

# MODULE 6:

## MONITORING AND EVALUATION



160 minutes



### MODULE OVERVIEW:

This module explores the concepts of monitoring and evaluation. It provides an overview of the different concepts pertaining to policy, financing and budgeting. It brings the participants to the process of costing, budgeting or financing poverty-environment measures identified in the previous modules.



### LEARNING OBJECTIVES:

By the end of this module, participants will be able to:

- Discuss the concepts of monitoring and evaluation and how they contrast;
- Develop an understanding of the process of monitoring and evaluation of projects and programs in local governments and what benefits can be derived from it; and
- Apply knowledge and skills in monitoring and evaluation of projects through appropriate M and E tools.



### MODULE CONTENTS:

1. Monitoring and Evaluation: Definitions
2. Steps in the M and E process, and
3. Workshop on Developing Monitoring Evaluation Indicators.



### KEY WORDS AND CONCEPTS!

- ❖ **Monitoring** is the systematic collection and analysis of information as a program, project or activity progresses. It aims to improve the efficiency and effectiveness of a project or program of local organization unit. It is based on targets set and activities planned during the planning phases of work. It helps to keep the work on track, and can let management (local government chief executive/officials, project staff, etc.) know when things are going wrong. If done properly, it is an invaluable tool for good management, and it provides a useful base for evaluation. It enables you to determine whether the resources you have available are sufficient and are being well used, whether the capacity you have is sufficient and appropriate, and whether you are doing what you planned to do. The primary (most important) use of monitoring is for the local government unit (as an organization) or project itself to see how it is doing against objectives, whether it is having an impact, whether it is working efficiently, and to learn how to do it better.
- ❖ **Effectiveness** is the degree by which goals are attained. It is a measure of the extent to which a development program or project achieves the specific objectives it set.
- ❖ **Efficiency** tells that the input into the work is appropriate in terms of the output. This could be input in terms of money, time, staff, equipment and so on.



**SESSION PLANS:**

**SESSION 6.1  
UNDERSTANDING THE BASIC CONCEPTS**



**20 MINUTES**

**Activity 6.1.1**

**Towards defining or conceptualizing monitoring and evaluation**

Use this activity to provide participants with an overview of Monitoring and Evaluation within the context of mainstreaming poverty – environment linkages.

Method	Process	Time	Materials
Presentation	a) Tell the participants to refer to their Handbook and ask them to write on it their ideas about the concepts of monitoring and evaluation.		Flipchart marker
Discussion	<p>b) After 10 minutes, instruct the participants to share what they have written.</p> <p>c) Note the participants’ responses on the flip chart and then proceed with the discussion by asking the following questions:</p> <ol style="list-style-type: none"> <li>1. <b>Have you been engaged in monitoring and evaluation in your work station?</b></li> <li>2. <b>If they did not, is it possible for them to be involved in it?</b></li> <li>3. <b>If they did, how did they go about and what are the methods they have used? Why did they use those methods?</b></li> </ol> <p><b>Note :</b> The discussion should increase the participants’ awareness of the process of monitoring and evaluation and what methods can be used.</p> <p>d) Explain the meaning of Monitoring and Evaluation and distinguish the two activities. Ensure that participants understand the differences. Emphasize that this example is related to M&amp;E as it applies to a project implementation process. Use the Tools and Approaches materials found at the end of this guide book.</p> <p>e) The next slide outlines some of the benefits of doing M&amp;E. It is important that participants understand these benefits, in order that they don’t perceive M&amp;E as just a set of meaningless tasks they are required to</p>		

	<p>fulfill. But rather, M&amp;E activities can bring up a lot of useful information that local government units and agencies can learn from, to improve their performance.</p> <p>f) Ask participants if they have any questions and feedback or reactions to the presentation.</p> <p><b>PARKING LOT:</b> Participants might ask some questions during the session. Unanswered questions can be written on a flip chart and posted on the wall and shall be answered later in the session.</p> <p>g) Go through the definitions and examples provided of goals, objectives, results, targets and indicators. Then look at the diagram that follows, which illustrates how each of the terms are related to each other</p> <p>h) When you are sure that participants understand the terms discussed, move on to go through the other definitions and explanations, including downstream accountability, horizontal accountability, checks and balances and logical framework.</p> <p>i) Point out that these and other important terms have been included in the Glossary at the end of the Participant’s Handbook.</p>		
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**SESSION 6.2**  
**WORKSHOP ON INDICATOR DEVELOPMENT**



