links in interventions and their effect;
2. analysis from close-up, detailed observation of the development context by the investigator(s) – part of *empirical evidence*;

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[1] Senge, Peter et al., *The Fifth Discipline Fieldbook: Strategies and Tools for Building a Learning Organization*, New York, Doubleday, 1994.

3. analysis from research/review and other documents (secondary sources) relevant to the development context; and
4. the attempt to avoid any preconceptions in the assessment.

However, evaluative evidence does not always include direct, detailed observations as a source of evidence. Good evaluations are empirically based. **Empirical evidence** is verifiable information based on observation or experience rather than conjecture, theory or logic. Empirical evidence is designed to reflect:

✓ validity of conceptual ideas or issues;
✓ consistency in trends or patterns; and
✓ factors contributing to actual outcome(s) and impacts.

RBM and Knowledge Management

While monitoring helps to provide initial lessons specific to the outcome, programme or project, evaluation is aimed at extracting lessons from experience in such a way that both generic and specific issues are identified and alternative solutions are developed. Implicit in RBM is continuous planning-implementation-monitoring-evaluation for managing results and learning from experience. This requires more interaction among stakeholders and institutions around results and the use of communication and reporting mechanisms to reflect learning and ensure the flow of knowledge, information and resources.

UNDP's knowledge management strategy points towards a number of emerging principles (**see Box 2** below) to enhance learning.[2] These principles imply the optimal use of monitoring and evaluation tools to establish reference points to achieve effectiveness at two levels:

- **Development effectiveness**: i.e., the results (outputs, outcomes and impact) of assistance; and
- **Organizational effectiveness**: i.e., the organizational standards of performance.

Box 2: Key Principles of Learning

✓ Help others actively **interpret**—rather than record—information so they can construct new knowledge for themselves;
✓ Use timely, effective and innovative **information management** strategies;
✓ **Derive performance standards** and learning from the various units/constituencies/communities of practice with which UNDP works to make UNDP assessments more participatory, contextually determined and independent;
✓ **Situate abstract tasks in authentic contexts** so that the relevance of the task is apparent and others can embed new knowledge;
✓ Extend to others the opportunity to work at problem solving by actively **sharing skills and expertise** with one another; i.e. 'face-to-face' interaction without unnecessary dependence on IT;
✓ **Unbind knowledge** from a single specific context in order to maximize knowledge transfer;
✓ Enable others to recognize and **respect what they already know** as well as the knowledge that exists within their community;
✓ Provide others with many **examples of a new concept** as well as an understanding of how essential features of the concept are reflected in a range of settings; and
✓ Strengthen own and others' **ability to judge** when new knowledge should be used.

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[2] See http://groups.undp.org/km-strategy/workshop/km_annotated_agenda.html

7.2. FEEDBACK FROM MONITORING AND EVALUATION

The key challenge in monitoring is to gather, store and use information that serves different levels of assessment. Monitoring should be multifunctional so that information generated at one level is useful at the next. Monitoring should also go beyond checking whether events are taking place as planned. The quality of the two-way flow of information between the project staff and the programme staff at the country level must be regularly investigated, as should the flow of information *within* the CO between programme staff managing different programmes and monitoring the outputs produced by projects and their affect on outcomes. This can be achieved through periodic interviews, review of annual and other programme and project reports and independent observation of events. The monitoring process should be committed to improving the lateral linkages among project and programme staff members, including feedback processes, for learning purposes. Analysis of the existing or possible linkages across programmes and projects should be as critical, objective and exhaustive as possible. Managers, including at the senior CO level, must be involved in the whole monitoring process.

Evaluation is a process-oriented exercise that requires establishing common baseline data for making comparisons. The problem is knowing from the outset every factor that is relevant and how all factors affect each other. As resources for information management tend to be limited and complex, it is important to secure agreement on those issues that most urgently require information. A high degree of consultation is required during the agreement process, since stakeholders may have widely differing views on priorities. Reconciling different viewpoints by negotiating a consensus on priority issues can help build ties between stakeholders and facilitate cooperation and learning. Outcome evaluations are one of the most efficient ways of arriving at transferable lessons, the sharing of which can facilitate learning across different countries and geographical locations.

Focusing on outcomes means that UNDP deals with partners—government and donor agencies, non-governmental organizations, parliaments, etc.—whose development activities, like UNDP's, depend for their success upon the performance of other agencies under separate control. Often, these agencies accumulate a large stock of qualitative information that might change how development results are viewed if these are properly taken into account. As partners, they may be engaged to assist and facilitate the monitoring and evaluation process that takes place at the project, programme and senior CO levels, but not to direct or prescribe what should be done. This involvement of partners is likely to foster greater exchanges for learning and knowledge building. In keeping with the national capacity development objective of UNDP, the feedback requirements of governments, other United Nations agencies and partners must also be identified.

Without reliable and regular feedback, monitoring and evaluation cannot serve their purposes. In particular, emphasis must be given to drawing lessons that have the potential for broader application, i.e., those that are useful not only to a particular programme or project but also to broader development contexts. While learning depends on having systematically organized feedback (such as evaluation results, pilot studies, data for monitoring output and outcome indicators and indigenous knowledge), the information that COs and headquarters units must organize and manage to meet their own needs has to respond to specific requirements that are complex and often transcend conventional sectoral divisions. In such cases, partners from government and research institutions can be asked to analyze emerging monitoring and evaluation issues (e.g., methodologies for data collection, analysis, policy dialogues and advocacy) and advise UNDP to identify gaps and duplication.

The Feedback Process

The feedback process for COs and headquarters units when undertaking monitoring and evaluation should be informed by some basic principles, including the following:

① Ensure RBM Focus
- Elaborate projects/programmes according to intended outcomes
- Establish what evidence is being sought, what variations can be anticipated, and what should be done if such variations occur (i.e. what would constitute supportive or contrary evidence for any given project or programme)
- Define, for each staff level and partners, the purpose for generating knowledge or decision-making information and its scope
- Define monitoring priorities oriented to outputs and outcomes and have reference points or standards against which judgments can be made about feedback
- Select knowledge and information indicators based on corporate priorities, use and user
- Be cost effective in relation to the level of resources applied and identify key evaluation resource requirements in future programming
- Incorporate a timescale covering future changes in programming
- Agree on the system to collect and analyze data, allocating responsibility and costs
- Scan qualitative information to improve the application of certain monitoring and evaluation techniques such as field checking of assumptions, better framing of questions or issues and more astute choice of assessment areas
- Monitor learning processes, including the use of feedback and knowledge products

② Ask Questions
- Constantly inquire why events appear to have happened or to be happening in projects and programmes through feedback
- Identify the extent of programme/project effects against other factors
- Specify where, when and how information will be interpreted, communicated and disseminated, including consultations as inputs to routine processes

③ Share Knowledge
- Document, analyze and review comparative experiences in programme design, partnerships, monitoring and evaluation activities
- Operate at different organizational levels (operational activities, strategic choices, corporate vision/priority) consistent with UNDP's knowledge management strategy
- Share knowledge and learning with 'communities of practice', using the global knowledge networks
- Determine knowledge and information sources, including type of evaluative evidence, and the frequency of their availability

④ Target Strategically
- Ask decision makers to articulate their needs directly
- Generate information which is appropriate for different users and timely in relation to decision-making and accountability requirements

- Design, in consultation with users, appropriate formats and train staff to use them
- Seek views of all key stakeholders, including programme beneficiaries

⑤ **Seek Empirical Evidence**
- Cross-check and ensure quality of evaluative evidence to produce valid and relevant feedback

The key steps in the monitoring and evaluation feedback process, as outlined in **Box 3**, should use the princples outlined above to 'close the loop' of using feedback to made better decisions. Feedback should be action-oriented and designed in a way that it can aid decision-making in programmes or projects as well as in evaluation. Lessons from evaluations must be available before and at the formulation state of new projects, programmes and outcomes.   In general, lessons from evaluations should be

> **Box 3: Key Steps in the Monitoring and Evaluation Feedback Process**
>
> - Extracting lessons from experience
> - Transforming lessons into knowledge
> - Providing access to feedback
> - Assessing the relevance of feedback
> - Using the feedback

available when new outcomes are being formulated or projects or programmes identified, designed and appraised. At the same time, feedback on the success or failure of new or innovative types of assistance (i.e., policy advice, advocacy, capacity development, etc.) can be helpful in formulating new programmes, projects or outcomes.

In undertaking these steps, project, programme and senior managers and partners should guard against the tendency to assess activities, expenditures and outputs only—i.e., internal management factors, such as the costs and timing of inputs and outputs. Monitoring and evaluation have to provide information about results and identify possible unintended processes and their implications.

Information Tools and Methods

As noted immediately above, information from monitoring provides the basis for making decisions and taking action. As such, it supports immediate decision-making needs more than it contributes to long-term knowledge building. On the other hand, information from evaluation exercises supports the learning function more than it assists in immediate decision-making. This type of feedback takes the form of lessons learned about what works or does not work under certain conditions.

For both monitoring and evaluation, information needs to be pursued from the perspective of how it will be used.   Therefore, it is important first to answer the following key questions about how information is currently obtained, used and shared:

- What is the specific objective of information gathering, sharing and use?
- Who are the main decision-making/influencing groups who decide how information will be gathered, shared and used within the context of a project, programme or outcome?
- How do these groups currently gather, share and use information?
- Under what constraints do they work?
- Does a mechanism (or policy) exist in the programme, project or outcome within which decisions are being made about information?
- What information is needed to improve the programme, project or outcome?
- How, when and to whom should this information be delivered?

These questions aim to uncover which feedback is needed to promote effective decisions about programmes, projects or outcomes on the part of project, programme, senior CO and HQ staff. Ensuring the relevance of information; using it in a targeted, timely and efficient manner; and tapping the existing knowledge of key stakeholders are all fundamental to monitoring and evaluation activities. Qualitative information can greatly improve the application of certain monitoring and evaluation techniques, through field checking of assumptions, better framing of questions or issues and more astute choice of assessment areas.

A wealth of information in the form of products and processes is available within UNDP and the larger international donor community, containing lessons on the design, implementation, monitoring and evaluation of technical cooperation programmes and projects in developing countries. Some of the most important UNDP tools are listed below.

Evaluation databases and search engines: CEDAB—UNDP's central evaluation database—is available at http://intra.undp.org/eo/cedab and provides access to past evaluations. The Evaluation Office is also designing an evaluation search engine to provide access to evaluative knowledge, which will function as a knowledge repository linking UNDP to various evaluation websites (DAC, World Bank, etc.) and to provide access to empirical evidence. In addition, the evaluation databases of the international donor community contain lessons on the design, implementation, monitoring and evaluation of technical cooperation programmes and projects in developing countries. These include IFAD, OECD/DAC, World Bank and UNICEF (**see ☞ Annex on Bibliography and Links** and http://www.undp.org/eo for important databases).

SRF/ROAR processes: These annually identify and systematically update information on specific strategic priorities of country offices, regional strategies, programmes, support services, management plans and key benchmarks based on lessons learned. They also focus on UNDP's achievements with stakeholders, advocacy, partnership building, resource mobilization and major SHD concerns. UNDP staff can consult the Results-Based Management System (RBMS) for information about the SRF/ROAR process at http://intra.undp.org/usg/results.

Other key country specific reports or documents: These include outcome and project evaluation reports, Country Programmes and Country Cooperation Frameworks (CCF), CCA/UNDAF and Country Reviews. Lessons learned from these sources would be most useful coming from other countries or regional programmes with similar outcomes or projects.

National databases: These databases are wide-ranging and usually sectorally divided by government and national research institutes. They can be used to obtain information about outcomes, to find indicators, to learn lessons for CCA or project formulation, etc.

Global networks and communities of practice: The role of these networks, comprising 'communities of practice,' is important in scope and effectiveness, providing a valuable source of information for monitoring and evaluation. They are intended to:

- Promote dialogue between various stakeholders in the form of meetings, workshops, correspondence, newsletters and other forms of exchange.

- Assess the capabilities and needs of stakeholders in terms of information, knowledge and specific expertise.
- Enable stakeholders to contribute to information and knowledge management (i.e. support prioritization of development issues, selection of consultants, development of knowledge products and adoption of standards for accessing new information—among other functions).

These networks function as multi-stakeholder information systems, offering well-produced information generated by respected, wide-ranging groups or development practitioners, some of whom are specifically focused on monitoring and evaluation processes. Another characteristic is that some of these networks provide support to decision-making. Communities of practice in particular, whether existing within global networks or independent of them, can be particularly useful if developed around outcomes (**see Box 4**).

> **Box 4: Outcome Communities of Practice**
>
> Communities of Practice can be developed around Outcomes to facilitate information exchange between Country Offices (CO) and between COs and major stakeholders in order to share information for maximizing progress towards outcomes. The Evaluation Planning and Tracking system—**see** ☞ **Annex A**—could be used as a tool to initiate dialogue, as it will provide information on the evaluations scheduled, as well as recommendations and follow up actions on previous evaluations.

One of the important services provided by the SURF System is referral, responding to requests from country office and headquarters programme staff with advice or information. Referrals are based on queries related to UNDP programme policy or programme implementation (i.e., a request for a consultant, a comparative experience, funding sponsor, policy document, example or template, training opportunity, etc.). However, the SURF system does not disseminate evaluative results. The 'Evaluation Network' or 'Evalnet' (**see Box 5**) has a more direct function to support the design and development of information and knowledge products from monitoring and evaluation activities.

