

# Policy Document

## Monitoring and Evaluation Policy and Procedures



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## *Message from Founder*

*I am glad to Introduce Kumbal Support Initiative as a registered Non-governmental Organisation (NGO) which was long initiated as a family support. The organisation aims to enlighten and empower less privileged and disabled individuals especially vulnerable children and women in need with whatever little resource we may have.*



*Through our set mission we hope to deliver sustainable community development interventions that would make up a resilient community within the lake chad region which has been affected by crisis and climate change effects.*

*Myself and my humble confidants would strive by adopting and integrating policies, code of conduct and core values of the organization whenever through our operations and our partners’.*

*We cherish your generosity and ongoing support and we look forward to working and engaging with you.*

*Mairo B. Lawan*  
***Founder (Board Chairwoman)***

## **TABLE OF CONTENTS**

<b>Message from Founder</b>		<b>2</b>
<b>INTRODUCTION</b>		<b>2</b>
1.1 Purpose	2	
<b>THEORY OF MONITORING AND EVALUATION</b>		<b>3</b>
1.1 Monitoring	3	
1.2 Evaluation	5	
1.2.1 Evaluation Timing		5
1.2.2 Evaluation Responsibility		6
1.2.3 Evaluation Methodology		6
1.2.4 Importance of Monitoring and Evaluation		7
1.3 Monitoring and Evaluation System	8	
1.3.1 Project Life Cycle		9
1.4 Key Components of an M&E system	10	
1.4.1 Problem (Causal) Analysis Framework		11
1.4.2 Logframe or Logical Framework		12
1.4.3 Indicators		1
1.4.4 M&E Plan (Indicator Matrix)		1
1.4.5 Data Collection and Data Analysis		3
1.4.6 Utilization and Reporting		8
1.4.7 6. M&E Staffing and Capacity Building		9
<b>MONITORING AND EVALUATION POLICY</b>		<b>10</b>

# INTRODUCTION

## **Purpose**

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

*The manual focuses on the key components of an M&E system that allows planners to develop and strengthen M&E policies and procedures for projects or programmes. The manual has been organized into three chapters which cover the theory, policy and application of M&E systems.*

*The first chapter lays out the theoretical foundation of M&E systems and the narrative is designed to help readers develop an understanding of essential concepts. The first chapter is divided into three sections which follow a logical train of thought from hypothesis of how change will come about, to development of specific objectives needed for this change, to methods on how to measure the project's achievements of its stated objectives, and finally procedures for collecting and analyzing data and information used in the measurement.*

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

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

# 1 THEORY OF MONITORING AND EVALUATION

## 1.1 Monitoring

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

Monitoring is the systematic and routine collection of information from projects and programmes for four main purposes:

- To learn from experiences to improve practices and activities in the future;
- To have internal and external accountability of the resources used and the results obtained;
- To take informed decisions on the future of the project or programme;
- To promote empowerment of beneficiaries of the project or programme.
- To implement project activities as planned to reach the targeted group with the intended services

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

*On quantity and quality of the implemented activities  
(Outputs: What do we do? How do we manage our activities?)*

*On processes inherent to a project or programme  
(Outcomes: What were the effects /changes that occurred as a result of your intervention?)*

*On processes external to an intervention  
(Impact: Which broader, long-term effects were triggered by the implemented activities in combination with other environmental factors?)*

Common types of monitoring in projects or programmes include;

- Results monitoring tracks effects and impacts. This is where monitoring merges with evaluation to determine if the project/programme is on target towards its intended results (outputs, outcomes, impact) and whether there may be any unintended impact (positive or negative). For example, a psychosocial project may monitor that its community activities achieve the outputs that contribute to community resilience and ability to recover from a disaster.
- Process (activity) monitoring tracks the use of inputs and resources, the progress of activities and the delivery of outputs. It examines how activities are delivered – the efficiency in time and resources. It is often conducted in conjunction with compliance monitoring and feeds into the evaluation of impact. For example, a water and sanitation project may monitor that targeted households receive septic systems according to schedule.

- *Compliance monitoring ensures compliance with donor regulations and expected results, grant and contract requirements, local governmental regulations and laws, and ethical standards. For example, a shelter project may monitor that shelters adhere to agreed national and international safety standards in construction.*
- *Context (situation) monitoring tracks the setting in which the project/programme operates, especially as it affects identified risks and assumptions, but also any unexpected considerations that may arise. It includes the field as well as the larger political, institutional, funding, and policy context that affect the project/programme. For example, a project in a conflict-prone area may monitor potential fighting that could not only affect project success but endanger project staff and volunteers.*
- *Beneficiary monitoring tracks beneficiary perceptions of a project/programme. It includes beneficiary satisfaction or complaints with the project/programme, including their participation, treatment, access to resources and their overall experience of change. Sometimes referred to as beneficiary contact monitoring (BCM), it often includes a stakeholder complaints and feedback mechanism. It should take account of different population groups, as well as the perceptions of indirect beneficiaries (e.g. community members not directly receiving a good or service). For example, cash-for work programme assisting community members after a natural disaster may monitor how they feel about the selection of programme participants, the payment of participants and the contribution the programme is making to the community.*
- *Financial monitoring accounts for costs by input and activity within predefined categories of expenditure. It is often conducted in conjunction with compliance and process monitoring. For example, a livelihoods project implementing a series of micro- enterprises may monitor the money awarded and repaid, and ensure implementation is according to the budget and time frame.*
- *Organizational monitoring tracks the sustainability, institutional development and capacity building in the project/programme and with its partners. It is often done in conjunction with the monitoring processes of the larger, implementing organization. For example, a National Society's headquarters may use organizational monitoring to track communication and collaboration in project implementation among its branches and chapters.*

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

- *Monitoring data should be well-focused to specific audiences and uses (only what is necessary and sufficient).*



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

## **1.1 Evaluation**

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

- *Relevance*
- *Effectiveness*
- *Efficiency*
- *Impact*
- *Sustainability*

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

### **1.1.1 Evaluation Timing**

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

#### **1.1.1.1 Formative Evaluation**

*Formative evaluations occur during project/programme implementation to improve performance and assess compliance.*

#### **1.1.1.2 Summative Evaluation**

*Summative evaluations occur at the end of project/programme implementation to assess effectiveness and impact.*

### 1.1.1.3 Midterm Evaluation

*Midterm evaluations are formative in purpose and occur midway through implementation. For projects/programmes that run for longer than 24 months, some type of midterm assessment, evaluation or review is usually required by the donor. Typically, this does not need to be independent or external, but may be according to specific assessment needs.*

### 1.1.1.4 Final Evaluation

*Final evaluations are summative in purpose and are conducted (often externally) at the completion of project/programme implementation to assess how well the project/programme achieved its intended objectives.*

### 1.1.1.5 Ex-post Evaluation

*Ex-post evaluations are conducted some time after implementation to assess longterm impact and sustainability.*

## 1.1.2 Evaluation Responsibility

### 1.1.2.1 Internal or Self-evaluation

*Internal or self-evaluations are conducted by those responsible for implementing a project/programme. They can be less expensive than external evaluations and help build staff capacity and ownership. However, they may lack credibility with certain stakeholders, such as donors, as they are perceived as more subjective (biased or one-sided). These tend to be focused on learning lessons rather than demonstrating accountability.*

### 1.1.2.2 External or Independent Evaluation

*External or independent evaluations are conducted by evaluator(s) outside of the implementing team, lending it a degree of objectivity and often technical expertise. These tend to focus on accountability. Participatory evaluations are conducted with the beneficiaries and other key stakeholders, and can be empowering, building their capacity, ownership and support.*

### 1.1.2.3 Joint Evaluation

*Joint evaluations are conducted collaboratively by more than one implementing partner, and can help build consensus at different levels, credibility and joint support.*

## 1.1.3 Evaluation Methodology

### 1.1.3.1 Real-time Evaluation

*Real-time evaluations (RTEs) are undertaken during project/ programme implementation to provide immediate feedback for modifications to improve ongoing implementation. Emphasis is on immediate lesson learning over impact evaluation or accountability.*

### 1.1.3.2 Meta-evaluation

*Meta-evaluations are used to assess the evaluation process itself. Some key uses of meta-evaluations include: take inventory of evaluations to inform the selection of future evaluations; combine evaluation results; check compliance with evaluation policy and good practices; assess how well evaluations are disseminated and utilized for organizational learning and change, etc.*



### 1.1.3.3 Thematic Evaluation

*Thematic evaluations focus on one theme, such as gender or environment, typically across a number of projects, programmes or the whole organization.*

### 1.1.3.4 Cluster/sector Evaluation

*Cluster/sector evaluations focus on a set of related activities, projects or programmes, typically across sites and implemented by multiple organizations (e.g., National Societies, the United Nations and NGOs).*

### 1.1.3.5 Impact Evaluation

*Impact evaluations focus on the effect of a project/ programme, rather than on its management and delivery. Therefore, they typically occur after project/ programme completion during a final evaluation or an ex-post evaluation. However, impact may be measured during project/ programme implementation during longer projects/ programmes and when feasible.*

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

## 1.1.4 Importance of Monitoring and Evaluation

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

## 1.2 Monitoring and Evaluation System

The Monitoring and Evaluation (M&E) System provides the information needed to assess and guide the project strategy, ensure effective operations, meet internal and external reporting requirements, and inform future programming. A functional M&E system provides a continuous flow of information that is useful **internally** and **externally**.