**40 MINUTES**

**Activity 6. 2.1**  
**Workshop on developing indicators for Monitoring and Evaluation Plan**

This activity is designed to help participants become familiar with developing indicators for a monitoring and evaluation plan that can be used in mainstreaming poverty-environment linkages.

Method	Process	Time	Materials
<b>Workshop</b>	a) Instruct the participants to answer the preliminary exercise found in their Handbook. About 10 minutes will be sufficient to answer the exercise.	<b>10 mins</b>	<b>Participant’s handbook</b>
<b>Discussion</b>	b) After participants have finished the exercise, present the correct answers and start the discussion using the power point slides found in the Tools and Approaches section.	<b>30</b>	<b>Flipchart marker</b>
	c) Ask participants if they have any feedback or		<b>Laptop</b>

	<p>reactions to the presentation.</p> <p>d) Break the whole group into small groups. Same grouping is encouraged.</p> <p>e) Ask the groups to discuss among themselves the exercises. Tell them these are useful practice exercises so that they will be able to develop the skills in developing various types of indicators for their M and E plan development.</p> <p>f) Invite some members of the group to share what they have learned in this Module.</p> <p>g) In case there are missed points, the following should be emphasized:</p> <ul style="list-style-type: none"> <li>• <b>Indicators are a means to measure change. They are the raw materials for much of monitoring and evaluation. Yet indicators are approximations, based largely on assumptions: the smaller or more accurate the assumption, the more reliable the indicator.</b></li> <li>• <b>Indicators need to be clear, practical, doable, appropriate, relevant, and reliable.</b></li> <li>• <b>It is important to involve and engage all stakeholders in the design and implementation of indicators for their insights and inputs.</b></li> <li>• <b>A mix of qualitative and quantitative indicators usually reveals nuances and greater insight into what is happening.</b></li> <li>• <b>Test or pilot indicators before starting to use them in monitoring and evaluation. If some indicators are found not working well in piloting, they must be dropped or modified.</b></li> </ul> <p>Devote 15 minutes for the summary.</p>		
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#### Summary Points

- ❖ A monitoring system helps track progress made against the goals of policy documents and the implementation of strategies and policy measures.
- ❖ It also helps in identifying where and what kinds of corrective actions may be needed. The system can cover sectors such as agriculture or health, or cross-cutting issues such as poverty.
- ❖ The overall objective of integrating poverty-environment issues in the monitoring system is to increase the chances that the poverty-environment elements of

policy documents and their related strategies and measures, projects and programs are implemented effectively.

- ❖ Relevant and operational indicators are developed into the monitoring system. These indicators are usually developed through extensive research and consultations and are used to measure progress on the poverty-environment dimensions of a project, program, policy or measure.
- ❖ Monitoring and Evaluation activities can bring up a lot of useful information that local government units and agencies can learn from, to improve their performance.



### TOOLS and APPROACHES:



#### **Tool 1: Definition of Concepts: MONITORING (Formative Evaluation)**

Monitoring is defined as the routine collection and use of data to assess progress in achieving program objectives.

Monitoring is generally any activity that takes place before or during a project's implementation with the aim of improving the project's design and performance. It complements evaluation activity and is essential for trying to understand why a program works or doesn't and what other factors (internal and external) are at work during a project's life. It requires time and money and this may be a barrier to undertaking it, but it should be viewed as a valuable investment that improves the likelihood of achieving a successful outcome through better program design.