> **Box 5: UNDP Evaluation Network (EVALNET)**
>
> EVALNET is a group of UNDP staff, mainly from country offices (COs) that participate in UNDP evaluations, development of RBM tools and methodologies, and evaluation capacity development activities. It aims to contribute to the attainment of the following objectives:
>
> - to enhance UNDP as a learning organization; and
> - to promote results-oriented monitoring and evaluation (M&E) as part of the UNDP organizational culture.
>
> At the individual level, EVALNET members gain new insights on programme issues (e.g., support to transition economies and newly created democracies, decentralization and local governance), operational matters (e.g., use of UNOPS as executing agency), RBM (e.g., indicators), and evaluation methodologies. Similarly, EVALNET members contribute their own expertise and help achieve cross-fertilization of ideas and promote learning from a broader perspective. The participation of EVALNET members from COs also provides a reality check to corporate initiatives relating to the development of M&E methodologies, such as this Handbook.

Essentials: a series of publications produced by the Evaluation Office each year focusing on key thematic issues. These publications provide succinct practitioner-oriented information based on scanning current conceptual and evaluative evidence from UNDP and other development organizations. *Essentials* can be accessed on the Evaluation Office website at http://www.undp.org/eo.

Questionnaires: These represent a highly structured method of information/data collection for both monitoring and evaluation in which targeted respondents are requested to 'fill in the blanks' on a form or to

reveal specific information or opinions on narrow options. Because of their limited nature and tight formulations, questionnaires are valuable data-gathering tools per se and are also useful as a preliminary screening method to help determine which institutions or functions should be examined in more depth guide to facilitate data gathering (e.g. through interviews).

Any particular type of activity may require only a few of these, the most appropriate methods depending on scope, the nature of the issue being addressed, the target audience for the information, and the previous experience of those requiring the information. Once relevant information is accessed through these tools, a thorough assessment must be undertaken to determine how to apply the recommendations from the feedback.

Applying the Recommendations from M&E Feedback

Different types of recommendations from monitoring and evaluation processes should be analyzed separately, which can done by answering a number of strategic questions related to the type of recommendation and its consequences, as well as implementation issues (see below **List of Questions** raised by substantive and implementation recommendations from monitoring and evaluation). Finally, feasibilities and priorities based on these have to be set for the short, medium and long terms.

List of Questions on Consequences of Substantive and Implementation Recommendations:

(A) For consequences of substantive monitoring and evaluation recommendations
- Who or what will be directly or indirectly affected by the recommendation(s) in terms of planned outputs and outcomes?
- How do the recommendations differ from previous ones?
- What are the key reasons and approaches used to substantiate the recommendation(s)?
- How do they compare with similar outcomes, projects, programmes or activities in other parts of the country or other countries?
- How do recommendations contribute to overall intended outputs and outcome(s)?
- Is there a 'fit' between intended outcome(s) and actual outcome(s)?
- How do recommendations link with regional and global programme objectives?
- How does the senior CO management intend to respond to, and follow up on implementation of, the recommendations?

(B) For consequences of monitoring and evaluation implementation recommendations
- What will be the positive or negative effects in terms of key target groups or stakeholders?
- What can be done to improve the positive effects and compensate for the negative effects?
- What actions are required and by whom?
- What is the time frame?
- Who has the authority to implement the action?
- What are the financial implications?
- What are the political implications?
- What human resources are needed?
- Are special approaches, including training, or new types of partnership required?
- What monitoring or follow-up required?

For any monitoring or evaluation action a management response on the substantive and implementation issues raised is crucial. For outcome evaluations in particular, the management response should include what recommendations are accepted or not accepted and why, and how the accepted recommendations will be implemented and monitored (**See** ᴓ **Annex A** on the Evaluation and Tracking Plan). The analysis of the above questions can identify a number of concrete actions through which the recommendations can be judged, improved and implemented. While some of these actions can be implemented in the short term, others, especially those requiring political decisions, affecting institutional structure(s) or requiring extensive financial resources, can only be implemented in the medium or long term.

Training and workshops for the staff of UNDP can be effective means of disseminating feedback in the form of substantive lessons from experience that can be useful in various stages of programme or project management, including evaluation. Training should focus on such areas as how to improve the quality of UNDP programmes and projects. In addition, it should ideally develop skills in methodological innovations such as participatory evaluation, the selection of indicators, and use and presentation of information and knowledge in areas not traditionally captured, such as "soft assistance".

Publication of Evaluative Evidence and Feedback Material

Publication of evaluation results should follow a clear format in order to treat the evidence fairly, to produce compelling analytic conclusions, and to rule out ambiguity (See **Box 6**). Information can be presented through various analytic techniques, however the main point is to make information from evaluations and monitoring user friendly, easily accessible and advantageous to the user.

Box 6: Characteristics of a Good Knowledge Product

- ➤ Designed for a specific audience;
- ➤ Relevant to decision making needs, especially for country office staff;
- ➤ Available when the 'window of opportunity' for decision-making arises (i.e. timely);
- ➤ Easily and quickly understood;
- ➤ Based on sound methodological principles;
- ➤ Delivered through recognized channels;
- ➤ Areas of uncertainty and their significance clearly identified;
- ➤ Accompanied by full acknowledgement of data or information sources;
- ➤ Provides information on both tangible and intangible products and processes of development;
- ➤ Available at minimal cost in terms of time, money and administrative costs.

These techniques should be used to put the evidence in some order prior to actual analysis and publication. The assessments from evaluation should be documented and distributed to stakeholders for feedback (see **Box 7** below for an additional checklist of action points to determine specific CO needs[3]). Once an agreed position on information needs has been reached, the products and services required to meet them can be designed.

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[3] Adapted from *EFELA workshop report, DAC Working Party on Aid Evaluation,* November 2000, p.3.

Box 7: Checklist of Action Points to Improve Evaluation Feedback

- Understand how learning happens within and outside the organization; identify where the blockages occur.
- Assess how the relevance and timeliness of evaluation feedback can be improved, and ensure that this happens.
- Be explicit in identifying key audiences for evaluation feedback and the reasons for wanting to reach them, both in general and in specific cases.
- Get to know target groups better to learn what they want from evaluations, how they use evaluation information, and how feedback systems can respond better to these demands.
- Develop a more strategic view of how feedback approaches can be tailored to the needs of different audiences.
- Make sure the quality of evaluation outputs is up to standard—particularly in terms of brevity, clarity and presentation.
- Consider diversifying the range of approaches used to communicate with audiences, using 'non-conventional' methods where appropriate.
- Improve evaluation websites and intranets, recognizing that ease of access and user-friendliness are key factors.
- Ensure that full disclosure of evaluation reports becomes the norm and that proper approval and notification processes are in place so that senior management or key partners are not caught unawares by controversial findings.
- Put more effort into finding better ways of involving country-level stakeholders in evaluation work, including the feedback of evaluation lessons, recognizing that language barriers are a key constraint.
- Recruit specialist staff where necessary to fill skills gaps, particularly in communications work.

Publication of evaluation results must be complemented by an improved system of dissemination to ensure that the target recipients receive the evaluation feedback that is relevant to their specific needs. The underlying issue is how to capture lessons from experience that are transferable, that is, those lessons that can have a broader application as against those that are relevant only to a single programme or project. Institutionalization of the learning process can be achieved in part by better incorporating learning into existing tools and processes, such as the project and programme document drafting, the ROAR, the APRs, etc. (**see Box 8** for selected examples).

Box 8: Institutionalization of Learning

Project Document: Project documents should provide a reference (and hypertext links) to the findings of relevant reviews or evaluations in the situation analysis section. The PAC should ensure compliance with this requirement.

Project Document Revisions: When budget or other revisions are made to the project document, the lessons associated with the purpose of the budget change should also be stated.

ROAR: In its submission of the ROAR, the country office should highlight in the narrative section—particularly the section on strategic issues and agreed actions—the key lessons learned on each outcome. One of the major sources of such lessons learned is the Annual Review.

Conclusion

The monitoring and evaluation (M&E) framework contained in this Handbook is not 'cast in stone', but rather is expected to evolve and improve as practitioners gain experience with it. In addition, some of the elements call for changes in mindset and behavior of staff, and therefore the organization should fully expect to continue to learn from the new framework over the next years. The Evaluation Office's website (http://www.undp.org/eo/) will therefore feature up-to-date resources on M&E methodologies, and the Office encourages country offices and headquarters units to use the website by sharing lessons learned and concerns. The website will contain, inter alia, frequently asked questions (FAQ), a constant update and development of *all* M&E methodologies within UNDP, references to other resources, training packages, examples of reports and tools, sample TORs, etc. It will also contain complementary information to the Handbook.

UN administered funds and programmes, the monitoring and evaluation activities of which take place within the overall results-based framework of UNDP's guidelines for M&E, are also encouraged to use the website. However, these agencies may also need to refer to their own additional documents for guidance in reflecting their specific contribution to outcomes[i] in addition to the guidance provided in this Handbook.

In sum, this framework represents innovative changes both in terms of simplification and of results-based monitoring and evaluation methodologies. In particular, an attempt has been made to move from procedure-based, detail-oriented M&E requirements to a system that allows a more rigorous focus on results, learning and actual application of monitoring and evaluative evidence.

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[i] For example, the United Nations Volunteers (UNV) programme helps achieve results at the grass roots/community level that can and should inform UNDP's upstream policy work. In this way UNV complements UNDP in its effort to promote a more people oriented and participatory development. Country offices should ensure that results achieved in such partnerships are captured and fully reflected in their reporting.

ACRONYMS

AIDS Acquired immune deficiency syndrome
AOS Administrative and operational services
APR Annual programme/project report
AR Annual review

BDP Bureau for Development Policy
BOM Bureau of Management

CCA Common country assessment
CCF Country cooperation framework
CDR Combined delivery report
CIDA Canadian International Development Agency
CO Country office
COMP Country office management plan
CP Country programme
CPO Country Programme Outline
CR Country review
CSO Civil society organization
CTA Chief technical advisor

DAC Development Assistance Committee
DANIDA Danish International Development Agency
DEX Direct execution
DRR Deputy Resident Representative
DSA Daily subsistence allowance

EB Executive Board
ECD Evaluation capacity development
EFT Evaluation focal team
EO Evaluation Office

FAO Food and Agriculture Organization
FAQ Frequently asked question

G Goal
GA General Assembly

HDI Human Development Index
HDR Human Development Report
HIV Human immunodeficiency virus
HPI Human poverty index
HQ Headquarters

IADB Inter-American Development Bank
ICT Information and communication technology

IFAD International Fund for Agricultural Development
ILO International Labour Organization

M&E Monitoring and evaluation

NEX National execution
NGO Non-governmental organization
NHDR National human development report

OECD Organisation for Economic Cooperation and Development
OSG Operations Support Group

PDR Project/programme delivery report
PEIS Project/Programme evaluation information sheet
PLSP Programme logistical support project
PRSP Poverty reduction strategy paper
PSC Project steering committee
PSD Programme support document
PWG Programme working group

RBM Results-based management
RBMS Results-based monitoring system
RBx Regional Bureaux
RC Resident Coordinator
RCA Results competency assessment
ROAR Results-oriented annual report
RR Resident Representative
RRA Rapid rural appraisal
RST Resource strategy table

SAS Strategic area of support
SHD Sustainable human development
SG Sub-goal
SIDA Swedish International Development Cooperation Agency
SOF Source of funds
SRF Strategic results framework
SURF Sub-regional resource facility

TOR Terms of reference
TPR Tripartite review
TR Terminal report
TRAC Target for resource assignment from the core

UN United Nations
UNCDF United Nations Capital Development Fund
UNCT United Nations Country Team
UNDAF United Nations Development Assistance Framework
UNDP United Nations Development Programme
UNFPA United Nations Population Fund
UNICEF United Nations Children's Fund
UNOPS United Nations Office for Project Services

USAID United States Agency for International Development

WB World Bank
WFP World Food Programme

GLOSSARY

Many, if not most, of the terms used in monitoring and evaluation and this Handbook are of general use in the development community and by evaluation practitioners. Whereas some terms may have an additional generic meaning, they are here defined in the context of M&E (for example, Terms of Reference—here defined for an Evaluation but may also apply to other situations).

Some of the terms in the Glossary may not be described in detail in the Handbook, but are included since they are used in reference documentation.

In the spirit of harmonization of development approaches, and understanding terms in the same way, the definitions in this Glossary have been developed by the UNDP Evaluation Office (EO), and/or extracted and adapted from the following sources:

- UNDP, the UNDP Programming Manual, http://intra.undp.org/bdp/pm
- UNDP, RBM Technical Note, http://intra.undp.org/osg/results
- UNDP/EO, Participatory Evaluation Handbook, http://intra.undp.org/eo/methodology/methodology.html
- UNDP/EO, Development Effectiveness Report, http://intra.undp.org/eo/publications/publications.html
- OECD-DAC, http://www.oecd.org/dac/htm/glossary.htm
- UNFPA, The Programme Manager's Monitoring and Evaluation Toolkit, http://bbs.unfpa.org/ooe/me_methodologies.htm
- CCA Guidelines, http://www.dgo.org
- UNDAF guidelines, www.dgo.org

GLOSSARY

Accountability: Responsibility for the justification of expenditures, decisions or results of the discharge of authority and official duties, including duties delegated to a subordinate unit or individual. In regard to programme managers, the responsibility to provide evidence to stakeholders that a programme is effective and conforms with planned results, legal and fiscal requirements. In organizations that promote learning, accountability may also be measured by the extent to which managers use monitoring and evaluation findings. Accountability is also an obligation to provide a true and fair view of performance and the results of operations. It relates to the obligations of development partners to act accordingly to clearly defined responsibilities, roles and performance expectations, and ensure credible monitoring, evaluation and reporting.