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

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

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

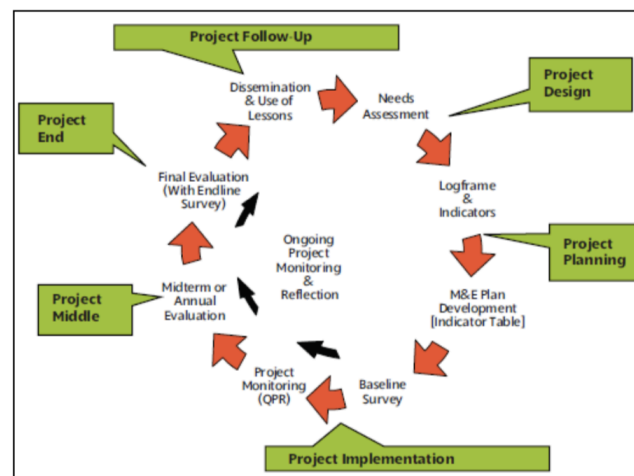


Figure 1: M&E and the Project Life Cycle

## 1.2.1 Project Life Cycle

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

### 1.2.1.1 Project Design

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

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

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

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

### 1.2.1.2 Project Planning

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

*The steps usually taken in Project Planning consists of;*

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

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

### 1.2.1.3 Project Implementation

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

*The main processes in the Implementation phase include:*

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

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

### 1.2.1.4 Project Conclusions

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

*This phase consists of:*

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

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

## 1.3 Key Components of an M&E system

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

- *the overall goal of the project or the desired change you wish to bring about or the effect you want to happen;*

- *the beneficiaries the project aims to benefit;*
- *the hypotheses or assumptions of the project and how these connect the project objectives to project activities or interventions;*
- *the scope and size of the project;*
- *the capacity for M&E and the extent of participation;*
- *the duration of the project;*
- *the overall budget of the project.*

*Therefore, each project will have different M&E needs and these will be dependent on; the context in which the project operates; the capacity of the implementing team; the requirements of the donor. These needs should be identified when preparing an M&E plan and the methods, procedures and tools used to meet them coordinated accordingly. In doing this, resources will be conserved and planning of M&E activities streamlined.*

*The foundation on which an M&E system is built consists of four key components; the Problem Analysis Framework, the Logframe or Logical Framework, the M&E Plan or Indicator Matrix and the Data Collection and Analysis Plan. A further two components Reporting and Utilization and M&E Staffing and Capacity Building which are integral and important are also discussed.*

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

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

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

### **1.3.1 Problem (Causal) Analysis Framework**

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

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

*The information needed to carry out the analysis should be based on careful study of local conditions and available data and in consultation with target beneficiaries, implementing partners, stakeholders and technical experts. This information should be obtained if available from needs assessments,*

feasibility studies, participatory rapid appraisals (PRAs), community mapping, and SWOT (strengths, weaknesses, opportunities, threats) analysis.

### 1.3.2 Logframe or Logical Framework

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

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

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

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



KSi currently uses the terms **objectives, outcome, output and activity** to demonstrate vertical log frame while **indicator, assumption, data source and collection method, target and baseline** help to elaborate the horizontal log frame. The following is a summary of those definition

**Table: Definitions of key terms and components of Logframe**

	<b>Indicator</b>	<b>Data source and collection method</b>	<b>Baseline</b>	<b>Target</b>	<b>Assumption</b>
<b>Objectives: This is the most significant, realistic goal to which the project can contribute. It seeks to align to a broader, longer term strategy, whether internal or external.</b>	These are qualitative or quantitative factors or variables to measure achievement or to reflect expected changes. Data is disaggregated by key characteristics (e.g. age, sex), where ever relevant.	Data source and collection method indicate from where and how information will be gathered for the purpose of measuring the indicator.	Baseline measurement establishes the value of the indicator at the beginning of the project planning period. Baseline data is disaggregated by key characteristics (e.g. age, sex), wherever relevant	Target describes the expected value of the indicator upon completion of the result. Target data is disaggregated by key characteristics (e.g. age, sex), wherever relevant	This part includes the assumption necessary for the outcomes to contribute to the achievement of the objectives
<b>Outcomes: These are the intended changes in institutional performance ,individual or group behaviour or attitudes, or political, economic, or social positions of beneficiaries</b>	These are qualitative or quantitative factors or variables to measure achievement or to reflect expected changes. Data is disaggregated by key characteristics (e.g. age, sex), where ever relevant	Data source and collection method indicate from where and how information will be gathered for the purpose of measuring the indicator.	Baseline measurement establishes the value of the indicator at the beginning of the project planning period. Baseline data is disaggregated by key characteristics (e.g. age, sex), wherever relevant	Target describes the expected value of the indicator upon completion of the result. Target data is disaggregated by key characteristics (e.g. age, sex), wherever relevant	This part includes the assumption necessary for the outcomes to contribute to the achievement of the objectives
<b>Outputs: These include the intended changes in the skills or abilities of the beneficiaries or the availability of new products or services as a result of project activities</b>	These are qualitative or quantitative factors or variables to measure achievement or to reflect expected changes. Data is disaggregated by key characteristics (e.g. age, sex), where ever relevant	Data source and collection method indicate from where and how information will be gathered for the purpose of measuring the indicator.	Baseline measurement establishes the value of the indicator at the beginning of the project planning period. Baseline data is disaggregated by key characteristics (e.g. age, sex), wherever relevant	Target describes the expected value of the indicator upon completion of the result. Target data is disaggregated by key characteristics (e.g. age, sex), wherever relevant	This part includes the assumption necessary for the outcomes to contribute to the achievement of the objectives.

**Activities:** *The coordination, technical assistance, training, production delivery, transportation and other task that are organized and executed under the project.*

<b>Activity 1.1. .</b>				
<b>Activity 1.2. .</b>				
<b>Activity 1.3. .</b>				

### 1.3.3 Indicators

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

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

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

*When designing indicators, the following questions should be considered;*

***Are the indicators relevant, measurable, achievable and time-bound?***

*Indicators should be easy to interpret and explain, timely, cost-effective, and technically feasible. Each indicator should have validity (be able to measure the intended concept accurately) and reliability (yield the same data in repeated observations of a variable).*

***Are there international or industry standard indicators?***

*For example, indicators developed by the United Nations Millennium Development Goals (eg: Achieve Universal Primary Education, Reduce Child Mortality), and the Demographic and Health Surveys have been used and tested extensively. Other indicators include those developed by the Sphere Project and the Humanitarian Accountability Partnership (HAP).*

***Are there indicators required by the donor, grant or program?***

*This can be especially important if the project-level indicator is expected to roll up to a larger accountability framework at the program level.*

***Are there secondary indicator sources?***

*It may be cost-effective to adopt indicators for which data have been or will be collected by government departments, private sector, international agency or other NGO's, and so on.*

### 1.3.4 M&E Plan (Indicator Matrix)

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

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

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

The indicator matrix consists of the following key components;

**Indicators:** The indicators provide clear statements of the precise information needed to assess whether proposed changes have occurred. Indicators can be either quantitative (numeric) or qualitative (descriptive observations). Typically, the indicators in an indicator matrix are taken directly from the logframe.