#### **Benefits of Undertaking Monitoring**

A number of good reasons to conduct monitoring are as follows:

- Without monitoring, you may be embarking on a project that may not meet a real need, or one that may be constrained by external factors that you cannot control.
- Monitoring is especially important in community engagement and behavior change projects as such interventions are often complex and therefore require careful monitoring of processes in order to respond to emergent properties and any unexpected outcomes.
- Forsaking monitoring may also mean that you are not able to observe and capture feedback that may improve the implementation of a project, and therefore its chance of successfully achieving the desired outcomes.
- Monitoring allows you to develop a better understanding of the process of change, and finding out what works, what doesn't, and why. This allows you to gather the knowledge to learn and improve future project designs and implementation.

Monitoring takes place in the lead up to the project, as well as during the project in order to improve the project design as it is being implemented (continual improvement). It often lends itself to qualitative methods of inquiry.



### **Tool 2: Definition of Concepts: EVALUATION (Summative Evaluation)**

Evaluation looks at the impact of an intervention on the target group. This type of evaluation is arguably what is considered most often as 'evaluation' by project staff and funding bodies- that is, finding out what the project achieved.

It can take place during the project implementation, but is most often undertaken at the end of a project. As such, summative evaluation can also be referred to as *ex-post* evaluation (meaning after the event)

Evaluation is outcome-focused more than process focussed. It is important to distinguish outcome from output. Evaluation is not about stating that three workshops were held, with a total of fifty people attending (outputs), but rather the result of these workshops, such as increased knowledge or increased uptake of rainwater tanks (outcomes).

#### **Benefits of Undertaking Evaluation**

A number of good reasons to conduct evaluation are as follows:

- provides a means to find out whether your project has reached its goals/objectives/outcomes
- allows you to quantify the changes in resource use attributable to your project so that you can track how you are the impact of your project
- allows you to compare the impact of different projects and make results-based decisions on future spending allocations (taking into account unintended consequences)

Evaluation takes place during and following the project implementation, and is associated with more objective, quantitative methods.

**NOTE: The distinction between monitoring and evaluation can become blurred. Generally it is important to know both how an intervention works, as well as if it worked. It is therefore important to capture and assess both qualitative and quantitative data.**



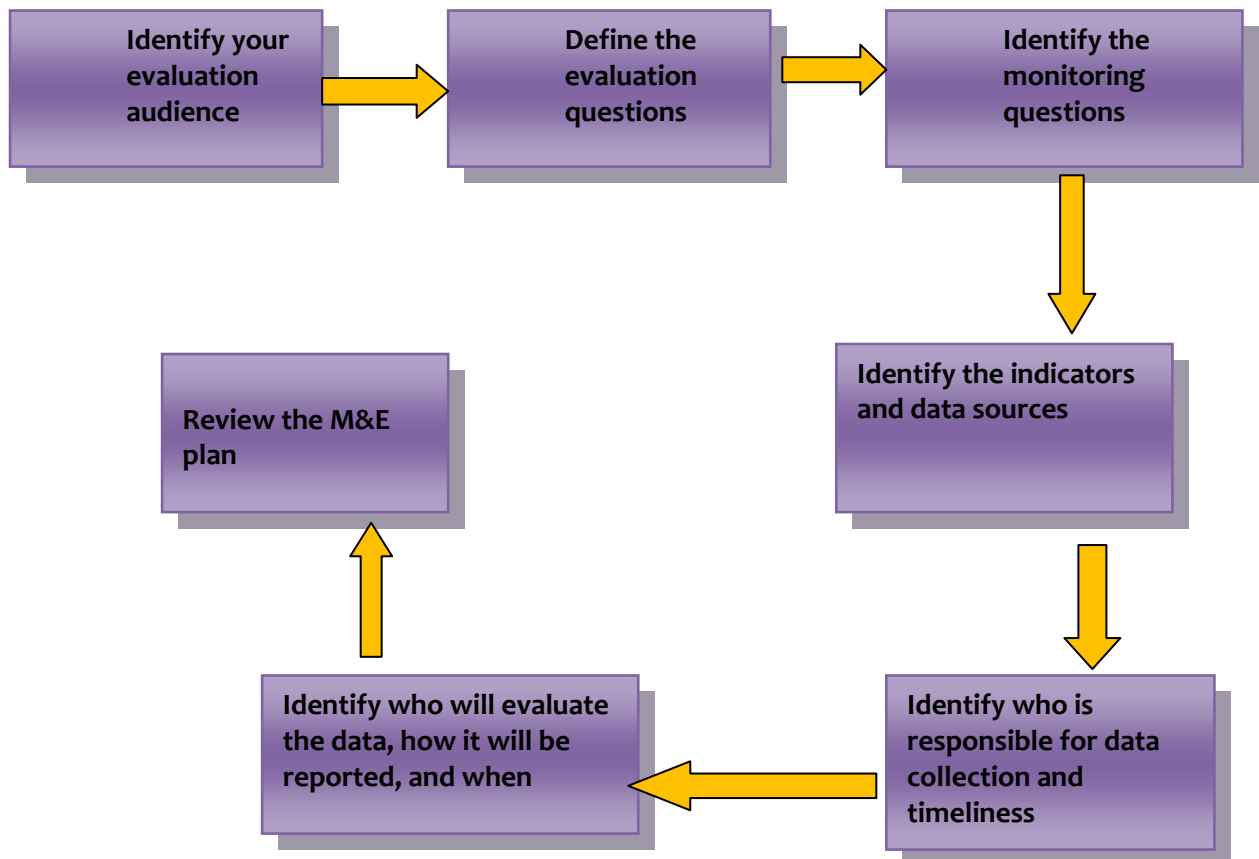
### **Tool 3: Developing a Monitoring and Evaluation Plan**