Activities: Actions in the context of programming, which are both necessary and sufficient, through which inputs (financial, human, technical and material resources) are mobilized to produce specific outputs or contribute to the outcome. Activities may also be referred to as "development interventions".

Advocacy: Pleading for, speaking on behalf of or recommending something or someone. UNDP's advocacy role is one of promoting the human development agenda at the global, regional and national level through issues as diverse as debt relief, gender equality, poverty eradication, climate change and good governance. Part of "**soft assistance**".

Attribution: The causal link between observed (or expected) changes and a specific intervention in view of the effects of other interventions or confounding factors. With regard to attribution for the achievement of outcomes, evaluations aim to demonstrate a credible linkage between UNDP's outputs and efforts in partnership with others and development change (outcome).

Audit: An examination or review that assesses and reports on the extent to which a condition, process or performance conforms to predetermined standards or criteria, policy and procedures. It must be an independent, objective assurance activity that is designed to add value and improve an organization's operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to assess and improve the effectiveness of risk management, control and governance processes.

Baseline data: Data that describe the situation to be addressed by a programme or project and that serve as the starting point for measuring the performance of that programme or project. A baseline study would be the analysis describing the situation prior to receiving assistance, which is used to determine the results and accomplishments of an activity, and which serves as an important reference for evaluation.

Benchmark: Reference point or standard against which progress or achievements may be compared, e.g., what has been achieved in the past, what other comparable organizations such as development partners are achieving, what was targeted or budgeted for, what could reasonably have been achieved in the circumstances. It also refers to an intermediate target to measure progress in a given period.

Beneficiaries: Individuals and/or institutions whose situation is supposed to improve (the target group), and others whose situation may improve. Also refers to a limited group among the stakeholders who will directly or indirectly benefit from the project.

Best practices: Planning and/or operational practices that have proven successful in particular circumstances. Best practices are used to demonstrate what works and what does not and to accumulate and apply knowledge about how and why they work in different situations and contexts. See also "**Lesson learned**".

Bias: Refers to statistical bias. Inaccurate representation that produces systematic error in a research finding. Bias may result in overestimating or underestimating characteristics or trends. It may result from incomplete information or invalid data collection methods and may be intentional or unintentional.

Brokerage: Acting as an impartial intermediary, sometimes in sensitive areas, and it takes many forms—e.g., political, information and partnership. Part of "**soft assistance**".

Capacity development: The process by which individuals, groups, organizations and countries develop, enhance and organize their systems, resources and knowledge, all reflected in their abilities, individually and collectively, to perform functions, solve problems and set and achieve objectives. Capacity development is also referred to as capacity building or strengthening.

Cluster evaluation: An evaluation of a set of related projects and/or programmes. A cluster evaluation centered on a development outcome is also called an "**outcome evaluation**".

Common Country Assessment: A country-based process for reviewing and analyzing the national development situation, and identifying key issues as a basis for advocacy, policy dialogue and preparation of the UNDAF. The findings from this exercise are described in a CCA document.

Conclusion: A reasoned judgment based on a synthesis of empirical findings or factual statements corresponding to a specific circumstance. Example: The research and development programme of the Agricultural Science and Technology Institute is strong in its technical aspects but weak in its linkage with target groups (see "**Finding**" for the difference between a conclusion and a finding).

Cost-effectiveness: the relation between the costs (inputs) and results produced by a project. A project is more cost effective when it achieves its results at the lowest possible cost compared with alternative projects with the same intended results.

Country-level impact assessment: An assessment of the entire contribution of UNDP, including soft interventions, within a country; UNDP contribution that has produced recent end-results irrespective of a given programme cycle in the last five years; and UNDP interactions with development partners to achieve national goals; by definition, an ex post evaluation. See also "**impact evaluation**".

Data: Specific quantitative and qualitative information or facts that are collected.

Development effectiveness: The extent to which an institution or intervention has brought about targeted change in a country or the life of an individual beneficiary. It is influenced by various factors, beginning with the quality of the project design and ending with the relevance and sustainability of desired results.

Effectiveness: The extent to which a development outcome is achieved through interventions. The extent to which a programme or project achieves its planned results, i.e. goals, purposes and outputs, and contributes to outcomes.

Efficiency: The optimal transformation of inputs into outputs.

Evaluation: A time-bound exercise that attempts to assess systematically and objectively the relevance, performance and success of ongoing and completed programmes and projects. Evaluation can also address outcomes or other development issues. Evaluation is undertaken selectively to answer specific questions to guide decision-makers and/or programme managers, and to provide information on whether underlying theories and assumptions used in programme development were valid, what worked and what did not work and why. Evaluation commonly aims to determine relevance, efficiency, effectiveness, impact and sustainability. Evaluation is a vehicle for extracting cross-cutting lessons from operating unit experiences and determining the need for modifications to the strategic results framework. Evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process. See also "**Project evaluation**" and "**Outcome evaluation**".

Evaluation scope: The focus of an evaluation in terms of questions to address, limitations, what to analyze and what not to analyze.

Evaluation team: Group of specialists responsible for the detailed planning and conduct of an evaluation. An evaluation team writes the evaluation report.

Evaluator: An individual involved in all stages of the evaluation process, from defining the terms of reference and collecting and analyzing data to making recommendations and taking corrective action or making improvements.

Ex-post evaluation: A type of summative evaluation of an intervention usually conducted two years or more after it has been completed. Its purpose is to study how well the intervention (programme or project) served its aims, and to draw conclusions for similar interventions in the future.

External evaluation: Evaluation conducted by evaluator(s) who are not directly involved in the formulation, implementation and/or management of the object of the evaluation. Normally conducted by people from outside the organizations involved. (Synonym: "**independent evaluation**").

Feedback: As a process, consists of the organization and packaging in appropriate form of relevant information from monitoring and evaluation activities, the dissemination of that information to target users, and, most important, the use of the information as a basis for decision-making and the promotion of learning in an organization. Feedback as a product refers to information that is generated through monitoring and evaluation and transmitted to parties for whom it is relevant and useful. It may include findings, conclusions, recommendations and lessons from experience.

Finding: Factual statement about the programme or project based on empirical evidence gathered through monitoring and evaluation activities. Example: Although its initial tests of the new technology for preventing soil erosion have been positive, the Agricultural Science and Technology Institute effort has generated only a lukewarm response from the target group of farmers, who are misinformed about the cost implications of that technology. (See "**Conclusion**" for the difference between a finding and a conclusion).

Impact: The overall and long-term effect of an intervention. Results of a programme or project that are assessed with reference to the development objectives or long-term goals of that programme or project; changes in a situation, whether planned or unplanned, positive or negative, that a programme or project helps to bring about. Impact is the longer term or ultimate result attributable to a development intervention, in contrast with output and outcome, which reflect more immediate results from the intervention. The concept of impact is close to "**development effectiveness**". Examples: higher standard of living, increased food security, increased earnings from exports, increased savings owing to a decrease in imports. See "**Results**".

Impact evaluation: A type of evaluation that focuses on the broad, longer-term impact or results, whether intended or unintended, of a programme or outcome. For example, an impact evaluation could show that a decrease in a community's overall infant mortality rate was the direct result of a programme designed to provide high quality pre- and post-natal care and deliveries assisted by trained health care professionals. See also "**country-level impact assessment**".

Independent evaluation: An evaluation carried out by persons separate from those responsible for managing, making decisions on, or implementing the project. It could include groups within the donor organization. The credibility of an evaluation depends in part on how independently it has been carried out, i.e. on the extent of autonomy, and ability to access information, carry out investigations and report findings free of political influence or organizational pressure.

Indicator: Signal that reveals progress (or lack thereof) towards objectives; means of measuring what actually

happens against what has been planned in terms of quantity, quality and timeliness. It is a quantitative or qualitative variable that provides a simple and reliable basis for assessing achievement, change or performance.

Input: A means mobilized for the conduct of programme or project activities, i.e., financial, human and physical resources.

Internal evaluation: An evaluation conducted by members of the organizations who are associated with the programme, project or subject to be evaluated. See also "**self-evaluation**".

Joint evaluation: An evaluation to which different donor agencies and/or partners contribute. There are various degrees of "jointness" depending on the extent to which individual partners cooperate in the evaluation process, merge their evaluation resources and combine their evaluation reporting. Joint evaluation can help overcome attribution problems in assessing the effectiveness of programs and strategies, the complementarity of efforts supported by different partners, the quality of aid coordination, etc.

Lesson learned: Learning from experience that is applicable to a generic situation rather than to a specific circumstance. Example: A strong information center is essential to an institution dealing with research and development (R&D) as a channel for disseminating the results of its research programme to target groups and generating feedback from target groups on the usefulness of its R&D results.

Logical framework (logframe) approach: A methodology that logically relates the main elements in programme and project design and helps ensure that the intervention is likely to achieve measurable results. The "logframe matrix" can be used to summarize and ensure consistency among outcomes, outputs, activities and inputs, and to identify important risks or assumptions. It is also referred to as a results-oriented programme planning and management methodology. The approach helps to identify strategic elements (inputs, outputs, purposes, goal) of a programme, their causal relationships, and the external factors that may influence success or failure of the programme. The approach includes the establishment of performance indicators to be used for monitoring and evaluating achievement of programme aims.

Mid-term evaluation: A type of evaluation carried out during project or programme implementation. Its principal goal is to assess progress made, to draw initial conclusions for managing the programme or project and to make recommendations for the remaining period. It addresses operational issues of relevance and performance and extracts initial lessons learned. Sometimes referred to as "on-going" evaluation.

Monitoring: A continuing function that aims primarily to provide managers and main stakeholders with regular feedback and early indications of progress or lack thereof in the achievement of intended results. Monitoring tracks the actual performance or situation against what was planned or expected according to pre-determined standards. Monitoring generally involves collecting and analyzing data on implementation processes, strategies and results, and recommending corrective measures.

Outcome: Actual or intended change in development conditions that UNDP interventions are seeking to support. It describes a change in development conditions between the completion of outputs and the achievement of impact. Examples: increased rice yield, increased income for the farmers. See "**Results**".

Outcome evaluation: Evaluation that covers a set of related projects, programmes and strategies intended to bring about a certain outcome. An outcome evaluation assesses *how* and *why* outcomes are or are not being achieved in a given country context, and the contribution of UNDP outputs to the outcome. It can also help to clarify the underlying factors that explain the achievement or lack thereof of outcomes; highlight unintended consequences—both positive and negative—of interventions; and recommend actions to improve performance in future programming cycles and generate lessons learned.

Outcome monitoring: A process of collecting and analyzing data to measure the performance of a programme, project, partnership, policy reform process and/or soft assistance toward achievement of development outcomes at country level. A defined set of indicators is constructed to track regularly the key aspects of performance. Performance reflects effectiveness in converting inputs to outputs, outcomes and impacts.

Outputs: Tangible products (including services) of a programme or project that are necessary to achieve the objectives if a programme or project. Outputs relate to the completion (rather than the conduct) of activities and are the type of results over which managers have a high degree of influence. Example: agricultural extension services provided to rice farmers. See "**Results**".

Participatory evaluation: The collective examination and assessment of a programme or project by the stakeholders and beneficiaries. Participatory evaluations are reflective, action oriented and seek to build capacity. Participatory evaluations are primarily oriented to the information needs of the stakeholders rather than the donor who acts as a facilitator.

Partnership: Collaboration among institutions to achieve mutually shared and agreed upon objectives and goals that draws on individual strengths and maximizes synergies. Effective partnerships, where there is a clear understanding of the contribution of each partner to agreed outcomes, are central to achieving results.

Performance assessment: External assessment or self-assessment by programme units, comprising outcome, programme, project or individual monitoring, reviews, end-of-year reporting, end-of-project reporting, institutional assessments, and/or special studies.

Performance indicator: A particular characteristic or dimension used to measure intended changes defined by an organizational unit's results framework. Performance indicators are used to observe progress and to measure actual results compared to expected results. They serve to answer "how" or "whether" a unit is progressing towards its objectives, rather than why/why not such progress is being made. Performance indicators are usually expressed in quantifiable terms, and should be objective and measurable (numeric values, percentages, scores, and indices).

Performance management: The generation of management demand for performance information and its use and application for continuous improvement. It includes "**performance measurement**".

Performance measurement: The collection, interpretation of, and reporting on data for performance indicators which measure how well programmes or projects deliver outputs and contribute to achievement of higher level aims (purposes and goals). Performance measures are most useful when used for comparisons over time or among units performing similar work. A system for assessing performance of development initiatives against stated goals. Also described as the process of objectively measuring how well an agency is meeting its stated goals or objectives.

Project evaluation: An evaluation of a project or a specific development intervention to attain designated objectives, in a determined time span, and following an established plan of action. The basis of evaluation should be built in to the project document. In the context of UNDP, it also includes evaluations of programmes described in Programme Support Documents.