**Quantitative indicators** are measuring units such as number, frequency, percentile, ratio etc. (For example, the number of human rights violations, ratio of women-to-men in decision-making positions in the government.)

**Qualitative indicators** are subjective in nature and indicate presence or absence of certain conditions, extent of quality or comparison with some established standards. Qualitative indicators are used for assessing opinions, judgments or perceptions. (For example, the level of satisfaction project beneficiaries shows on the quality of educational services provided by the government).

**Indicator Definitions:** Each indicator needs a detailed definition of its key terms, including an explanation of specific aspects that will be measured (such as who, what, and where the indicator applies). The definition should explain precisely how the indicator will be calculated, such as the numerator and denominator of a percent measure. This column should also note if the indicator is to be disaggregated by sex, age, ethnicity, or some other variable.

**Methods/Sources:** This column identifies sources of information and data collection methods or tools, such as use of secondary data, regular monitoring or periodic evaluation, baseline or endline surveys, PRA, and focus group discussions. This column should also indicate whether data collection tools (questionnaires, checklists) are pre-existing or will need to be developed. Note that the logframe column on “Means of Verification” may list a source or method, i.e., “household survey,” the M&E plan requires much more detail, since the M&E work will be based on the specific methods noted.

**Frequency/Schedules:** This column states how often the data for each indicator will be collected, such as monthly, quarterly, or annually. It is often useful to list the data collection timing or schedule, such as start-up and end dates for collection or deadlines for tool development. When planning for data collection timing, it is important to consider factors such as seasonal variations, school schedules, holidays, and religious observances (i.e., Ramadan).

**Persons Responsible:** This column lists the people responsible and accountable for the data collection and analysis, i.e., community volunteers, field staff, project managers, local partner/s, and external consultants. In addition to specific people's names, use the position title to ensure clarity in case of personnel changes. This column is useful in assessing and planning for capacity building for the M&E system.

**Data Analysis:** This column describes the process for compiling and analyzing the data to gauge whether the indicator has been met or not. For example, survey data usually require statistical analysis, while qualitative data may be reviewed by research staff or community members.

**Information Use:** This column identifies the intended audience and use of the information. For example, the findings could be used for monitoring project implementation, evaluating the interventions, planning future project work, or reporting to policy makers or donors. This column should also state ways that the findings will be formatted (e.g., tables, graphs, maps, histograms, and narrative reports) and disseminated (e.g., Internet Web sites, briefings, community meetings, listservs, and mass media). The indicator matrix should be developed in conjunction with those who will be using it. Completing the matrix requires in-depth knowledge of the project and its context and this information is best provided by the local project team and partners. This involvement has the benefit of improving data quality because they will understand better what data they are to collect and how they will collect them.

### 1.3.5 Data Collection and Data Analysis

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

#### 1.3.5.1 Identify Potential Data Sources

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

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

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



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

- *Secondary Data*

*Useful information can be obtained from other research, such as surveys and other studies previously conducted or planned at a time consistent with the project's M&E needs, in-depth assessments, and project reports. Secondary data sources include government planning departments, university or research centres, international agencies, other projects/programs working in the area, and financial institutions.*

- *Sample Surveys*

*A survey based on a random sample taken from the beneficiaries or target audience of the project is usually the best source of data on project outcomes and effects. Although surveys are laborious and costly, they provide more objective data than qualitative methods. Many donors expect baseline and endline surveys to be done if the project is large and alternative data are unavailable.*

- *Project Output Data*

*Most projects collect data on their various activities, such as number of people served and number of items distributed.*

- *Qualitative Studies*

*Qualitative methods that are widely used in project design and assessment are: participatory rapid appraisal, mapping, key informant interviews, focus group discussions, and observation.*

- *Checklists*

*A systematic review of specific project components can be useful in setting benchmark standards and establishing periodic measures of improvement.*

- *External Assessments*

*Project implementers as well as donors often hire outside experts to review or evaluate project outputs and outcomes. Such assessments may be biased by brief exposure to the project and over-reliance on key informants. Nevertheless, this process is less costly and faster than conducting a representative sample survey and it can provide additional insight, technical expertise, and a degree of objectivity that is more credible to stakeholders.*

- *Participatory Assessments*

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

### 1.3.5.2 Generate Data Collection Options

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

- *Structured Interview (Closed-ended)*



*A technique for interviewing that uses carefully organized questions that only allow a limited range of answers, such as “yes/no,” or expressed by a rating/number on a scale. Replies can easily be numerically coded for statistical analysis.*

- *Community Interviews/meeting*

*A form of public meeting open to all community members. Interaction is between the participants and the interviewer, who presides over the meeting and asks questions following a prepared interview guide.*

- *Direct Observation*

*A record of what observers see and hear at a specified site, using a detailed observation form. Observation may be of physical surroundings, activities, or processes. Observation is a good technique for collecting data on behavior patterns and physical conditions.*

- *Focus Group Discussions*

*Focused discussion with a small group (usually 8 to 12 people) of participants to record attitudes, perceptions, and beliefs pertinent to the issues being examined. A moderator introduces the topic and uses a prepared interview guide to lead the discussion and elicit discussion, opinions, and reactions.*

- *Key Informant Interview*

*An interview with a person having special information about a particular topic. These interviews are generally conducted in an open-ended or semi- structured fashion.*

- *Laboratory Testing*

*Precise measurement of specific objective phenomenon, for example, infant weight or water quality test.*

- *Mini-survey*

*Data collected from interviews with 25 to 50 individuals, usually selected using non-probability sampling techniques. Structured questionnaires with a limited number of closed-ended questions are used to generate quantitative data that can be collected and analyzed quickly.*

- *Most Significant Change (MSC)*

*A participatory monitoring technique based on stories about important or significant changes, rather than indicators. They give a rich picture of the impact of development work and provide the basis for dialogue over key objectives and the value of development programs.*

- *Semi Structured Interview (Open-ended)*

*A technique for questioning that allows the interviewer to probe and follow up topics of interest in depth (rather than just “yes/no” questions).*

- *Participant Observation.*

*A technique first used by anthropologists; it requires the researcher to spend considerable time with the group being studied (days) and to interact with them as a participant in their community. This method gathers insights that might otherwise be overlooked, but is time-consuming.*

- *Participatory Rapid Appraisal (PRA).*

*This uses community engagement techniques to understand community views on a particular issue. It is usually done quickly and intensively – over a 2 to 3 week period. Methods include interviews, focus groups, and community mapping.*

- *Questionnaire.*

*A data collection instrument containing a set of questions organized in a systematic way, as well as a set of instructions to the enumerator/interviewer about how to ask the questions (typically used in a survey).*

- *Rapid Appraisal (or Assessment).*

*A quick cost-effective technique to gather data systematically for decision-making, using qualitative and quantitative methods, such as site visits, observations, and sample surveys. This technique shares many of the characteristics of participatory appraisal (such as triangulation and multi-disciplinary teams) and recognizes that indigenous knowledge is a critical consideration for decision-making.*

- *Self-administered Survey*

*Written surveys completed by the respondent, either in a group setting or in a separate location. Respondents must be literate (for example, it can be used to survey teacher opinions).*

- *Statistical Data Review*

*A review of population censuses, research studies, and other sources of statistical data.*

- *Survey*

*Systematic collection of information from a defined population, usually by means of interviews or questionnaires administered to a sample of units in the population (e.g., person, beneficiaries, and adults).*

- *Visual Techniques*

*Participants develop maps, diagrams, calendars, timelines, and other visual displays to examine the study topics. Participants can be prompted to construct visual responses to questions posed by the interviewers, for example, by constructing a map of their local area. This technique is especially effective where verbal methods can be problematic due to low literate or mixed language target populations or in situations where the desired information is not easily expressed in either words or numbers.*

- *Written Document Review*

*A review of documents (secondary data) such as project records and reports, administrative databases, training materials, correspondence, legislation, and policy documents.*

### 1.3.5.3 Select Data Collection Option

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

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

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

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

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

### 1.3.5.4 Develop Data Collection Tools

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

### 1.3.5.5 Data Analysis Plan

*A data analysis plan should identify:*

- ***When data analysis will occur.*** *It is not an isolated event at the end of data collection, but an ongoing task from project start. Data analysis can be structured through meetings and other forums to coincide with key project implementation and reporting benchmarks.*
- ***To what extent analysis will be quantitative and/or qualitative, and any specialized skills and equipment required for analysis.***

- **Who will do the analysis**, i.e., external experts, project staff, beneficiaries, and/or other stakeholders.
- **If and how subsequent analysis will occur.** Such analysis may be needed to verify findings, to follow-up on research topics for project extension and additional funding, or to inform future programming.