A monitoring and evaluation plan (**M and E PLAN**)

- guides as to what you should evaluate, what information you need, and who you are evaluating for;
- outlines the key evaluation questions and the detailed monitoring questions that help answer the evaluation questions;
- allows you to identify the information you need to collect, and how you can collect it;
- depending on the detail of the M&E plan, you can identify the people responsible for different tasks, as well as timelines;
- should be able to be picked up by anyone involved in the project at anytime and be clear as to what is happening in terms of monitoring and evaluation;

- should ideally be done at the planning stage of a project, before implementation. This will allow you to plan ahead of time and data collection activities that you may need to undertake, such as pre-intervention surveys, and
- However, it is never too late to develop an M&E plan. Retro-fitting an M&E plan to an existing project may just mean that you may be constrained in some of the data that you can collect.

**STEPS IN DEVELOPING A MONITORING AND EVALUATION PLAN**



- **Identify your evaluation audience**  
 Identify the evaluation audience or stakeholders. The evaluation audience include the people or organisations that require an evaluation to be conducted. There may be multiple audiences, each with their own requirements. Typically, this includes the funding agency, and may also include partner organisations, the project team, and the project’s participants or target group. Remember that evaluation is generally undertaken for accountability, or learning, and preferably both together.

If there are limited funds for evaluation, prioritise the evaluation by identifying who are the most important people to report to.

- **Define the evaluation questions**  
 Evaluation questions should be developed up-front, and in collaboration with the primary audience(s) and other stakeholders who you intend to report to. Evaluation questions go



beyond measurements to ask the higher order questions such as whether the intervention is worth it, or could it have been achieved in another way. Overall, evaluation questions should lead to further action such as project improvement, project mainstreaming, or project redesign.

- **Identify the monitoring questions**

In order to answer evaluation questions, monitoring questions must be developed that will inform what data will be collected through the monitoring process. Monitoring questions are quite specific in what they ask, compared to evaluation questions. For example, for an evaluation question of *"What worked and what did not?"* you may have several specific questions such as *"Did the workshops lead to increased knowledge on energy efficiency in the home?"* or *"Did participants install water efficient showerheads?"*.

- **Identify the indicators and data sources**

The next step is to identify what information you need to answer your monitoring questions (indicators) and where this information will come from (data sources). It is important to consider data collection, in terms of the type of data and any types of research design. Data sources could be participant themselves, or people's homes (e.g. audit of lighting types) or metering, or even literature. You can then decide on the most appropriate method to collect the data from the data source.