Proxy measure or indicator: A variable used to stand in for one that is difficult to measure directly.

Rating system: An instrument for forming and validating a judgment on the relevance, performance and success of a programme or project through the use of a scale with numeric, alphabetic and/or descriptive codes.

Recommendation: Proposal for action to be taken in a specific circumstance, including the parties responsible for that action. Example: As a strategy to ensure the acceptability of its research results by target users, the Agricultural Science and Technology Institute should establish a center for sharing of information between the target users and

the Institute. Through a systematic information exchange programme, the Institute should provide target users with information on new technologies being developed and obtain their views on how to improve such technologies.

Relevance: The degree to which the objectives of a programme or project remain valid and pertinent as originally planned or as subsequently modified owing to changing circumstances within the immediate context and external environment of that programme or project. For an outcome, the extent to which the outcome reflects key national priorities and receives support from key partners.

Reliability: Consistency and dependability of data collected through repeated use of a scientific instrument or data collection procedure under the same conditions. Absolute reliability of evaluation data is hard to obtain. However, checklists and training of evaluators can improve both data reliability and validity. Sound reliability implies exhaustive data collection and the appropriateness of the evaluative questions asked.

Results-Based Management (RBM): A management strategy or approach by which an organization ensures that its processes, products and services contribute to the achievement of clearly stated results. Results based management provides a coherent framework for strategic planning and management by improving learning and accountability. It is also a broad management strategy aimed at achieving important changes in the way agencies operate, with improving performance and achieving results as the central orientation, by defining realistic expected results, monitoring progress toward the achievement of expected results, integrating lessons learned into management decisions and reporting on performance.

Results-Oriented Annual Report (ROAR): The principal instrument for reporting on performance and progress of results achieved on the entire range of UNDP interventions by operational units. In aggregate, the ROAR provides UNDP with a comprehensive assessment of key results achieved and a review of the resources at the organizational level. It is intended to provide a basis for feedback and continuous adjustment.

Secondary sources: Sources such as periodic progress reports, annual reports, memos, sectoral studies and baseline data. They serve as background and foundation material and resources for an evaluation.

Self-evaluation: An evaluation by those who are administering a programme or project in the field.

Soft assistance: Advocacy, policy advice/dialogue, and facilitation/brokerage of information, partnerships or political compromise. UNDP policy advisors, programme staff and senior country office staff are the main conveyers of soft assistance either through projects and programmes, or independent of them in an ad hoc, on demand manner. Soft assistance tends to be delivered at the 'upstream' level where national policies that affect human development outcomes are debated, formulated and implemented, although it can also be delivered 'downstream' by project staff.

Stakeholders: People, groups or entities that have a role and interest in the objectives and implementation of a programme or project. They include the community whose situation the programme seeks to change; project field staff who implement activities; project and programme managers who oversee implementation; donors and other decision-makers who decide the course of action related to the programme; and supporters, critics and other persons who influence the programme environment. In participatory evaluation, stakeholders assume an increased role in the evaluation process as question-makers, evaluation planners, data gatherers and problem solvers.

Strategic evaluation: An evaluation of a particular issue, often crosscutting, with significant implications for the major development priorities of the Government and UNDP and with high risks to stakeholders. Its timing is especially important owing to the urgency of the issue which poses high risks to, and has generated widely conflicting views from, stakeholders. It aims to advance a deeper understanding of the issue, reduce the range of uncertainties associated with the different options for addressing it, and help to reach an acceptable working agreement among the parties concerned and enables various stakeholders to reach a common understanding of certain policy issues as a significant step towards policy formulation.

Strategic results framework: As a generic term, represents the development hypothesis including those results necessary to achieve a strategic objective and their causal relationships and underlying assumptions. The framework establishes an organizing basis for measuring, analyzing and reporting results of the operating unit. It is also useful as a management tool and therefore focuses on the key results that must be monitored to indicate progress. Can also be the overall aims and objectives of a country's approach to development based on analysis of problems, and including a statement of priorities. For UNDP, the document that describes the UNDP results for an operating unit in terms of outcomes, outputs, partnerships and indicators with specified Goals, Sub-Goals and Strategic Areas of Support.

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, adults etc.)

Sustainability: Durability of positive programme or project results after the termination of the technical cooperation channeled through that programme or project; static sustainability—the continuous flow of the same benefits, set in motion by the completed programme or project, to the same target groups; dynamic sustainability—the use or adaptation of programme or project results to a different context or changing environment by the original target groups and/or other groups. For an outcome, it reflects whether the positive change in development situation will endure.

Target groups: The main beneficiaries of a programme or project that are expected to gain from the results of that programme or project; sectors of the population that a programme or project aims to reach in order to address their needs based on gender considerations and their socio-economic characteristics.

Terminal evaluation: Evaluation conducted after the intervention has been in place for some time or towards the end of a project or programme to measure outcomes; demonstrate the effectiveness and relevance of interventions and strategies; indicate early signs of impact; and recommend what interventions to promote or abandon.

Terms of reference: Definition of the work and the schedule that must be carried out by the evaluation team. It recalls the background and specifies the scope of the evaluation, states the main motives for an evaluation and the questions asked. It sums up available knowledge and outlines an evaluation method and describes the distribution of work, schedule and the responsibilities among the people participating in an evaluation process. It specifies the qualifications required from candidate teams or individuals as well as the criteria to be used to select an evaluation team.

Thematic evaluation: Evaluation of selected aspects or cross-cutting issues in different types of interventions. Can involve a cluster evaluation of projects or programmes addressing a particular theme that cut across sectors or geographical boundaries. Similar to a "**strategic evaluation**". Example: Evaluation of national execution, evaluation of collaboration with civil society.

United Nations Development Assistance Framework (UNDAF): A planning and resources framework for the country programmes and projects of agencies in the United Nations system. It is developed on the basis of the analysis of the common country assessment.

Validity: The extent to which a measurement or test accurately measures what it is supposed to. Valid evaluations are ones that take into account all relevant factors, given the whole context of the evaluation, and weigh them appropriately in the process of formulating conclusions and recommendations.

Work plan: Annual or multi-year summary of tasks, timeframes and responsibilities. It is used as a monitoring tool to ensure the production on output and progress toward outcome.

BIBLIOGRAPHY AND LINKS

This annex of the Handbook presents select and relevant documents, websites and resources that have been of use in developing the UNDP monitoring and evaluation framework. It aims to serve as a resource center for users at country level and headquarters who would like more in-depth information on specific subjects.

To assist users in selecting relevant information, most references contain a brief description of the content of the document and/or website.

Where available, the website where users can access the documentation is provided. All other documents can be obtained in hard copy through the EO. Users may also access the EO website where links are provided on http://www.undp.org/eo.

The documentation is organized around the following themes:

A. **Programming and Reporting in UNDP**
B. **Results-Based Management**
C. **Monitoring and Evaluation Guidelines by UN Agencies/Donors**
D. **Monitoring and Evaluation Methods and Tools**
E. **Indicators and Measurement**
F. **Partnerships**
G. **Learning and Knowledge Management**
H. **Evaluation Capacity Development**
I. **Conflict and Crisis Intervention**
J. **Poverty**
K. **Gender**
L. **Democracy and Governance**
M. **Other References**

A.   Programming and Reporting in UNDP

UNDP, "**UNDP Programming Manual**", April 1999, http://intra.UNDP.org/bdp/pm

The **Multi-Year Funding Framework Report** by the Administrator, 1998.

UNDP, **Guidelines on the Annual Review and ROARs for 2000** (revised 15 Dec 1999),
http://intra.undp.org/osg/results

UNDP, **Change Management**, http://intra.undp.org/bom/maintopics/services/bp/bpmain.html
> The site contains key documents related to UNDP change management, including the UNDP "Country Office of the Future" Options Paper, The Administrator's Business Plans 2000-2003.

UNDP, **Balanced Scorecard**, http://intra.undp.org/bom/scorecard/index.html
> The site aims to provide answers to queries on the concept of the Balanced Scorecard, and to inform on the progress made in building and implementing UNDP's Balanced Scorecard. A Balanced Scorecard should give an ability to measure, in a strategic way, how the organization re-positions itself in line with the vision and objectives of the Business Plan. The site contains indicators and targets as part of UNDP's future performance management system.

CCA Guidelines, April 1999, www.dgo.org

UNDAF Guidelines, April 1999, www.dgo.org

Guidelines for the 2000 Annual Report of the United Nations Resident Coordinator, www.dgo.org

UNDP, The Oversight group, **Discussion Paper on Oversight**, 22 November 2000

B.   Results-Based Management

UNDP, **Results Based Management Center Gateway**, http://stone.undp.org/undpweb/rbmsgat/main.cfm
> The Results-Based Management System (RBMS) web-based database, provides country, regional and global level information on the Strategic Results Framework (SRF), Results-Oriented Annual Report (ROAR) and Country Office Management Plan (COMP).

UNDP, **Technical Note on UNDP Results Framework**, http://intra.undp.org/osg/results/rg/training.html
> This site contains technical notes and training materials on the SRF, ROAR, COMP, RST and RCA.

Office of the Auditor General of Canada (OAGC), **Implementing Results-Based Management**, http://www.oag-bvg.gc.ca/domino/other.nsf/html/00rbm_e.html
> This is a concise synthesis of lessons learned from implementing results-based management1 in a variety of Canadian and international jurisdictions.

Binnendijk, Annette, "**RBM in the development cooperation agencies: A review of experience,** Evaluation Capacity Development in Asia", UNDP/NCSTE/WB, 2000.
http://intra.undp.org/eo/documents/evaluation_cap_dev_china.pdf

Food and Agriculture Organization of the UN, **Results-Based Budgeting in FAO**, Rome, February 2001.

Inayatullah, C., UNDP Pakistan. **A Review of the 1999 Annual progress reports from the standpoint of RBM, CCF for Pakistan, work-in-progress.**

Marc Holzer, National Center for Public Productivity, USA, **"Public Performance Evaluation and Improvement: A review of experience"**, *Evaluation Capacity Development in Asia*, UNDP/NCSTE/WB, 2000. http://intra.undp.org/eo/documents/evaluation_cap_dev_china.pdf

Tofflon-Weiss, Melissa, Bertrand, Jane T., Terrell, Stanley S., **"The Results Framework—An Innovative Tool for Program Planning and Evaluation."** *Evaluation Review*, Vol. 23, No. 3, June 1999.
> This article presents a case study of the development and implementation of the "results framework" for a USAID-funded regional initiative for HIV/AIDS prevention in Central America. The results framework is found to have many advantages over traditional evaluation approaches that rely on outside consultants. Instead, the results framework spanning the life of the project provides an opportunity for program staff, donors, partners, and evaluators to work as a team to collect and use data for project planning, implementation and evaluation purposes.

UNDP, **Measuring & Managing Results: Lessons for Development Cooperation.** 1997
> The report examines the state of performance measurement: what it is; the types of activities that it involves; which development agencies are using it; for which purposes, and the lessons that can be drawn from their experiences and best practices. Selected experiences of public sector and development agencies are reviewed to examine the variations in emphasis in performance measurement. Lessons learned, best practices and recommendations are shared from each development agency reviewed. (Available with EO)

C. Monitoring and Evaluation Guidelines by UN Agencies /Donors

DANIDA, "**Evaluation Guideline**", 1999.

OECD/Working Party on Aid Evaluation, **Glossary of Terms in Evaluation and Results-Based Management**, 2001. http://www.oecd.org/dac/htm/glossary.htm
> Reference guide that provides an overview of the terms included in OECD members' glossaries and database of terms and definitions in fifteen agencies.

OECD/Development Assistance Committee, **Principles for Evaluation of Development Assistance**, 1991. http://www.oecd.org/dac/Evaluation/pdf/evalprin.pdf
> The DAC has drawn up a series of policy principles addressing key areas of aid programming and management, including project appraisal, programme assistance, and technical cooperation. The set of principles described in the paper state the views of DAC members on the most important requirements of the evaluation process based on current policies and practices as well as door agency experiences with evaluation and feedback of results.

OECD/Development Assistance Committee. **Review of the DAC Principles for Evaluation of Development Assistance.** 1998. http://www.oecd.org/dac/Evaluation/pdf/eval.pdf
> This review examines the implementation and use of the Principles in order to assess their impact, usefulness and relevance. The Principles include: purpose of evaluation, impartiality and independence, credibility, usefulness, participation of donors and recipients, donor cooperation, evaluation programming, design and implementation of evaluations, reporting, dissemination and feedback, and decentralized evaluation systems.

OECD/DAC, **Evaluation Criteria**, http://www.oecd.org//dac/Evaluation/htm/evalcrit.htm
> The general criteria for evaluation and monitoring that are endorsed by the OECD-DAC members. The site presents key questions under each criteria namely relevance, effectiveness, efficiency, impact and sustainability.

OECD/Public Management Service, **Improving Evaluation Practices: Best Practice Guidelines for Evaluation and Background Paper**, 1999. http://www.oecd.org/puma
> The guidelines identify key issues and practices to improve the use of evaluation. The guidelines focus on the management of evaluation activities in government and management of individual evaluations rather than on methodological questions. Best practices include defining clear objectives for the evaluation process; using evaluations to improve decision-making, resource allocation, and accountability, managing the evaluation process to ensure it remains focused; involving stakeholders in the evaluation process; communicating evaluation findings internally and externally.