**Table: Guidelines for Developing and Using Data Collection Tools**

Collection Method	Tool	Guidelines
<b>Individual and Group Interviews</b>  (In-depth, Key Informant Interviews (KIIs), focus groups discussion (FGDs), Community interviews, informal surveys, etc)	<ul style="list-style-type: none"> <li>• Guidelines, checklists</li> </ul>	<ul style="list-style-type: none"> <li>• Define the problem and formulate the research question</li> <li>• Identify the sample population for the study</li> <li>• Generate and pre-test the interview guide</li> <li>• Finalise the sample</li> <li>• Conduct the interviews, meetings, focus groups, survey, etc.</li> <li>• Analyze data and share the results with stakeholders</li> </ul>
<b>Case study</b>	<ul style="list-style-type: none"> <li>• Guidelines, Checklists</li> </ul>	<ul style="list-style-type: none"> <li>• Define the problem and formulate the scope and objective of the query with specific attention toward the nature and context of subject</li> <li>• Identify samples to be used in the study. They should address the representational needs of the range of data being evaluated and show the relevance of the study</li> <li>• Select the type of case most appropriate to the needs of the program</li> <li>• Collect the data to be analyzed through a combination of sources</li> <li>• Analyze the data, accounting for rival explanations, reproduction of findings, internal validity, plausibility, ability to generalize, and overall coherence</li> <li>• Evaluate the results regarding ability to generalize and internal data validity</li> <li>• Write the report and share the findings</li> </ul>
<b>Surveys</b>	<ul style="list-style-type: none"> <li>• Questionnaire</li> </ul>	<ul style="list-style-type: none"> <li>• Define the areas of evaluation and develop applicable questions</li> <li>• Establish a survey plan</li> <li>• Develop a sampling protocol that includes a well thought out method of data collection, sampling techniques and method of analysis</li> <li>• Develop the questionnaire</li> <li>• Field test the questionnaire, individual questions and the time it takes to administer the test</li> <li>• Distribute the questionnaire to respondents with a return date.</li> <li>• Provide a follow-up contact with non-respondents</li> <li>• Analyze data and share the results with stakeholders</li> </ul>

### 1.3.6 Utilization and Reporting

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

*Practical considerations in information reporting and utilization planning include:*

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

### **1.3.7 M&E Staffing and Capacity Building**

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

*Suggestions for ensuring adequate M&E support are to:*

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



## 2 MONITORING AND EVALUATION POLICY

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

*These M&E Principles are;*

*Relevance:*

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

*Effectiveness:*

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

*Efficiency:*

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

*Impact*

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

*Sustainability:*

- *the project beneficiaries and partners are enabled to sustain and augment the changes caused or influenced by the project*



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

*Learning & Sharing:*

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

*Inclusion and participation:*

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

*Accountability:*

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

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

F. **“Kumbal Support Initiative”** requires its management to constitute a Monitoring and Evaluation Committee (MEC). The Monitoring and Evaluation Committee will be custodian of **“Kumbal Support Initiative”** M&E function. The following Terms of References (ToRs) spell out the composition and responsibilities of **“Kumbal Support Initiative”** Monitoring and Evaluation Committee.

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

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

## 3 M & E PROCEDURES

### 3.1 Standard Procedures and Methodology

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

#### **KUMBAL SUPPORT INITIATIVE PROCEDURE FOR M&E PLAN**

*KSi uses this steps for formulating an M&E plan:*

*Step 1: KSi Develop project intervention and framework which includes:*

- Project goal: a highest level and wider expectation of change to which the successful achievement of different projects will contribute. The goal is normally written as a statement of the long-term impact of a project.*
- Project objectives: positive statements of a desired future condition to be achieved and which contribute towards project goal.*
- Project outputs: a set of products or results of activities. They are written as immediate or intermediate results of a project.*
- Project activities: an action or set of actions, which are to be carried out to achieve the project objectives. They are written in a way that express as processes.*
- Inputs: resources for implementing activities.*

Inputs	Activities	Outputs	Objective (outcome level)
<ul style="list-style-type: none"> <li>◆ Funding</li> <li>◆ Time</li> <li>▪ Training / meetings</li> <li>◆ Human</li> <li>▶ Materials</li> <li>▪ ----</li> </ul>	<ul style="list-style-type: none"> <li>◆ Select communities</li> <li>▪ Select focal persons</li> <li>• Train focal persons</li> <li>◆ Train communities</li> </ul>	<ul style="list-style-type: none"> <li>◆ 3 gender trainings provided to 60 men and women in 5 communities</li> <li>▪ 10 Gender focal persons, 5 of whom are women selected and trained</li> </ul>	To develop capacity women on leadership order that they are to take leadership in their communities
<b>Indicators (SMART indicators)</b>			
<ul style="list-style-type: none"> <li>◆ 3 trainers</li> <li>◆ 3 trainings on gender and leadership</li> <li>▪ 60 trainees, 30 of whom were women.</li> <li>▪ Budget plan</li> </ul>	<ul style="list-style-type: none"> <li>▪ Number of activities achieved</li> <li>▪ Number of trainers provide trainings</li> <li>• Record of expenditures</li> </ul>	For example: 35 out of 56 participants, 20 of whom are women, would be able to apply what they have learnt to the communities.	<ul style="list-style-type: none"> <li>▶ By the end the project, 50% of women in the target areas are more involved in decision making their families and communities</li> <li>▶ 30% of men in target areas helped their wives in doing domestic work.</li> </ul>

2

*Example of Project Intervention*

3

*Step 2: KSi will Develop SMART indicators of the project intervention for monitoring and evaluation purpose (see example of these indicators in the example of project intervention above).*

- *Input indicators: resources or activities devoted to the project.*
- *Activities indicators: a set of activities that are carried out.*
- *Output indicators: identify immediate or intermediate results of the project.*
- *Outcome Indicators: refer to changes as a result of the project.*
- *Impact Indicators: long term results and changes of a program/project.*

4

*Step 3: KSi will Identify information or data needed for monitoring, what information do we need? It mainly focuses on outcome/purpose and impact/goal.*

5

*Step 4: KSi will Identify informants, who can provide us information we need?*

6

*Step 5: KSi will Identify data collection methods, how do we collect data?*

7

*Step 6: KSi will Identify responsible persons and time: who is responsible for what and when?*