- **Identify who is responsible for data collection and timeliness**

It is advisable to assign responsibility for the data collection so that everyone is clear of their roles and responsibilities. This also allows new staff to come onto the project and get a sense of who is responsible for what, and what they may have to take on and when.

Collection of monitoring data may occur regularly over short intervals, or less regularly, such as half-yearly or annually. Again, assigning timelines limits the excuse of 'not knowing'. You may also want to note any requirements that are needed to collect the data (staff, budget etc.). It is advisable to have some idea of the cost associated with monitoring, as you may have great ideas to collect a lot of information, only to find out that you cannot afford it all. In such a case, you will have to either prioritise or find some money or funds.

- **Identify who will evaluate the data, how it will be reported, and when**

This step is **optional** but highly recommended, as it will round off the M&E plan as a complete document. Remembering that evaluation is the subjective assessment of a project's worth, it is important to identify who will be making this 'subjective assessment'. In most cases, it will be the project team, but in some cases, you may involve other stakeholders including the target group or participants.

- **Review the M&E plan**

Once you have completed your M&E plan, highlight data sources that appear frequently. For example, you may be able to develop surveys that fulfil the data collection requirements for many questions.

Also consider re-ordering the M&E plan in several ways, for example, by data source, or by data collection timeframe. Finally, go through this checklist. Does your M&E plan:

- Focus on the key evaluation questions and the evaluation audience?
- Capture all that you need to know in order to make a meaningful evaluation of the project?

- Only asks relevant monitoring questions and avoids the collection of unnecessary data?
- Know how data will be analysed, used and reported?
- Work within your budget and other resources?
- Identify the skills required to conduct the data collection and analysis



#### **Tool 4: Indicators for Monitoring and Evaluation**

### **INDICATORS**

An **indicator** is used to answer the question: ‘how do we know whether or how much we have achieved our objective?’ It refers to a measure used to demonstrate change in a situation, or the progress in, or results of, an activity, project, or program. It is a sign showing where we are (current situation/actual results), the progress made so far (from baseline), and the remaining distance towards achieving our objective (expected results). For example:

- # of trainings organized on collaboration between local government and civil society groups since program start
- # of women and youth who attended the training and can cite two 2 behavior changes among them after the training
- % over baseline of fishermen who can identify 3 examples of behavior that is in violation of policy by end of project

An indicator is a measure of change or progress, e.g.:

- # of new projects in which residents and barangay officials collaborate since the beginning of the project
- Increase over baseline in % of local government personnel who can cite 5 appropriate attitudes of a government employee towards a member of a tribal group.

A **target** is a clear and specific statement of desired results for a specific indicator over a specified period of time. It is usually specified in terms of quantity or quality, target area, target group, and time, e.g.:

- 65% of high-level officials practice decision-making for common good of the environment by end of phase 1 of the program
- 16 skilled advocates of as a tool of leadership and conflict resolution in the region at end of the third year of the project
- Reduction of severe and moderate malnutrition in Masbate by 20% by 2014

A **benchmark** is a standard of measurement used to compare and judge the performance of similar components, groups of people, programs, and systems. In DM&E, a benchmark presents a reference to a standard of what is achievable, e.g.:

- The existence of ongoing dialogue groups where there were none before is a benchmark in post conflict settings.
- In the first post-conflict election 70% more people voted than in the election during the conflict. Future benchmark would be 90% voting in the next election.

## TYPES OF INDICATORS

- A. Quantitative indicators** are measures of quantities or amounts, e.g.:
- A 50% increase over the baseline in the number of people who enrol their children in schools by the end of the project
  - 500 disputes resolved by mediators over 18 months
- B. Qualitative indicators** are measures of changes in attitudes, knowledge and behaviour/skills, e.g.:
- 25% increase in the level of confidence people have in their ability to circulate safely in all areas in their community by end of project
  - 10% decrease in fear of landslides in village D in 6 months