OECD/Development Assistance Committee, **Effective Practices in Conducting a Joint Multi-Donor Evaluation,** 1998. http://www.oecd.org/dac/
> This report issues outlines the key steps on how to plan and conduct a joint evaluation of development programmes when more than one donor agency is involved. With the enhanced role of partnership in the funding and implementation of development assistance, there will be a growing demand for joint evaluation and for lessons learned from various modalities of jointly implemented development cooperation. The guide serves as a useful tool for those who seek to promote joint evaluation and collaboration among donor agencies. It was prepared for donor agency managers involved in planning and implementing joint evaluations of development assistance programs with other donor partners.

Swiss Agency for Development and Cooperation, **External Evaluation: Are we doing the right things? Are we doing things right?** June 2000.
> The guidelines are divided into two sections. Part I explains the terminology and principles of evaluation. Part II discusses each of the five stages of an external evaluation. These guidelines are primarily addressed to organizations that sponsor or participate in evaluations and are responsible for implementing their results.

UNCDF, **Monitoring Guidelines**, 2000.

UNFPA, **Monitoring and Evaluation Methodologies: The Programme Manager's M&E Toolkit**, 2000. http://bbs.unfpa.org/ooe/me_methodologies.htm
> The Toolkit provides guidance and options for UNFPA country offices to improve monitoring and evaluation activities in the context of results-based management. Of specific interest to UNDP country offices are tools discussing stakeholder participation in evaluation, planning evaluations, the data collection process, managing the evaluation process, and communicating and using evaluation results.

UNICEF, **A UNICEF Guide for Monitoring and Evaluation: Making a Difference?** February 1991.
> This manual covers UNICEF monitoring and evaluation policies and procedure. The guide is divided into four sections. Section I discusses the importance of Monitoring and Evaluation; Section II addresses the organization of monitoring and evaluation by delineating roles and responsibilities in UNICEF (HQ and country office), the role of national governments. Section III presents the scope of monitoring and how it can be used at the level of projects/programmes and higher development outcomes (e.g. the situation of women and children). Similarly Section IV presents the scope of evaluations, guidelines for how to plan, manage, and conduct evaluations, use of evaluation findings.

USAID, **A Sourcebook on Results-Oriented Grants and Cooperative Agreements**. http://www.usaid.gov/pubs/sourcebook/usgov/

> This sourcebook is an electronic resource to assist in the design, award, and administration of USAID results-oriented grants and cooperative agreement to implement development assistance activities. It is primarily intended for USAID staff and development partners but contains useful guidance and suggestions in the areas of:
> - defining results-oriented assistance interventions;

- managing for results through partnerships with government, non-governmental organizations and other civil society actors, and the private sector;
- gathering, analyzing and reporting on overall performance against intended outcomes; and
- using outcome monitoring and evaluation information to inform decision-making, making flexible adjustments when necessary, and highlighting achievement of results.

W.K. Kellogg Foundation, **Evaluation Handbook.** 1998, http://www.WKKF.org/
> This Handbook is designed for evaluations at project level. It provides a framework for thinking about evaluation as a relevant and useful program tool and outlines a blueprint for designing and conducting evaluations. The handbook provides basic information to allow project staff to conduct an evaluation without the assistance of an external evaluator.

World Bank, "Monitoring and Evaluation Chapter (draft)," **Monitoring and Evaluation for Poverty Reduction Strategies**. 2000, http://www.worldbank.org/html/oed/evaluation/
> The Poverty Reduction Strategy Sourcebook is an evolving document aimed at assisting countries in the development and strengthening of poverty reduction strategies. The purpose of the *Monitoring and Evaluation chapter* is to provide guidance on developing outcome monitoring systems and impact evaluation strategies. In addition, it discusses how to use monitoring and evaluation results to create a feedback process; how to promote participation in monitoring and evaluation activities; and how to build institutional capacity for outcome monitoring and impact evaluation.

World Bank, **Evaluation, Monitoring and Quality Enhancement Community Website**,
http://worldbank.org/html/oed
> This website contains World Bank evaluation studies, including a range of documented evaluations conducted at country, sector, thematic and impact levels, and reports on best practices and lessons learned. Web links are provided to World Bank monitoring and evaluation handbooks and toolkits on indicators and poverty measurement, and to other evaluation groups in the World Bank.

D. Monitoring and Evaluation Methods and Tools

UNDP, OESP, **Who Are the Question-makers? A Participatory Evaluation Handbook,** 1997.
http://intra.undp.org/eo/methodology/methodology.html
> The handbook is complementary to the present Handbook, for those wanting more guidance on participatory evaluation methods. It contains a brief description of the evolution of the participatory approach; a comparison of participatory evaluation with more conventional evaluation approaches; a discussion of the role of participation in UNDP; a description of the framework of a participatory evaluation and a discussion of some of the practical issues involved in doing such an evaluation.

Inter American Development Bank (IADB), **A Management Tool for Improving Project Performance**,
http://www.iadb.org/cont/evo/EngBook/engbook.htm
> This Evaluation Handbook for headquarters and field office Bank staff presents various tools for evaluation at the project design, implementation or monitoring, and project completion/impact levels.

United Nations Children's Fund (UNICEF), **A Guide for Monitoring and Evaluation**
http://www.unicef.org/reseval/mande4r.htm

United States Agency for International Development (USAID), **Center for Development Information and Evaluation (CDIE) Performance Monitoring and Evaluation Tips,** http://www.dec.org/usaid_eval/004

The Gateway to Development Information (eldis), **Methods, Tools and Manuals**

http://nt1.ids.ac.uk/eldis/hot/pm3.htm
> This site contains range of guidelines and manuals to help development practitioners in carrying out participatory M&E.

The M and E News, http://www.mande.co.uk/
> The M and E News is a news service focusing on developments in monitoring and evaluation methods relevant to development projects with social development objectives.

Research Methods Knowledge Base, http://trochim.human.cornell.edu/kb/index.htm
> This is a comprehensive web-based textbook that addresses all of the topics in a typical introductory course in social research methods. It covers the entire research process, including formulating research questions; sampling; measurement (surveys, qualitative); research design; data analysis; and writing up the study. It also addresses the major theoretical and philosophical underpinnings of research, including the idea of validity in research, reliability of measures, and ethics.

USAID, **Automated Directives System (ADS), Chapter 200 – Introduction: Managing for Results**, Functional series 200 – Programming Policy, http://www.usaid.gov/pubs/ads/
> This site comprises USAID's official, written guidance to its employees on policies, operating procedures, and delegations of authority for conducting Agency business. It includes guidance on achieving results (Chapter 200), planning (Chapter 201), assessing and learning (Chapter 203).

USAID, **Center for Development Information and Evaluation**, http://www.dec.org/usaid_eval/
> USAID's Center for Development Information and Evaluation (CDIE) publishes a wide range of impact evaluations, program and operational assessments, managing for results reports, performance monitoring tips and the USAID Evaluation News. These publications summarize and communicate the effectiveness of USAID sustainable development initiatives, "lessons learned" from the Agency's portfolio of development activities and "best practices" of re-engineered USAID development processes. This page includes access to over 60 publications produced by CDIE since 1996. Reports are added as they become available.

USAID **Evaluation Publications,** Published 1997 - 2000, http://www.dec.org/usaid_eval/
> This site presents a number of evaluation publications, including the following:

------------. *Conducting a Participatory Evaluation*. TIPS No. 1, 1996
> This note defines participatory evaluation, its characteristics and purposes. It discusses the differences between participatory evaluation and traditional evaluation. Finally, it outlines the key steps in conducting a participatory evaluation, including when participatory evaluation is appropriate, determining on the degree of participation, and building consensus on results.

------------. *Conducting Key Informant Interviews*. TIPS, No. 2, 1996
> This note presents key informant interviews as a low-cost rapid appraisal technique. It discusses the method's advantages and limitations, how to maximize its usefulness, and step-by-step instructions of how to apply the method.

------------. *Preparing an Evaluation Scope of Work*. TIPS, No. 3, 1996
> This note offers suggestions for preparing a good evaluation scope of work. It outlines the components of the scope of work and highlights the kind of information needed under each.

------------. *Using Direct Observation Techniques*, TIPS No. 4, 1996
> This note introduces direct observation, as one example of rapid, low-cost methods for collecting information on the performance of development interventions. It discusses the method's advantages and limitations, how to maximize its usefulness, and step-by-step instructions of how to apply the method.

------------. *Using Rapid Appraisal Methods*. TIPS, No. 5, 1996
This note introduces a range of low-cost methods, known as rapid appraisal methods, used to collect information on the performance of development interventions. It discusses their strengths and weaknesses and when they are appropriate.

------------. *Preparing a Performance Monitoring Plan*, TIPS, No. 7, 1996
This note introduces the elements of a performance monitoring plan and provides advice on preparing one for the systematic and timely collection of performance data.

------------. *Establishing Performance Targets*. TIPS, No. 8, 1996
This note discusses what performance targets are, why they are important, what information sources and approaches may be used for setting targets.

------------. *Conducting Focus Group Interviews*. TIPS, No. 10, 1996
This note defines focus group interviews, discusses the method's advantages and limitations, when it is best utilized and for what, and a step-by-step guide on how to organize and conduct focus group interviews for high quality results.

------------. *The Role of Evaluation in USAID*. TIPS, No. 11, 1997
This note addresses questions about the new role of evaluation in USAID. It discusses the changed emphases of evaluation in a results-based context and why it is important. It also outlines the key steps in planning and conducting an evaluation.

------------. *Guidelines for Indicator and Data Quality*. TIPS, No. 12, 1998
This note describes USAID criteria and procedures for ensuring the quality of indicators and data in performance monitoring systems for managing for results.

------------. *Monitoring the Policy Reform Process*. TIPS, No.14, 2000
This note discusses the issues and challenges of designing and implementing systems to monitor the policy reform process. Based on best practices of USAID missions in policy reform, the paper outlines the characteristics of good monitoring system, provides examples of milestone events during policy formation/adoption and policy implementation that constitute the first step toward monitoring and tracking change, and elaborates three methodological approaches for monitoring the policy reform process: quantitative, qualitative, and the composite approach, and identifies their strengths and weaknesses.

------------.*Measuring Institutional Capacity*. TIPS, No. 15, 2000
This paper provides information on measuring institutional capacity, including some tools that measure the capacity of an entire organization as well as others that look at individual components or functions of an organization. The discussion focuses on the internal capacities of individual organizations. It addresses the following issues: different measurement approaches for particular types of capacity building, strengths and limitations of each approach, data collection, and how participatory the measurement process should be.

World Bank Institute. **Training Evaluation Toolkit (Version 1.3)**.
This toolkit, developed by the World Bank Institute Evaluation Unit, is a set of templates and guidelines that enables anyone—with or without prior evaluation knowledge—to conduct a Level 1 training evaluation. The Toolkit can be used to develop questionnaires that elicit participant feedback to training activities, collect the data, and tabulate the ratings, http://www.worldbank.org/wbi/.

Worthen, Blaine R., James R. Sanders, and Jody Fitzpatrick, **Program Evaluation: Alternative Approaches and Practical Guidelines,** 2nd Edition, White Plains, NY: Longman Inc., 1997.

This book serves as a reference guide for practicing evaluators and those professionals who want a comprehensive overview of program evaluation and references to additional information. It covers the following topics:

- Evaluation approaches and models
- Collection, analysis and use of qualitative and quantitative data
- Practical guidelines for planning, conducting and using evaluations, including checklists and procedural guides
- Glossary of evaluation terminology

Sida, **Ownership in Focus? Discussion paper for a planned evaluation**, *Sida Studies in Evaluation*, 00/5, 2000. http://www.sida.org/Sida/jsp/Crosslink.jsp?d=520

This paper examines the concept of ownership and reviews prevailing views about the causes and effects of weak partner country ownership. It concludes with a presentation of a set of issues that should be considered in an evaluation concerned with ownership.

World Bank, **Impact Evaluation,** April 2001, http://www.worldbank.org/poverty/impact/index.htm

This site aims at disseminating information and providing resources for people and organizations working to assess and improve the effectiveness of projects and programmes aimed at reducing poverty.

E.   Indicators and Measurement

UNDP, **Selecting Key Results Indicators**
http://stone.undp.org/undpweb/eo/evalnet/docstore1/index_final/methodology/documents/indicators.PDF

OECD, DAC, **Development indicators,** http://www.oecd.org/dac/Indicators/

This site explains the core set of indicators developed by OECD/DAC—to monitor development performance and strategies. It provides maps, charts and links to data sources for all indicators in the core set. It gives an integrated worldview of human well being in its economic, social and environmental aspects.

ELDIS Participatory Monitoring and Evaluation Guide: Indicators, http://nt1.ids.ac.uk/eldis/hot/pm4.htm

This site offers links and information about a number of works on the participatory development of indicators. Examples of indicators can be found in several of the documents cited.

World Bank, Operations Evaluation Department (OED). **Performance Monitoring Indicators: A handbook for task managers. 1996,** http://www.worldbank.org/html/oed/evaluation/

This handbook provides a background on the logical framework and typology of indicators; describes how indicators are developed and applied in project design, supervision, and evaluation; discusses important issues related to the meaningful use of indicators. It also provides examples of performance indicators developed for Bank-financed projects and shows how indicators are developed on the basis of each project's development objectives.