8

*Step 7: KSi will Identify data analysis methods, how to analyze data*

9

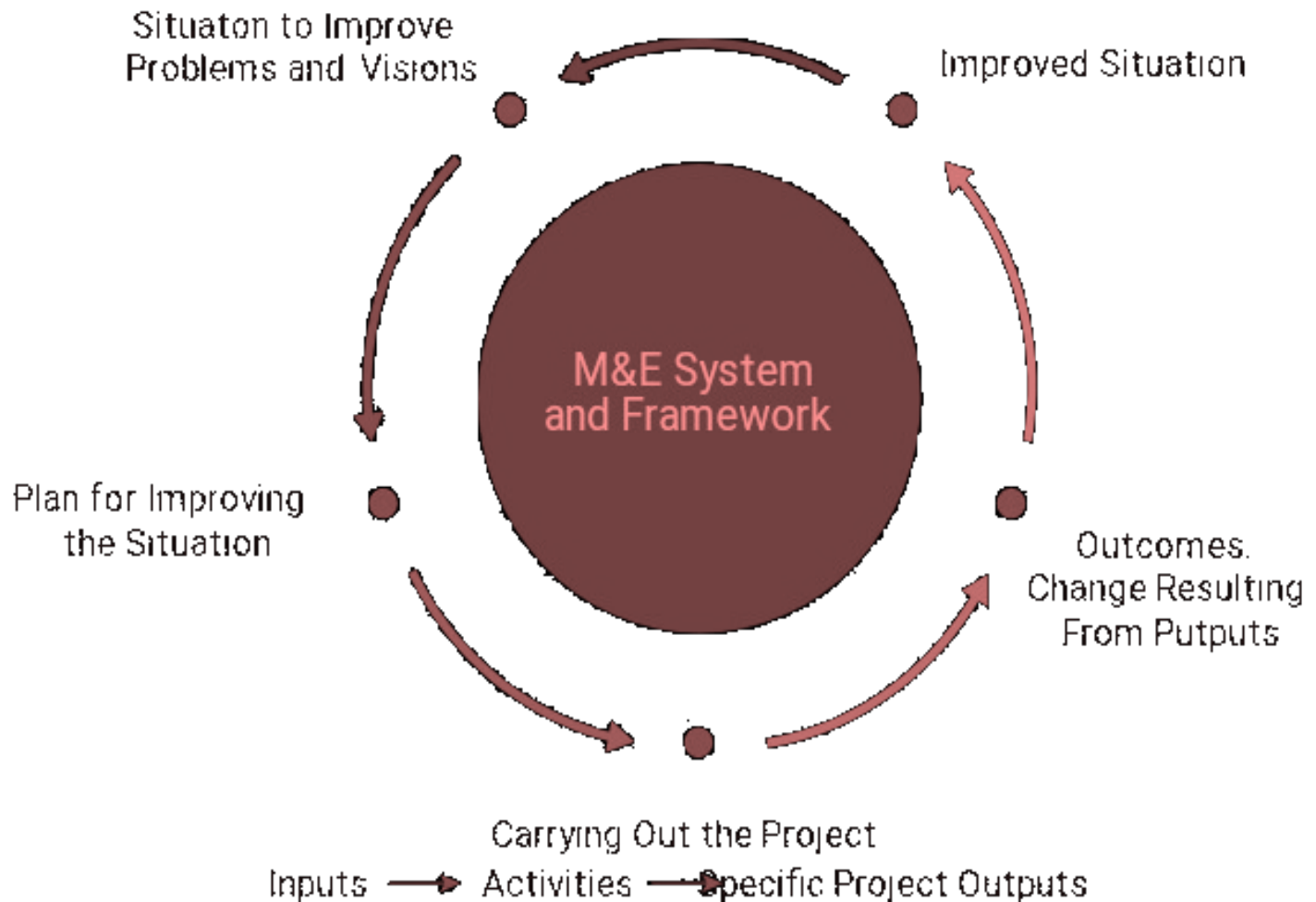
10

*Step 8: KSi will Identify report writing process, how to write report and how to disseminate it?*



11 An example of an M&E plan to be used by

Information Needed	informants	Data collection	Responsibility	Frequency	Data analyst
What do we need?	Who can provide?	How to collect data?	Who will do?	How often?	How to analyze data?
<ul style="list-style-type: none"> <li>• Significant changes that enable more women to participate in decision making</li> <li>• Significant changes that occurred at national and local levels such as policies that promote increased leadership roles</li> </ul>	Women who received training	<ul style="list-style-type: none"> <li>• Semi-structured interview</li> <li>• Focused group discussions</li> <li>• Observation in communities</li> <li>• Informal dialogue</li> </ul>	<ul style="list-style-type: none"> <li>• Field staff</li> <li>• Trainers</li> <li>• External consultants (if evaluation)</li> </ul>	<ul style="list-style-type: none"> <li>• Ongoing (for monitoring)</li> <li>• When there is external evaluation</li> </ul>	<ul style="list-style-type: none"> <li>• Quantitative data analysis</li> <li>• Qualitative data analysis</li> <li>• Analyze on a quarterly basis for monitoring purposes</li> <li>• Periodically analyze according to evaluation plan.</li> </ul>
	Community people	<ul style="list-style-type: none"> <li>• Semi-structured interview</li> <li>• Observation in communities</li> <li>• Informal dialogue</li> </ul>	<ul style="list-style-type: none"> <li>• Field staff</li> <li>• Trainers</li> <li>• External consultants (if is evaluation)</li> </ul>	<ul style="list-style-type: none"> <li>• Ongoing (for monitoring)</li> <li>• When there is external evaluation</li> </ul>	
	Focal persons	<ul style="list-style-type: none"> <li>• Semi-structured interview</li> <li>• Focused group discussions</li> <li>• Observation in communities</li> <li>• Informal dialogue</li> </ul>	<ul style="list-style-type: none"> <li>• Trainers</li> <li>• External consultants (if evaluation)</li> </ul>	<ul style="list-style-type: none"> <li>• Ongoing (for monitoring)</li> <li>• When there is external evaluation</li> </ul>	
	Local authorities	Semi-structured interview	<ul style="list-style-type: none"> <li>• Field staff</li> <li>• Trainers</li> <li>• External consultants (if evaluation)</li> </ul>	<ul style="list-style-type: none"> <li>• Every 6 moths (for monitoring)</li> <li>• When there is external evaluation</li> </ul>	
	Authorities at national level	Semi-structured interview	<ul style="list-style-type: none"> <li>• Trainers</li> <li>• Senior staff</li> <li>• External consultants (if evaluation)</li> </ul>	<ul style="list-style-type: none"> <li>• Annually (for monitoring)</li> <li>• When there is external evaluation</li> </ul>	
	Relevant department and ministries	Semi-structured interview	<ul style="list-style-type: none"> <li>• Trainers</li> <li>• Senior staff</li> <li>• External consultants (if evaluation)</li> </ul>	<ul style="list-style-type: none"> <li>• Annually (for monitoring)</li> <li>• When there is external evaluation</li> </ul>	