## INDICATORS ON DIFFERENT LEVELS

- A. Input indicators** reflect the resources (input) allocated to an activity, a project, program or intervention. This is a measure of all resources including human, financial, material, technological, and information resources, e.g.:
- Amount of funds allotted
  - Number of local consultants available
  - Number of health kits available for distribution
  - Number of days available
  - Number of trainers eligible for the program
- B. Output indicator:** Products and services produced (Immediate or short-term results)  
Output indicators measure the quantity of products and services needed to meet an objective and the efficiency of production, e.g.:
- # of people in the municipality attending facilitated events that are geared toward strengthening understanding among conflict-affected groups
  - # of training sessions on disaster preparation conducted in the 10 communities by end of the project
- C. Outcome indicator:** Immediate or Intermediate results  
Outcome indicators describe knowledge, behavior, attitude and skill changes resulting from work. The nature of work often makes it difficult to track these types of changes accurately and realistically, e.g.:
- Increased # of youth participating in a youth forum and interacting with government officials after participation in a training program
  - Increased % of citizens voting in current election as compared to previous election after participation in a convention program
- D. Impact indicator:** Long-term results  
Impact indicator measures the impact or the achievement of the project or program goal. It indicates the quality and quantity of long-term results generated by programmed outputs, e.g.:
- Building the capacity for collaboration and conflict mitigation at the Provincial level in Benguet
  - Reconciliation facilitated between divided ethnic/religious groups in the Cordilleras
  - Reduction in community and tensions over territorial conflicts in Mindanao



**Tool 5: Example of Monitoring and Evaluation Plan**

EVALUATION	MONITORING					
	Broad Evaluation Questions	What do we want to know? (Monitoring questions)	How will we know it? (Indicator)	Where will the data come from? (Data source/Method)	Who will capture the data? (Responsible person)	When will data be captured? (Time frame)
<p>To what extent did the project meet the overall goal?</p> <p>Was there any significant change and to what extent was it attributable to the project?</p> <p>How valuable are the outcomes to the organisation, other stakeholders, and participants?</p>	<p><b>Outcomes:</b> Enabling environment for participation by the poor in decision-making</p> <p>Community prospects improved through income generation</p>	<p>Increase in number of CSOs participating in national development strategy formulation process (by year)</p> <p>New staff taken on by small-scale enterprises (SSEs) trained (number, by date) under UNDP programme</p>	<p>Registrations for Annual Poverty Forum</p> <p>Questionnaire sent trainees 6 months after training</p>	<p>Coordination Council for NGOs</p> <p>Municipal Chamber of Commerce</p>	<p>Annual</p> <p>Half-yearly</p>	
	<p><b>Outputs:</b> Civil society organizations' (CSOs) analytical capacities strengthened</p> <p>Training facilities available to SSEs</p>	<p>NGO staff completing training course in poverty analysis (number, by date)</p> <p>SSE advisory centres functional (able to offer</p>	<p>Project records</p> <p>Project records</p>	<p>Project Director</p> <p>UNDP National Programme Officer (NPO)</p>	<p>Quarterly</p> <p>Continuous</p>	

EVALUATION	MONITORING						
	Broad Evaluation Questions	What do we want to know? (Monitoring questions)	How will we know it? (Indicator)	Where will the data come from? (Data source/Method)	Who will capture the data? (Responsible person)	When will data be captured? (Time frame)	Estimated Cost
			training) in 3 regions (by date				



**Tool 6: Criteria for Evaluating Mainstreaming Process in Local Government**

Criteria	Scale (1 = lowest; 5 = highest)					Evaluation Questions
	1	2	3	4	5	
<b>1. Political leadership</b>						<ul style="list-style-type: none"> <li>How supportive is the political leadership on environmental issues?</li> <li>Do key individuals in government hold environmental responsibilities?</li> </ul>
<b>2. Institutional commitment</b>						<ul style="list-style-type: none"> <li>Are there institutions specifically mandated for environmental management?</li> <li>Are they committed to environmental mainstreaming?</li> <li>Are the institutions responsible for planning and finance equally committed to environmental mainstreaming?</li> <li>Are institutions orienting their staff to adopt a mainstreaming culture?</li> <li>Does government increasingly finance mainstreaming processes?</li> </ul>
<b>3. Coordination</b>						<ul style="list-style-type: none"> <li>Is there an institution that coordinates environmental mainstreaming?</li> <li>Is it well staffed, with technical backstopping?</li> <li>Are there sub-committees, sector working groups or task forces on environmental mainstreaming?</li> <li>Have they been successful in advocating for environmental issues?</li> </ul>
<b>4. Participation</b>						<ul style="list-style-type: none"> <li>Is planning done in a participatory manner?</li> <li>Do the direct beneficiaries participate?</li> <li>Is there a plan to cost-effectively manage the participatory/consultative processes?</li> </ul>
<b>5. Communication reporting</b>						<ul style="list-style-type: none"> <li>Are there good and regular communication links among the institutions and groups</li> </ul>