Funnell, Sue C., "**Developing and Using a Program Theory Matrix for Program Evaluation and Performance Monitoring**," *New Directions for Evaluation*, no. 87, Fall 2000.

This article discusses the essential features of the program theory approach and how its usefulness for monitoring and evaluation can be enhanced: by incorporating information about the context in which the program operates, by defining success criteria and comparisons for judging and interpreting performance information, and by identifying sources of performance information.

Holzer, Mark., National Center for Public Productivity, USA. **"Public Performance Evaluation and Improvement: A review of experience"**. *Evaluation Capacity Development in Asia*, UNDP, 2000. http://intra.undp.org/eo/documents/evaluation_cap_dev_china.pdf

F. Partnerships

Institute for Development Research, http://www.jsi.com/idr
>   The Institute for Development Research (IDR) is dedicated to promoting the participation of underrepresented and impoverished groups in social, political, and economic development. In the area of inter-sectoral partnering, IDR helps to identify strategies and increase the capacities of civil society representatives to work with leaders from the business and government sectors to develop effective policies.

Knowledge Resource Group, http://www.civicus.org/krg/html
>   The KRG objective is to collect, analyze, link and disseminate the lessons learned about partnerships involving business, government and civil society. The KRG draws from the existing base of knowledge on partnership building as well as experience in developing tools and programs that can hasten the learning process and can increase the sustainability of the partnerships because lessons are being learned and applied.

Partnerships for Poverty Reduction, http://www.worldbank.org/ppr/english/ppr_eng.html
>   This site is sponsored by the Inter-American Foundation, UNDP and the World Bank. The site presents the accumulated knowledge of a group of researchers and practitioners on the effect of partnerships on poverty reduction in Latin America and the Caribbean.

Strengthen Partnerships and Improve Aid Effectiveness, http://www.oecd.org/dac/htm/devpart.htm
>   This site provides monitoring and periodic progress reports to reflect strong strategic collaboration with other multilateral institutions. The site has links to information on strengthening partnerships and improving aid effectiveness.

USAID, **Partnering for Results: Assessing the Impact of Inter-Sectoral Partnering**, 1999.
http://www.info.usaid.gov/pubs/isp/
>   This guide provides a tool for the selection of indicators, the tracking of progress and the documentation of the results of inter-sectoral partnering among government, business and civil society actors. It also discusses some of the challenges specific to assessing inter-sectoral partnerships. Finally, it proposes a framework to use when selecting indicators to measure the impact of inter-sectoral partnerships and discusses existing indicators that fit within this framework. The guide is intended to be flexible, allowing users to choose from a menu of indicators to ensure that indicators selected meet the unique needs of a specific partnership.

USAID, **New Partnerships Initiative (NPI): Resource Guide**, http://www.usaid.gov/pubs/npi/npiresrc.htm
>   NPI is an integrated approach to sustainable development that uses strategic partnering and the active engagement of civil society, the business community, and institutions of democratic local governance to bolster the ability of local communities to play a lead role in their own development. The NPI Resource Guide brings together the results of pilot tests in fifteen USAID missions and provides a number of programming tools to assist with the incorporation of NPI into USAID mission portfolios.

USAID, **Participatory Development,** http://www.usaid.gov/about/part_devel/docs.html
>   This web site contains all of the documents produced through USAID's Participation Initiative. The site also provides information about the Global Participation Network (GP-NET), a listserve that provides an opportunity for development practitioners around the world to exchange information, share ideas, discuss issues related to participatory development. The page also provides links to other sites dealing with participatory development.

World Bank Partnerships, http://www.worldbank.org/html/extdr/prt-global.htm
> This page has synopses and contact information for four World Bank partnerships, including Business Partners for Development (BPD). BPD is an informal global network of businesses, civil society organizations and relevant government ministries. BDP aims to produce solid evidence of the positive impact of tri-sector partnerships by taking the example of a number of focus projects involving business, government, and civil society organizations and providing inputs to them. The BPD Network objective is to demonstrate that these partnerships provide win-win benefits to all three parties, can be much more widely used throughout the world, and can be scaled up to national and regional levels.

G.   Learning and Knowledge Management

UNDP Central Evaluation Database (CEDAB)
http://www.undp.org/eo/database/cedab/cedab.html
> CEDAB is a corporate institutional memory database containing information of more than 1,500 UNDP project/programmed evaluations

UNDP Evaluation Plan Database (EVP)
http://www.undp.org/eo/database/evp/evp.html
> This database enables UNDP country offices and other corporate units to prepare their respective evaluation plans on-line and make them accessible to each other.

Development Assistance Committee (DAC) Database
http://minweb.idrc.ca/cida/dacloge.htm
> This website contains a list of evaluation abstracts that various international development organizations have made available to the general public.

Department for International Development (DFID), **Project Evaluation**
http://www.dfid.gov.uk/public/what/project_frame.html
> This site gives access to on-line versions of all DFID evaluation summaries and ordering information for full evaluation reports.

International Labor Organization (ILO), **PROGEVAL**
http://ilis.ilo.org/ilis/progeval/ilintrpr.html
> PROGEVAL contains bibliographical references and summaries of evaluation reports on technical cooperation programmes and projects executed by the ILO and other international organizations. It also provides references to evaluation guidelines and other methodological publications on evaluation.

International Fund for Agricultural Development (IFAD), **Lessons through Evaluation**
http://www.ifad.org/evaluation/public_html/eksyst/doc/lle/index.htm
> This site lists the lessons learned through the evaluation conducted by IFAD. The lessons learned a listed by theme and by regions.

United Nations Capital Development Fund (UNCDF), **Evaluation Index**, http://www.uncdf.org/projects/eval/es-index.html
> This site lists CDF project evaluations, providing lessons for future project design.

Bellanet International Secretariat, **Knowledge Management—Implications and Applications for Development Organizations**, http://www.bellanet.org/
> Based on a workshop, this report clarifies, explores and positions knowledge management within the cultures and practices of the international development community. It discusses five themes: understanding knowledge, defining the knowledge business and strategic purpose, managing the knowledge structure and

process, building a knowledge culture and momentum, and fostering knowledge management networks.

Institute of Development Studies, **Efela: evaluation feedback for effective learning and accountability: synthesis report**, July 2000. http://www.ids.ac.uk/ids/
>This report summarizes the results of a survey capturing OECD member policies, practices, thinking, and approaches to evaluation feedback. It discusses the issues and dilemmas that agencies face when seeking to improve their evaluation feedback practices; and highlights areas where new thinking is emerging and new possibilities are opening up for improving evaluation feedback practices and linking EFELA with other objectives and initiatives in the development policy arena. The report draws out some of the main areas of thinking and learning and points to where good practice is beginning to emerge.

Morten T. Hansen, Nitin Nohria, and Thomas Tierney, **"What's Your Strategy for Managing Knowledge?"** *Harvard Business Review*, March-April 1999.
>This article examines the knowledge management practices of companies in several industries, with a particular focus on management consulting firms. It delineates two strategies: the codification strategy and personalization strategy and how to go about choosing the right strategy for one's industry. The authors argue that emphasizing the wrong approach, depending on the nature of an organization's business – or trying to pursue both at the same time – can undermine one's business.

H.   Evaluation Capacity Development

UNDP, **Evaluation Capacity Development in Asia**. 2000.
http://intra.undp.org/eo/documents/evaluation_cap_dev_china.pdf
>This report contains the proceedings and discussions of the Beijing Conference on Evaluation and Capacity Development held 27-28 October 1999. The Conference had four objectives: (a) to stimulate reflection on the role of evaluation in good governance and public sector reform; (b) to explore the interface between results-based management (RBM) and monitoring and evaluation, in connection with good governance; (c) to identify strategies and resources for building monitoring and evaluation supply and demand in Asian countries; and (d) to encourage and support the creation of country and regional networks to facilitate follow-up actions.

World Bank/OED, **Sub-Saharan Africa: Lessons from Experience in Supporting Sound Governance**. ECD Working Paper Series, no.7, 2000, www.worldbank.org/evaluation/me
>The paper provides a basis for identifying common issues and operational synergies between monitoring & evaluation capacity development (M&ECD) and governance in Sub-Saharan Africa, and establishing linkages between governance support and M&ECD.

World Bank/OED, **Evaluation Capacity Development: A Diagnostic Guide and Action Framework,** ECD Working Paper Series, no.6, 1999, www.worldbank.org/evaluation/me
>The guide is intended to assist those governments and development agencies that are developing a national or sectoral evaluation system. It is organized into nine separate but related steps to assist in the identification of ECD options and the development of an ECD action plan. It provides a detailed checklist of issues to be considered in developing a country's evaluation capacity.

I.   Conflict and Crisis Intervention

OECD/DAC, **Guidance for Evaluating Humanitarian Assistance in Complex Emergencies,** 1999
>This guidance is aimed at those involved in the commissioning, design and management of evaluations of humanitarian assistance programmes. It defines and describes the characteristics complex emergencies and explains the difference between evaluation of humanitarian assistance programmes and conventional aid programmes. It provides guidance for evaluation managers on how to plan, conduct and manage the

evaluation.

Overseas Development Institute, **Evaluating Humanitarian Assistance Programmes in Complex Emergencies,** 1998

> The study seeks to improve the consistency and quality of evaluation methodologies, and enhance the accountability function of evaluation, contribute to institutionalizing the lessons learned, and identify better methods for monitoring performance of humanitarian aid operations. It discusses key considerations of evaluations in a humanitarian context, measures to enhance the effectiveness of the evaluation process, and how to establish basic parameters for the evaluation. It contains guidelines for planning, conducting and managing evaluations in conflict situations, including preparing a terms of reference, team composition, sources of information and information gathering techniques, and methods of working.

UNHCR, **Enhancement of the Evaluation Function in UNHCR**, 1998, http://www.unhcr.ch/evaluate/reports

> The review assesses the role of the evaluation function in UNHCR. It is divided into two sections. Section I presents a situational analysis; and Section II discusses key steps in enhancing evaluation by establishing an enabling structure and suggesting improvements to the evaluation cycle.

UNHCR, **Planning and Organising Useful Evaluations**, 1998. http://www.unhcr.ch/evaluate/reports

> These guidelines are intended to assist UNHCR field and headquarters staff in evaluating and analyzing the broad range of operational activities undertaken by UNHCR. The guidelines provide an elementary understanding of the function, a description of the different approaches, and how to plan, implement and follow up on evaluations.

J. Poverty

World Bank, **Evaluating the Impact of Projects on Poverty: A Handbook,** 2000.
 http://www.worldbank.org/evaluation/toolkits/

> This handbook provides project managers and policy analysts with the tools needed for evaluating impact at the project level. It is aimed at readers with a general knowledge of statistics. The Handbook comprises four chapters and a series of case studies designed to cover a broad mix of country settings, project types and evaluation methodologies.

World Bank, **Monitoring and Evaluation for Poverty Reduction Strategies**, 2000.
 http://www.worldbank.org/evaluation/toolkits/

> The Poverty Reduction Strategy Sourcebook is an evolving document aimed at assisting countries in the development and strengthening of poverty reduction strategies. The purpose of the Monitoring and Evaluation chapter is to provide guidance on developing outcome monitoring systems and impact evaluation strategies. In addition, it discusses how to use monitoring and evaluation results to create a feedback process; how to promote participation in monitoring and evaluation activities; and how to build institutional capacity for outcome monitoring and impact evaluation.

K. Gender

World Bank, **"Evaluating Gender and Development at the World Bank."** OED *Precis* No. 200, 2000.
www.worldbank.org/evaluation/lessons/

> This note summarizes and highlights the views of participants attending a World Bank workshop on gender and evaluation. It discusses issues relevant to the proposed evaluation of the gender dimensions of Bank assistance and the complexity of gender issues and the variety of views on effective approaches to addressing them.

UNDP/Gender in Development, **Guidance Note on Gender Mainstreaming**.

http://www/UNDP.org/gender/policies/guidance.html#appendix1

> This note calls for the mainstreaming of gender equality objectives throughout the programming cycle. It highlights the key issues, delineates the role of staff from senior management, resident representatives to gender focal points. It provides guidance on how to integrate gender concerns into programming cycle and how gender mainstreaming can be an effective tool for expanded public relations.

UNDP/BDP, **Tracking Gender Mainstreaming in MDGD Activities**, 1998
http://magnet.UNDP.org/Docs/Gender/Testgned.htm

> This note reviews the status of gender mainstreaming in MDGD's programmes and activities; briefly examines the relationship of gender and good governance; identifies ways and proposes tools to strengthen gender mainstreaming throughout the programme cycle.

L.   Democracy and Governance

Department for International Development (DFID), **Strategies for Achieving the International Development Targets: Making Government Work for Poor People**, June 2000, http://www.dfid.gov.uk

> An internal document to UK's Department for International Development, this paper presents a strategy for making government work for poor people. The paper looks at the capabilities needed for pro-poor government and at the concerns of poor people regarding their treatment by the institutions of government. It identifies and promotes seven key government capabilities which governments need to develop, in partnership with the private sector and civil society, in order to meet the International Development Targets.