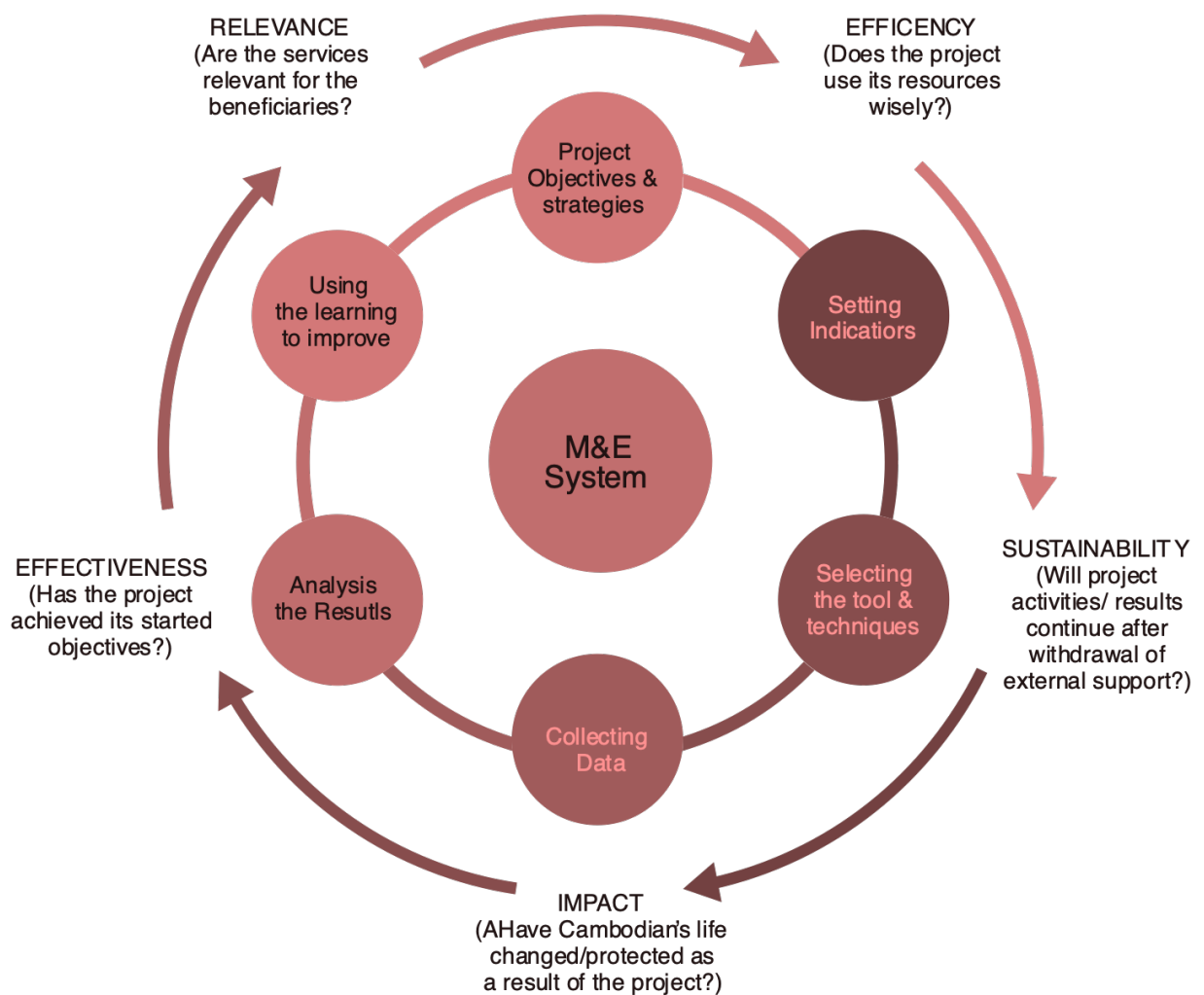


- 13 *A well-functioning M&E system is a critical part of good project/program management and accountability. Timely and reliable M&E provides information to KSi :*
- *Support project/program implementation with accurate, evidence based reporting that informs management and decision-making to guide and improve project/program performance.*
  - *Contribute to organizational learning and knowledge sharing by reflecting upon and sharing experiences and lessons learned so that we can gain the full benefit from what we do and how we do it.*
  - *Uphold accountability and compliance by demonstrating whether or not our work has been carried out as agreed and in compliance with established standards and with any other donor requirements.*
  - *Provide opportunities for stakeholder feedback, especially beneficiaries, to provide input into and perceptions of our work, modeling openness to criticism, and willingness to learn from experiences and to adapt to changing needs.*
  - *Promote and celebrate our work by highlighting our accomplishments and achievements, building morale and contributing to resource mobilization.*
  - *M&E needs to be understood as an integrated reflection and communication system within the project that must be planned, managed and resourced and utilized it.*



- 14 *A well-functioning M&E system helps guide the intervention strategy and ensure effective operations for all KSi key stakeholders. It is one part of the overall management of the project. Each stage of the project cycle requires certain key M&E tasks to be carried out by specific KSi stakeholders.*
- 15 *A detailed M&E plan is developed by KSi during project start-up and needs to be documented clearly and shared with those who are to implement it. The M&E system will itself need to be monitored and updated regularly by KSi during the life of the project.*

### Comprehensive View of M&E System



16

- 17 *Inner cycle is about Monitoring, which involves 6 steps*
- 18 **1. Identify Project Objectives and Strategies:** *This part could be referred to project design/planning stage. If it is not clearly developed during planning or design stage, this time KSi M&E officer and management staff need to determine it.*

- 19 **2.Setting Indicators:** This part is also referred to the project design/planning stage that KSi had developed especially indicators and targets or milestones that the project or program wants to be achieved.
- 20 **3.Selecting the Tools and Techniques:** There are several tools and techniques which are used for data collection including Participatory Rural Appraisal (PRA) or Rapid Rural Appraisal (RRA), Agri-Ecosystem Analysis (AEA) tools etc. Those tools could be used by KSi in a participatory or empowerment way depends on thematic issues, context of the project or program.
- 21 **4.Collecting Data:** data collection which is referred to secondary and primary data collection using tools and techniques above. KSi Team of data collectors, data enumerators, data entry and interpreters must be mobilized and worked.
- 22 **5.Analyze the Results:** Once the data are collected or collated, then data need to be analyzed and written in a narrative way and easy to understand by all KSi stakeholders.
- 23 **6.Use the Learning to Improve:** After all findings are presented key lessons needed to be taken and learned to improve next phase of project or program design/planning again.
- 24
- 25 Outer cycle is about Evaluation, which involves 5 key criteria for any project or program evaluation
1. **Relevance:** The extent to which the objectives of a project are consistent with the target group's priorities and the recipient and donors' policies. The assessment will look at the project's services is met or responded to beneficiaries needs.
  2. **Effectiveness:** The assessment will look at whether the project or program has achieved its stated objectives and goal during that setting timeframe (or life cycle of the project).
  3. **Efficiency:** The assessment will look at how the organization or project staff had utilized resources to achieve such particular objectives and goal. Some time misused of funds or materials resources were not make the project or program successful.
  4. **Sustainability:** The assessment will look at the perception or views of beneficiaries and other stakeholders related to whether or not the project or program can be sustainable after the project completion or after the project phased out from that area.
  5. **Impact:** The assessment will look at the positive changes arising from the project or program including change in behaviors, practices, change in living condition and change in policies.
- 26
- 27 To assess or evaluate the project or program, the evaluator/ evaluation team will use different tools and techniques for data collection, semi-structure interview and focus group discussion and self assessment forms. Some support documents such as financial reports could be also helpful to verify the use of funds (expenses) for the project implementation/activities.
- 27.1 **1.2Elements of a good M&E system**
1. A capable Monitoring and Evaluation staff unit
  2. Clear goals and objectives of the program or project
  3. A core set of indicators and targets
  4. A plan for data collection and analysis

NOT SO GOOD	GOOD
<b>Monitoring and Evaluation Unit</b>	
<ul style="list-style-type: none"> <li>■ No functioning unit for M&amp;E in the organization/ Ministry/ department</li> <li>■ 1 or 2 persons responsible for the whole country</li> <li>■ Very limited resources for M&amp;E</li> <li>■ No formalized links with technical and other resources</li> </ul>	<ul style="list-style-type: none"> <li>● Established M&amp;E unit within the Department, Ministry and organization</li> <li>■ Specific expertise in or affiliated with the unit: (M&amp;E, behavioral, statistics, data dissemination)</li> <li>● Budget (10% of the national budget)</li> <li>■ Formalized links with the research institutions, leading NGOs and donors</li> </ul>
<b>Clear Goal and Objective of program/project</b>	
<ul style="list-style-type: none"> <li>▶ National strategic plan has no specific goals and objectives</li> <li>■ No system of ongoing assessment with programs reviews and built-in evaluation</li> <li>▶ Limited coordination with districts and provinces</li> <li>▶ Limited coordination between sectors</li> <li>■ Donor-driven M&amp;E system</li> </ul>	<ul style="list-style-type: none"> <li>■ Well-defined national program goals and targets - M&amp;E plan</li> <li>■ Regular reviews/evaluations of the progress of the implementation of the national program plans</li> <li>● Guideline and guidance to districts and or provinces for M&amp;E</li> <li>● Guidelines for linking M&amp;E to multiple sectors</li> <li>■ Co-ordination of national and donor M&amp;E needs</li> </ul>
<b>A Set of Indicators and Targets</b>	
<ul style="list-style-type: none"> <li>▶ No indicators or indicators that cannot be measured</li> <li>▶ Indicators that cannot be compared with past indicators or with other countries</li> <li>▶ Indicators are only used for donors and each donor has its own set of indicators</li> <li>■ Indicators are irrelevant to those who collect the data</li> <li>■ Each sector uses its own indicator</li> </ul>	<ul style="list-style-type: none"> <li>● A set of priority indicators and additional indicators that cover program monitoring, program outcomes and impact - M&amp;E plan</li> <li>■ Selection of indicators through process of involving multiple stakeholders and maintaining relevance and comparability</li> <li>● Utilization of past and existing data collection efforts to assess national trends.</li> </ul>
<b>A plan for data collection and analysis</b>	
<ul style="list-style-type: none"> <li>■ M&amp;E is an ad-hoc activity without a plan, mostly driven by donors</li> <li>■ Data are collected but not analyzed sufficiently / utilized</li> <li>▶ There is no systematic monitoring of program inputs and outputs.</li> </ul>	<ul style="list-style-type: none"> <li>■ An overall national level data collection and analysis plan, linked to the national strategic plan</li> <li>■ A plan to collect data and analyze indicators at different levels of M&amp;E (program monitoring)</li> <li>■ Second generation surveillance, where behavioral data are linked to surveillance data.</li> </ul>
<b>A plan for data dissemination</b>	
<ul style="list-style-type: none"> <li>▶ Dissemination is ad hoc and not planned or coordinated</li> <li>▶ Annual surveillance report is much delayed not user friendly and not well disseminated</li> <li>▶ Dissemination to the districts and regions is not done</li> <li>■ Dissemination activities are donor driven</li> </ul>	<ul style="list-style-type: none"> <li>■ Overall national level data dissemination plan</li> <li>■ Well-disseminated informative annual report of the M&amp;E unit</li> <li>● Annual meetings to disseminate and discuss M&amp;E and research findings with policy-makers and planners</li> <li>■ Clearinghouse / Resource centre at national level</li> </ul>