Criteria	Scale (1 = lowest; 5 = highest)					Evaluation Questions
	1	2	3	4	5	
						<p>involved in mainstreaming?</p> <ul style="list-style-type: none"> <li>Is there sharing of information on mainstreaming practices?</li> <li>Is the media used to disseminate emerging good practices?</li> </ul>
<b>6. Guidance training</b>						<ul style="list-style-type: none"> <li>Are staff trained before they undertake mainstreaming?</li> <li>Are they guided by experts knowledgeable in mainstreaming?</li> <li>Are guidelines available to the staff?</li> </ul>
<b>7. Awareness raising</b>						<ul style="list-style-type: none"> <li>Are all staff in the organisation(s) that lead mainstreaming initiative(s) made aware of its importance and steps?</li> <li>What about the general public?</li> <li>Are awareness campaigns conducted for the political leadership?</li> </ul>
<b>8. Appraisal/Assessment</b>						<ul style="list-style-type: none"> <li>Is the assessment of likely impacts made?</li> <li>Is the assessment of potential developmental opportunities from natural resources also made?</li> <li>Are the environmental, economic and social challenges of exploiting particular resources or development in areas articulated?</li> </ul>
<b>9. Mainstreaming tools</b>						<ul style="list-style-type: none"> <li>Are tools for mainstreaming available?</li> <li>Are they being followed?</li> <li>Is training made available for the users?</li> </ul>
<b>10. National/local sustainability</b>						<ul style="list-style-type: none"> <li>Are there national and local (e.g. district) sustainability strategies or environment plans?</li> </ul>
<b>11. Targets/objectives/indicators</b>						<ul style="list-style-type: none"> <li>Have baselines indicators/benchmarks to mainstreaming been created?</li> <li>Have objectives been set very clearly?</li> <li>Are target indicators reflected in the respective planning frameworks?</li> </ul>
<b>12. Allocation of spending and actual funding</b>						<ul style="list-style-type: none"> <li>Are the plans made linked to the budgeting framework or other funding mechanisms?</li> <li>Are approved budgets actually spent?</li> <li>Are public expenditure tracking surveys regularly conducted?</li> </ul>
<b>13. Monitoring/auditing</b>						<ul style="list-style-type: none"> <li>Does the monitoring framework include monitoring of mainstreamed issues?</li> <li>Are the mainstreamed issues sufficiently reported upon?</li> <li>Is there a culture to share the TOR for hiring consultants to review mainstreaming well in advance?</li> </ul>

Adapted: UNDP 2008



### **Tool 7: Indicators for Successful Mainstreaming Process in Local Government**

#### **PEI indicators for successful environmental mainstreaming**

1. Inclusion of poverty-environment linkages in barangay/municipal/provincial development and poverty reduction strategies.
2. Strengthened capacity within budget/planning departments as well as environmental agencies to integrate environment into budget decision-making, sector strategies and implementation programs.
3. Inclusion of poverty-environment linkages in sector planning and implementation strategies.
4. Strengthened capacity in key sectors/department/agencies to include environmental sustainability into their strategies.
5. Widened involvement of stakeholders in making the case for the importance of environment to growth and poverty reduction.
6. Improved domestic resource mobilization for poverty-environment investments.
7. Increased donor contributions to municipal/provincial-level environmentally sustainable investment.
8. Improved livelihoods and access to environmental and natural resources for the poor.

**Source:** UNEP-UNDP Poverty-Environment Initiative