OECD, **Public Management and Governance,** http://www.oecd.org/puma

> This site is divided into six key areas related to governance in OECD countries: budgeting in the public sector, engaging citizens, ethics and corruption, human resource management, regulatory reform, strategic policymaking. For each area, key issues are outlined and documents and additional links are provided. It contains public sector statistics and information on public management initiatives for each member country.

Sida, **The Evaluability of Democracy and Human Rights Projects**, 1997.
http://www.sida.org/Sida/jsp/Crosslink.jsp?d=520

> This evaluability assessment examines Sida's support for democracy and human rights (D/HR) based on 28 projects in four countries: South Africa, El Salvador, Guatemala and Nicaragua. This study focuses on the evolution of Sida's approach to D/HR, some of the general issues concerned with evaluation of these projects, and D/HR context in the countries under study, the methodology and activities associated with the evaluation. The study contains lessons on useful methods for D/HR impact evaluation and good practices for the planning and implementation of D/HR projects.

UNDP, **Evaluation of the Governance Programme for Latin America and the Caribbean.** 1998, http://intra.UNDP.org/eo/publications/publixations.html

> A thematic evaluation carried out in 1997-1998 and covering the activities of UNDP in the area of governance in the region carried out in 1997-1998. The ultimate purpose of the evaluation was to draw out main lessons learned and provide recommendations to improve the activities of cooperation in the field of governance and to encourage their application in other sets of circumstances.

Kaufmann, Kraay and Zoido-Lobaton, **"Governance Matters: From Measurement to Action,"** *Finance & Development* (IMF) June 2000, Volume 37, Number 2.

M.   Other References

UNDP, Simplification Task Force, **Simplification Report to the Executive Team**, http://intra.undp.org/eo

UNDP, Evaluation Office, **Impact Assessment of UNDP Country Interventions, Methodology for CLIA Phase I** (version 2.1), http://intra.undp.org/eo/methodology/methodology.html

UNDP, Alex Rusita, Evalnet, **End of mission report**, 2001

UNDP, Netnarumon Sirimonthon, Evalnet, **Tripartite meetings**, http://intra.undp.org/eo

UNDP, Siv Tokle, **PowerPoint Presentation to the Associate Administrator**, 2000

UNDP, Siv Tokle, **IAWG Presentation on RBM and M&E**, Geneva, 2001.

UNDP, Uzbekistan, **New Approach to Monitoring in Uzbekistan**, RBEC best practice newsletter no.4, Nov-Dec 2000, http://intra.undp.org/rbec

UNFPA, Linda Sherry-Cloonan, **IAWG Presentation on RBM and M&E,** Geneva, 2001.

World Food Programme, **Strategy for 2002-2005**, WFP/EB.A/2001/5-B/1.

World Food Programme, **Notes on the development of RBM in WFP**, 18 July 2001.

World Bank, **Aid and Reform in Africa,** A World Bank Study, December 1999.

Annexes: Monitoring and Evaluation Tools

This part of the Handbook presents the main results-oriented monitoring and evaluation tools and complements Chapters 4 and 5 on the monitoring and evaluation processes. It provides examples of the evaluation and tracking plan, a sample TOR for an evaluation, and formats for annual project reports (APR) and a field visit report. Forms are annotated to indicate where and how they can be adapted to fit different purposes. The annexes should help users to **flexibly apply tools and formats** that focus on results and progress towards outcomes.

These annexes are available electronically on EO website http://intra.undp.org/eo.[1]

Monitoring and evaluations carried out at the country level, including progress reports of different programmes and projects should serve as the building blocks of the results-oriented annual report (ROAR), where reporting on achievement of output and outcome indicators and set targets is needed.

The annexes include:

A. **Evaluation and Tracking Plan**
B. **Evaluation Terms of Reference (TOR)**
C. **Annual Project Report (APR)**
D. **Field Visit Report**
E. **Menu of Monitoring Tools**

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[1] Work is underway to explore how some or all of these tools can be provided in a coherent computer system.

ANNEX A
EVALUATION AND TRACKING PLAN

Purpose

The Evaluation and tracking plan is a tool that aims to:
1. Provide COs and other units with a planning tool for conducting evaluations.
2. Record and analyze lessons learned and findings from evaluations.
3. Help monitor the progress of evaluation recommendations.

> UNDP Headquarters will also use these plans to assess compliance with evaluations, based on evaluations that a CO commits to undertake in a Country Programme cycle.

Preparation and submission

Country offices will prepare their evaluation plan at the beginning of each programming cycle, and submit it electronically (or optionally in hard copy) to the Evaluation Office [2]. This will involve strategic and selective decisions by the management with programme staff on what to evaluate when. Subsequently, the CO uses the plan to ensure that evaluation planning activities are on track.

Once evaluations are conducted, the CO enters, sends or uploads the full report to the EO (and into the system once ready). The EO will be responsible for monitoring evaluation compliance and systematically analyzing information generated to promote learning. The CO also enters excerpts including recommendations into the table. This will serve as the basis for follow-up and search on evaluation findings, lessons and recommendations, and for the follow-up. CO tracks the implementation of evaluation recommendations by recording the management decisions regarding evaluation recommendations and the follow up actions taken for their implementation.

Timing

The country office submits the evaluation plan within the first quarter of each Country Programme (CP) cycle to the Evaluation Office. Subsequently, it can be kept up-to-date continuously, annually or periodically depending on local needs. For example, if the first evaluation is planned around an outcome three years into the CP, the CO will not need to revisit planning until the year prior to the evaluation.

Flexibility

Country offices without mandatory evaluations are not required to develop the evaluation plan. Project evaluations are voluntary and recorded in the plan when agreed to at country level. Country offices may add elements of planning their entire monitoring and evaluation activities should they wish.

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[2] Previously, the Evaluation Plan was prepared electronically and made available on EO's intranet website. In future, the plan will inter-face with the corporate RBMS system. In the meantime, COs develop the plan on Word. Future electronic facilities are indicated in the template below.

EVALUATION AND TRACKING PLAN
2002 – 2005 [Insert country]

	Sample – filled out

Evaluation	Associated projects or outcome	Goal Sub-Goal	Evaluation Timing	Programme Budget	Evaluation Status and Comments
OUTCOME EVALUATIONS					
• Increased Representativeness of Parliament** • Effective regulatory, legal and policy framework for decentralization	**CTY/00/004- Electoral support** CTY/01/892 – National Governance Programme CTY/95021 – Local governance CTY/95/008 – Participatory district development CTY/97/005- Mainstreaming gender	G1-SG2 G1-SG3 [In future, drop down menu.]	2004 1st quarter [In future, drop down menu.]	For outcome: $ 4.5 M [if attributed] OR For respective projects: 7.9 M 12 M 2.1 M	[Comments if any. COs can enter postponements or clarifications on Evaluation schedules here.] Options: **Done*** [i.e sent to EO] Pending Re-scheduled [In future the Status will change automatically when the Evaluation Report is submitted in the Database.]
PROJECT EVALUATIONS					
• CTY/02/932 - Drinking water in Rural Areas • CTY/00/001 – Civil aviation	Outcome: The national policy framework reformed to achieve universal access to basic services. N/A	G2-SG2 N/A	2005 [If quarterly timing not yet decided, indicate year only.]	$ 2.1 M [In future, project title and budget will pop up number is entered.]	**Re-scheduled** to 2nd quarter of 2006 due to coordination with evaluation of UN partners in same area
OTHER EVALUATIONS					
• National execution • CP portfolio evaluation [Any other evaluation that cut across projects/outcome e.g. CP evaluation, evaluation of civil society involvement.]	All NEX projects All projects and outcomes	All All	2002 2nd quarter	N/A [no budget associated with thematic evaluations.]	**Pending** as recommended in last Annual Review.

Tracking Evaluation Recommendations 2001 - 2003

Goal: Creation of an enabling environment for SHD (G1) [In future, pop-up and/or drop down menu.]			**Sub-Goal:** Increased social cohesion based on participatory local governance and stronger local communities and institutions (SG3)	

Recommendations	Management Decisions	Planned Action	Deadline/Responsible	Status/Comments
Evaluation of outcome: Effective regulatory, legal and policy framework for decentralization [If project evaluation, put number and title, e.g. CTY/02/932 - Drinking water in Rural Areas. If other, put subject/title of evaluation.]				
1. To achieve outcome, include the development of a macro-economic framework, which recognizes the role of the community in decision-making and links development with sustainability and growth with equity.	Agree **Options**: Agree Disagree Partially Agree [In future, drop down menu.]	• External assistance focus support on greater integration of planning committees and the budget processes. • Assess inter-departmental committees that in terms of their capacities and relevance to decentralized planning, including integration of dynamic development issues such as mining and land owners which provide substantial resources to provinces. Etc.	By Dec 2003/Government with RC Jan 2002/Dept of Budget with CTA	Partially achieved, because…. Achieved
2. To restrict support activities to twenty districts, but include as an output the preparation of a project to support participatory planning and information capability in all 75 districts.	Partially agree [Management decisions are made by CO Management in consultation with partners.]	• One Planning Advisor to serve each two districts supported by field based Senior staff • Develop criteria for roll-out in new districts based on successful experience pilot districts	March 2002/Ministry Dept. Immediate/CTA	Postponed to August Achieved Not realistic within timeframe to achieve roll-out in 75 districts.
3. Decision on the need for CTA has to be taken by the BSNL Committee Secretariat.	Disagree - the selection process will not be transparent. [add text where useful]	• UNDP to appoint CTA. [Also possible to put No Action, but normally an alternative action is proposed if management disagrees with recommendation.]	New project approvals 2001-2003/continuous UNDP	Achieved
4. Completion of the decentralized planning manual taking account of the work already undertaken at the provincial level	Agree	• Establish working group with select planners from provinces where progress is made • Working group to identify key elements of the project cycle, the planning system, and the budget cycle.	March 2002 October 2001	Achieved Delayed
5. Etc.				

ANNEX B
EVALUATION TERMS OF REFERENCE (TOR)

The sample terms of reference below is designed for **adaptation and use in** *both* **project and outcome evaluations**. Special content for outcome evaluations is noted.

1. Introduction – a brief description of the context of the programme country, including its development needs and priorities. It also places the outcome, programme, project, group of projects, etc., to be evaluated within this context and identifies the key stakeholders, partners and beneficiaries.

☞ For an *outcome evaluation*, the following information should be included:
- Brief description of the outcome (baseline of the outcome and current situation of the outcome)
- Rationale for UNDP's involvement in the outcome and why it is now being evaluated
- Brief description of UNDP's main outputs and initiatives expected to have contributed to the outcome
- Key partners involved in the outcome
- Highlights of progress towards or achievement of outcome

2. Objectives of the Evaluation – Brief description of how the need for the evaluation was identified, as well as the main stakeholders of the evaluation and a description of why the evaluation is being undertaken and why it is being undertaken now.

3. Scope of the Evaluation – describes what to focus on (and implicitly what *not* to address)

☞ For a *project evaluation*, the scope would be expected to include
- Geographic coverage of the project;
- Timeframe of the project to be covered by the evaluation; and
- Issues pertaining to the relevance, performance and success of the project(s) covered by the evaluation.

☞ For an *outcome evaluation*, the same areas should be included, tailored to outcomes. The scope would also be expected to include at least lessons learned, findings and recommendations in the following areas:
- Whether the **outcome** has been achieved and, if it has not, whether there has been progress made towards its achievement.
- An analysis of the underlying **factors** beyond UNDP's control that influence the outcome.
- Whether UNDP's **outputs** and other interventions can be credibly linked to achievement of the outcome, including the key outputs, programmes, projects, assistance soft and hard that contributed to the outcome.
- Whether UNDP's **partnership strategy** has been appropriate/effective.

4. Products Expected from the Evaluation – a description of the products that the evaluation manager wants to obtain, e.g., an evaluation report with findings, recommendations, lessons learned, rating on performance, and an "action item" list, or a description of best practices in a certain area or on the appropriate niche for UNDP interventions in a specific programme country.

☞ For an *outcome evaluation*, the product might be a report that includes:
- Strategies for continuing or concluding UNDP assistance towards the outcome
- Recommendations for formulating future assistance in the outcome if warranted
- Lessons learned concerning best and worst practices in producing outputs, linking them to outcomes and using partnerships strategically

- A rating on progress towards outcomes and progress towards outputs
- A rating on the relevance of the outcome

5. Methodology or Evaluation Approach – suggesting key elements of the methodology to be used by the evaluation team.

☞ For *project or outcome evaluations*, this section may include information on:
- documentation review (desk study);
- interviews;
- field visits;
- questionnaires;
- participatory techniques and other approaches for the gathering and analysis of data; and
- participation of stakeholders and/or partners.

☞ For an *outcome evaluation*, it is recommended that an additional brief description be included on outcome evaluation methodology—its focus on development change and the role of partners.

6. Evaluation Team -- details the number of evaluators and their areas of expertise, as well as their respective responsibilities. The Team Leader is always responsible for finalizing the report. Evaluators can be internal or external, national or international, individuals or firms. With respect to this last comparison, there can be significant advantages of using firms rather than individuals for evaluations. The table below details some of the advantages (and disadvantages) of each approach.