5. *A plan for data dissemination*

28

29 *These 5 elements of M&E system have its characteristic as described below table:*

30

31

1. *Project Monitoring & Evaluation*

32

**32.1 1.3 Tasks of M&E**

33 **Tasks of M&E:** *There are six tasks in monitoring that Kumbal support initiative will be using for project implementation*

- **Task 1: Early Design Phase (Formulation & Approval)**

- *Setting scope & purpose*
- *Setting key performance questions, indicators and mechanisms*
- *Identify organizational arrangement for M&E*
- *Indicative M&E budget*
- *Document the above as M&E framework*

- **Task 2: Start-up prior to project funding (with special operating fund) by KSi**

- *Review the key performance questions, indicators, monitoring mechanisms, and project strategy*
- *Initiate baseline study*
- *Train few potential staff on M&E*
- *Prepare Project Implementation Plan (PIP) with few key staff*

34 **Task 3: Start up after project funding**

- *Review project design in relation to M&E with the key stakeholders*
- *Prepare detailed M&E Plan according to the partnership arrangements*
- *Put in place required manpower, capacity and conditions for M&E implementation*

35 **Task 4: During project implementation**

- *Ensure management has required information*
- *Facilitate regular review meetings/communication with implementers*
- *Prepare annual reviews and support supervision missions*
- *Conduct focus studies or emergency issue*
- *Communicate results to the stakeholders*
- 

36 **Task 5: Midterm Review (MTR) or Evaluation**

- *Facilitate MTR or evaluation internal or external process*
- *Assist in response to the MTR or evaluation feedback*
- *Assist in project plan/ design review as per MTR or evaluation recommendations*
- *Adjust the M&E system if needed*

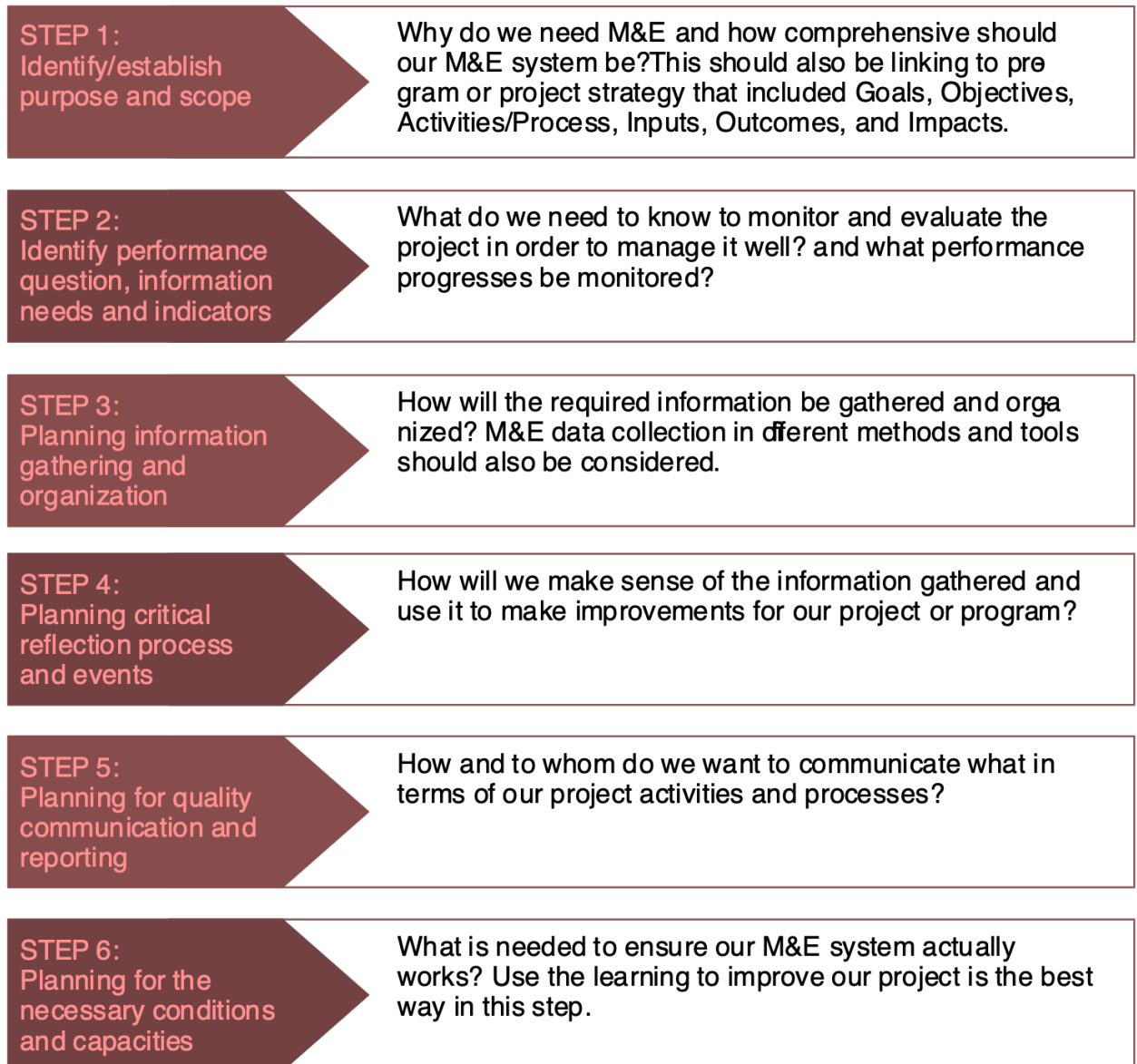
37 **Task 6: Project phase-out or completion**

- *Conduct end-of-project evaluation and/or impact study*
- *Find out how the impacts will be sustained*
- *Hold workshop and do field studies*
- *Articulate lessons learned for the next phase or other projects*

**37.1 1.4 Key steps in setting M&E system**

38 *There are six steps used by KSi in setting up M&E system:*

39 *After, explaining about task of M&E, now, KSi need to explain participants about steps in setting up M&E system.*



40

#### 40.1 Key Criterion used by KSi for Monitoring and Evaluation (M&E)

##### 1. **Relevance:**

41 *Is the extent to which the aid/assistance activity is suited to the priorities and policies of the target group, recipient and donor?*

##### 2. **Effectiveness:**

42 *Is the extent to which an intervention has or is likely to achieve its intended, immediate results?*

##### 3. **Efficiency:**

43 *Is defined as the extent to which results have been delivered in the least costly manner possible – a measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.*