	FIRMS	INDIVIDUALS
ADVANTAGES	1. Fees are agreed upon as a package that is unlikely to vary, unless there is a change in the TORs 2. Members of the team are used to working together 3. The firm assures the quality of the products 4. A multidisciplinary approach is guaranteed 5. Hiring procedures, although longer than for an individual, are usually easier 6. A firm develops the methodology/ proposal for the evaluation	1. Highly qualified individuals with very specialized expertise and many years of experience. 2. The diverse backgrounds of the team members contribute to debate and discussion that could enrich the exercise 3. May be cheaper
DISADVANTAGES	1. Could be costly 2. If the firm has been overexposed to the topic or the organization, it could compromise the credibility of the exercise 3. Team members tend to have similar approaches/perspectives, thereby losing some of the richness of different positions 4. Bidding procedures can be lengthy and cumbersome	1. Identification of individual consultants is time consuming 2. Forming a team of professionals that have not worked together could hamper cohesiveness and coherence in the work and increase the risk of conflicts that affect progress 3. Any change in the schedule turns into an additional cost in fees, per diem and travel arrangements. 4. Logistics have to be provided by the country office

7. Implementation Arrangements - details on the following implementation arrangements:

➢ Management arrangements - specifically the role of the UNDP country office (see **Box 1**) and partners.

- ➢ <u>Timeframe</u> for the evaluation process - specifically including the time breakdown for:
  - ✓ desk review
  - ✓ briefings of evaluators
  - ✓ visits to the field, interviews, questionnaires
  - ✓ debriefings
  - ✓ preparation of report
  - ✓ stakeholder meeting
  - ✓ finalization of report
  - ✓ consultations and follow-up
- ➢ <u>Resources</u> required and logistical support needed - how many consultants and experts are needed and for how long, what kind of travel will be required and what kind of materials will be needed. While funding arrangements for the evaluation are considered at the planning stage, they are not to be reflected in the TOR itself.

☞ For *outcome evaluation*, the purpose (and timing) of the evaluation will dictate the time required by the various parties working on it. **Table 3 in Chapter 5 on Evaluation** provides sample comparison of time and resource requirements for outcome evaluations. The CO staff—e.g., the outcome group or Evaluation Focal Team (if this is different)—tasked with managing the outcome evaluation should use these time estimates as a rule of thumb in budgeting for an outcome evaluation.

ANNEX C
ANNUAL PROJECT REPORT (APR)

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

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

Period covered: _____ [Put the period since last APR. Normally the fiscal year, Jan 2001-Dec 2002]

PROJECT PERFORMANCE - CONTRIBUTION TO THE SRF GOALS

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

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

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

PROJECT PERFORMANCE - IMPLEMENTATION ISSUES

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

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

RATING ON PROGRESS TOWARDS RESULTS

[if the CO has decided to use rating of progress as a tool, the Project manager indicates his/her rating of progress for outputs; subsequently the Programme Manager indicates agreement (or rates differently) and rates progress towards outcome. These

ratings can be used by the country office and/or Headquarters for the ROAR analysis, as well as for input to evaluations and other purposes for results validation.]

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

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

SOFT ASSISTANCE NOT PROVIDED THROUGH PROJECTS OR PROGRAMMES

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

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

  _____

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

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

LESSONS LEARNED

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

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

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

ANNEX D
FIELD VISIT REPORT

The content of the report varies depending on the purpose of the visit. As a very minimum, any field visit report must contain an analysis of the progress towards results, the production of outputs, partnerships as well as key challenges and proposed actions. Additional information can be provided if necessary and requested by the country office management or the PSC. **The format for the report below can be changed at the country office level to suit local needs.**

Date of visit:_____

Subject and venue of visit: _____[*Project number(s) and title(s), venue visited]*

Purpose of the field visit [Tick of those that apply – or write your own.]

- ☐ Review of progress towards results.
- ☐ Support decision-making.
- ☐ Problem-solving.
- ☐ Beneficiary satisfaction and feedback.
- ☐ Learning.
- ☐ Accountability.
- ☐ Other. Specify_____

[Same table as for the APR for consistency.]

Outcomes	Update on Outcomes	Annual outputs	Update on Outputs	Reasons if progress below target	Update on partnership strategies	Recommendations and proposed action
Outcome #1[from SRF]	A brief analysis on the status of the situation and any observed change, any project contribution.	For SRF outputs, use SRF targets. For other outputs, use project document or work plan.	Achievements of the project in outputs (marking if strategic) and soft assistance (if any). Use data from work plan if no SRF targets set.	If applicable.	Brief update on any achievement and/or problem (exception reporting).	Actions on any matter related to outcome, progress of outputs, and/or partnerships. Corrective measures. Responsibilities/time.
Outcome #2	If the project contributes to more than one outcome.					

PROJECT PERFORMANCE - IMPLEMENTATION ISSUES

[If the person conducting the field visit observes problems that are generic and not related to any specific output, or that apply to all of them, he/she can address the "top three" such challenges.]

List the three main challenges (at most, if any) experienced during implementation and propose a way forward.
1. _____
2. _____
3. _____

RATING ON PROGRESS TOWARDS RESULTS

[If the country office has decided to use ratings in the APR, it is useful to include a similar section here for validation. The UNDP Programme Manager – or other person conducting the visit - indicates his/her rating of progress. This can be used by the country office and/or Headquarters for the ROAR analysis, by the Steering committee for analysis and action as well as for input to evaluations.]

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

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

LESSONS LEARNED

[If, during the visit, lessons learned emerge in the discussions with project management and/or beneficiaries, or the Programme Manager observes lessons directly, this section can be filled out.]

Describe briefly key lessons learned during the project:
1. _____
2. _____
3. _____

Participants in the field visit: [Only fill this out if the visit was joint and/or accompanied by someone.]

Prepared by: _____ (Name, title and organization)
[Note: Signature is not required since reporting should as much as possible be electronic for efficiency. The Programme Manager can transmit it in an Email, through a website or a computer programme.]

Annexes
- List of persons met - optional
- Other annexes

ANNEX E
MENU OF MONITORING TOOLS

The table below depicts how the three main groups concerned with UNDP's assistance—project managers, programme managers and senior managers—would normally use the flexible menu of monitoring tools in a medium to large CO. The shading indicates that a tool is particularly important for that level.

Main responsibilities and use of different monitoring tools			
Monitoring tool/mechanism	Project Manager	UNDP Programme Manager	UNDP CO Senior Managers
Consolidated Delivery Report (CDR),Project Delivery Report (PDR)	Prepare and use the PDRs for budgeting and estimated expenditures.	Analyze in terms of spending against Budget Line and work plan. Process budget revisions if needed.	Not used, except when key problems of under delivery or overspending.
Project Work Plans	Prepare and use work plan for activities for results. Share it with project staff, CO and steering mechanism (if any). Use it to implement and review strategy for project, and to plan for resource use.	Participate in setting benchmarks in work plan. Review it to agree on key results, ensures that results contribute to SRF. May also use it to discuss activities and corresponding inputs, budget. Use critical milestones to monitor early warning for progress off target.	Not used. May be informed by PM of major events that need Management knowledge or support.
Progress and/or Quarterly reports	Prepare as agreed in project documents or with UNDP. Share it with project staff, CO and steering mechanism (if any). Use it to present progress and problems.	Analyze the reports in terms of results achieved and progress. Takes action. Share with outcome partners if relevant. May use it to assess work plan progress and new requests for funds.	Not used (unless major problems emerge on which the PM alerts the Management).
Focus group meetings	May organize with project beneficiaries periodically. Ideally planned in project document. Use it to adapt strategy. Share results.	Use results to analyze and review strategy. Identify lessons learned. May also use with key partners to get feedback on outcome, normally by contract M&E experts to conduct the meeting.	Not used. Only alerted by PM if policy issues or dissatisfaction emerge.
Bilateral/Tripartite meetings	May initiate. Use to solve problems and discuss strategy.	May initiate. Use to provide feedback, solve problems and discuss strategy.	Will normally take part only when policy issues or decision-making involved, and/or when the Government counterpart takes part.
Substantive project documentation	Prepare as part of work plan. Use to share achievements and/or new thinking. Can also be used for policy dialogue.	Analyze in terms of content, quality, action needed. Review conformity with work plan if major result. Identify policy issues. Use to monitor outcome where relevant.	Not used. Would normally receive major reports only within key subjects, and/or be alerted to issues by PM.
Annual Project report (APR) *	Chief Technical Advisor (CTA) or Director prepares it. Shares it with project staff, CO and steering mechanism (if any). Rate output progress.	Provide instructions to project on what additional issues to include. Analyze in terms of content, quality, action needed. Rate output/outcome progress and review self-assessment by project of outputs. Share it with knowledge networks.	Make decisions on policy issues or follow-up if PM reports key problems. May look at APRs for major programmes. Look at trends.
Project evaluation	May request (normally planned in project document). May be asked to help organize the evaluation. Provide support and information. Take action.	May initiate. May organize the evaluation on behalf of government. Share lessons learned. Track action.	May take decision that project evaluation is needed. Take policy decisions with partners on recommendations–develop management response.

Note: The left margin contains the label "Increasing higher levels of results" (with a downward arrow) for both the upper and lower sections of the table.

Main responsibilities and use of different monitoring tools			
Monitoring tool/mechanism	Project Manager	UNDP Programme Manager	UNDP CO Senior Managers
Field visits *	Provide support and information to visiting mission. Will visit implementation operations on the ground.	Normally visiting each outcome or programme/project contributing to SRF at least once a year. Can be undertaken by PM, policy advisor, a team from CO with/without partners. Verify results, recommend actions.	The resident representative and CO management are also encouraged to undertake select field visits. Make decisions on policy issues or follow-up if PM reports key problems.
Spot-check visits	Normally not used, though may conduct spot-checks for contractors. Ensure systems in place for CO spot-checks.	Most useful for monitoring administrative and management accountability. By Programme Support Unit (PSU), Programme manager or Administrative staff. Verify accountability, make recommendations, identify bottlenecks, rate progress.	Take decisions only if key problems are reported, and follow-up on trends if general accountability problems emerge.
Client surveys	May organize for feedback from beneficiaries on project performance and/or needs.	May commission client surveys to obtain feedback on outcome progress. Use for validation of results/indicators, corrective action.	Take action according to findings of surveys, i.e. advocacy and/or corrective action to outcome strategy.
External assessments/ monitoring	Not used.	May commission external expertise for independent technical validation of project results, outcome situation analysis or research.	Decide on strategic use of external expertise. Use the findings reported for feedback to partners on outcomes.
Outcome evaluation	Provide information and support to evaluation. Follow up if progress towards outcome is weak.	Main organizer with CO team and partners. Provide input on what outcome to select. Contract evaluation team. Lead development of TOR. Ensure participation/consultation.	Make strategic decisions on what outcomes to evaluate with partners. Share evaluation report with key partners. Lead management response. Follow-up/action. Monitor implementation of recommendations.
Steering committees/ mechanisms	Shares APR/other documents. Normally organizes meetings. Takes action on decisions and adapts strategy.	Work with the Project to ensure planning, results focus and follow-up. Share RBM approaches. Monitor follow-up. [For steering committees for outcome, see outcome group].	May lead the meetings. May be informed by PM only on key policy issues or problems emerge.
Stakeholder meeting/workshop	Normally responsible for organizing it, according to work plan. Use to adapt strategy based on feedback from beneficiaries.	Encourage stakeholder meetings around outcome and/or project when useful. Ensure follow-up to plan of action from workshop. Use to assess outcome achievements by views from beneficiaries. Help to reorient direction for outcome progress.	Follow-up on policy issues. Advocacy for change if emerges from workshop. Use to build consensus around priorities. Use as input to annual review and evaluations.
Outcome group *	Participate. Provide information on results/activities for project related to outputs and outcome. Change approach based on feedback from group.	Organize and participate, may lead the group. Assess status of strategic outputs/ outcomes, ensure implementation on outcome monitoring. Develop/share lessons. Define strategic approach towards outcome. Input to outcome evaluation.	May lead the group particularly when external partners take part. Use inputs from outcome groups for input to annual review. Take action on policy issues emerging.
Annual Review *	Provide the APRs as a tool for discussion. May take part depending on subject detail being discussed. Adapt strategy based on review.	Provide highlights of reporting, evaluation and learning based on APR trends/key issues. Record conclusions and ensures follow-up for each outcome. Take part in review meetings. Help prepare the ROAR.	Ensure leadership and consultation. Use for building a consensus and a mutual understanding with partners around outcomes and performance. Use as input to UNCT assessment of progress on UNDAF/goals. Lead CO workplanning for next year. Monitor implementation of key decisions.

Increasing higher levels of results (left margin, vertical)

Main responsibilities and use of different monitoring tools			
Monitoring tool/mechanism	Project Manager	UNDP Programme Manager	UNDP CO Senior Managers
Donor coordination groups	Rarely used.	May take part. Ensure feedback to projects.	Lead/participate in Agency head-level groups. Ensure results-focus. Feed into ROAR.
CCA/UNDAF review	Rarely used. May provide information on thematic or technical issues.	May take part. Apply lessons learned to programming. Ensure feedback to projects.	Lead/participate in Agency head-level groups. Ensure results-focus.
Thematic evaluations/ impact evaluations	Rarely used.	May be consulted for information. Apply lessons learned to programming.	Decide on conduct and use of such evaluations. Lead follow-up and learning. Feed into ROAR.
ROAR	Will provide information through the APR. May receive it for feedback.	Prepares it in a team, based on APRs and annual review. Provides feedback to projects.	Use as management tool. Liaise with Headquarter. Share with key partners.