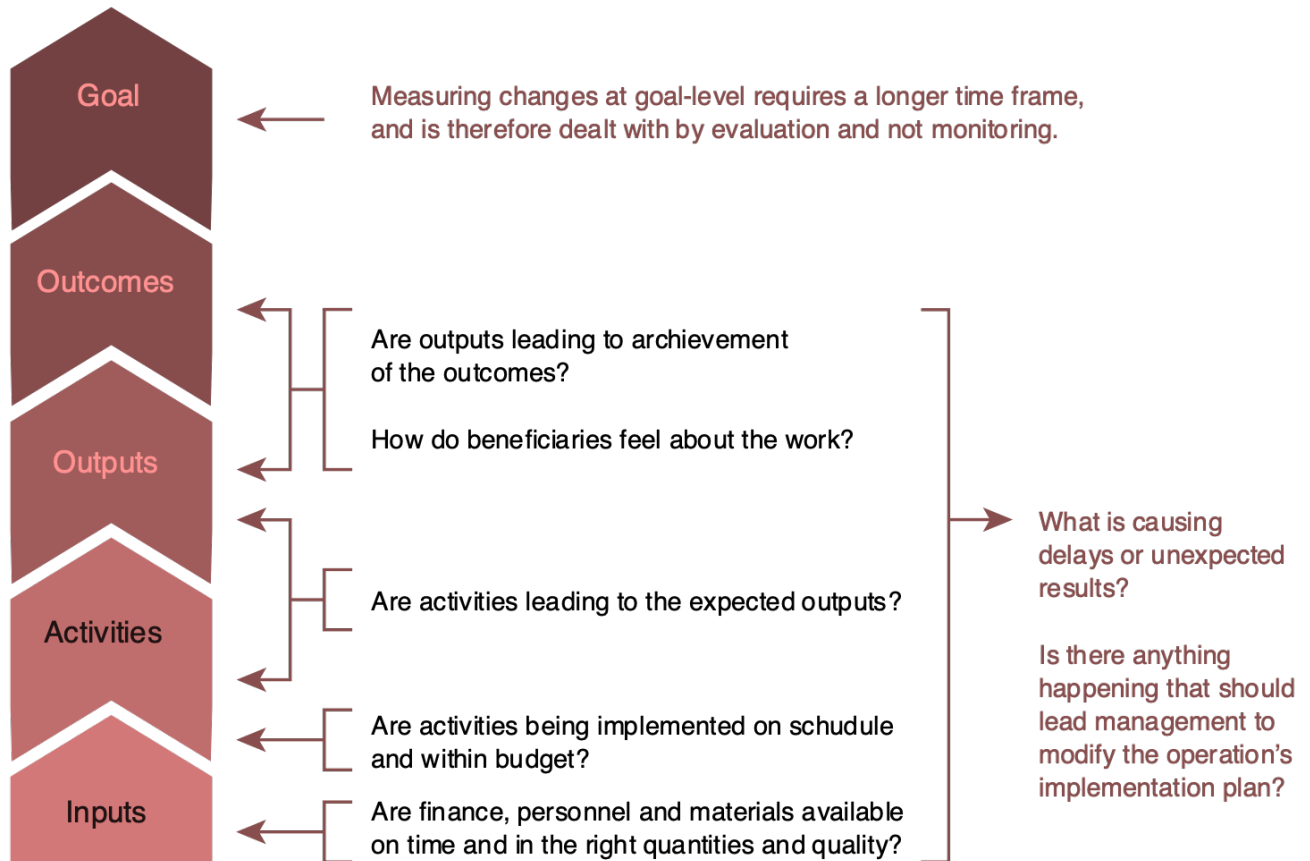
##### 4. **Impact:**

44 *Is the positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended. This involves the main impacts and effects resulting from the activity on the local social, economic, environmental and other development indicators. The examination should be concerned with both intended and unintended results and must also include the positive and negative impact of external factors, such as changes in terms of trade and financial conditions.*



Logframe objectives

Monitoring questions



**Sustainability:**

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47.1.1 Some key questions and data sources set by KSi related to Monitoring1

48 These questions are addressing at the input, activities and outputs level. The key questions are:

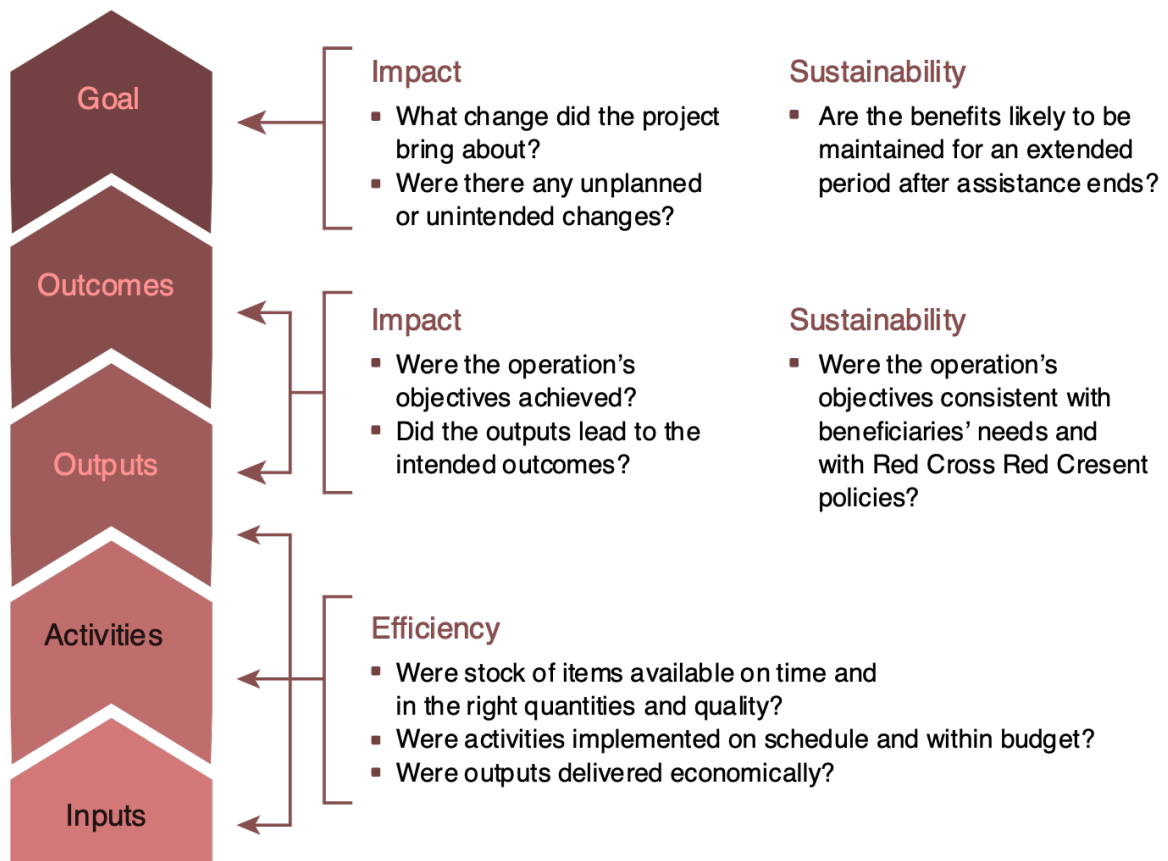
1. Are KSi finance, personnel and materials available on time and in the right quantities and quality?
2. Are KSi project activities being implemented on schedule and within budget?
3. Are KSi project activities leading to expected outputs?
4. How do KSi beneficiaries feel about the work?
5. Are outputs leading to achievement of the outcomes

49



## Logframe objectives

## Evaluation questions



50  
51

### 51.1.1 Some key questions and data source related to Evaluations<sup>2</sup>

52 These questions are addressing at the input, activities and outputs level. The key questions are:

1. Were outputs deliveries economically?
2. Were KSi project activities implemented on schedule and within budget?
3. Were stocks of items available on time and in the right quantities and quality?
4. Did the outputs lead to the intended outcomes?
5. Were the operation's objective achieved?
6. Were there any unplanned or unintended changes?
7. What changes did the project bring about?
8. Are the benefits likely to be maintained for an extended period after assistance ends?
9. Were the operation's objectives consistent with beneficiaries' needs?

52.1

### 52.2 1.5 Planning and Steps used by KSi for Project Monitoring & Evaluation (PME)

#### 52.2.1 A. Steps in Project Monitoring

- **Step 1: Identify Project Objectives and Strategies:** Specify the Intervention (Goals, Objectives, Activities/Process, Inputs, Outcomes, and Impacts)
- **Step 2: Setting Indicators:** Needs of Information, Performance Monitoring and SMART Indicators
- **Step 3: Selecting the Tools and Techniques:** KSi should select activity strategy for M&E Data collection in different methods from existing and new sources.

- **Step 4: Collecting Data:** Set baseline and realistic Targets for Objectively Verifiable Indicators (OVI) of performance
- **Step 5: Analyze the Results:** Design and Implement Monitoring tools/system (manual and computerized)
- **Step 6: Use the Learning to Improve:** Use of monitoring data in project Evaluation, Planning, Management and Reporting.

#### 52.2.2 B. Steps in Project Evaluation

- **Step 1: Implementing M&E Plan:** Knowing when should midterm and final term evaluation be started for your program/project
- **Step 2: Develop clear Terms of References (TORs) and budget for evaluation:** This is an important job and if without enough budget allocation to evaluation, the organization will not know the impact and event cannot closing the project.
- **Step 3: Recruit qualified external consultant or team of consultant:** Prior to carry out evaluation task based on your agreed TORs, terms and conditions.
- **Step 4: Coordinate/ facilitate consultant or team of consultant:** Your M&E Unit/Department staff will facilitate consultant team to perform the task including assisting in logistic arrangement (contact key informants, beneficiaries groups, stakeholders etc.,)
- **Step 5: Take actions / recommendations for next implementation phase:** After report is concluded and finalized, your organization and management team will need to consider and take appropriate actions from the report's recommendations and for development of next phase/ cycle of the project.