

Workshop On Monitoring And Evaluation For Smallholder Based Cocoa Projects In Se Asia February 19-21, 2008

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Opening and Introductions

- Facilitators
- Participants
 - Name
 - Title
 - Experience in M&E
 - Expectations
- Review of Agenda
- End of Workshop Evaluation

Learning objectives

At the end of this workshop participants will be familiar with:

- The basic concepts and methods of program M&E;
- A comprehensive framework for conducting M&E, with the knowledge of how key aspects are interrelated;
- Project-level indicators using Conceptual Frameworks
- A standardized way (a starting point!) to do M&E for cocoa small holder farmers projects.

Module 1

M&E Definitions and Basic Concepts

Monitoring & Evaluation Definition

- **Monitoring:**
The systematic collection of data on specific indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds
- **Evaluation:**
The systematic and objective assessment of an ongoing or completed project or program to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability

What is Evaluation?

A periodic assessment of the efficiency, effectiveness, impact, sustainability and relevance of a project or program in the context of stated objectives.

Evaluation is usually undertaken as an independent examination of the background, objectives, results, activities and means deployed, with a view to drawing lessons that may guide future decision-making. A Management Tool!

What is Evaluation?

Evaluation is an exercise that attempts to determine as systematically and objectively as possible significance of an intervention, strategy or policy.

Evaluation findings should be credible, and be able to influence decision-making by program partners on the basis of lessons learned.

What is Evaluation?

- **Formative evaluations** are evaluations intended to improve performance, [and] are most often conducted during the implementation phase of projects or programs. Formative evaluations may also be conducted as part of a larger evaluation initiative.
- **Summative evaluations**, by contrast are studies conducted at the end of an intervention (or a phase of that intervention) to determine the extent to which anticipated outcomes were produced. Summative evaluation is intended to provide information about the worth of a program. (OECD Glossary).

Why Evaluation?

- Each socio-economic program has its own more specific rationale.
- However the justification for evaluation in all these cases is the same: can we apply evaluation procedures and methods in ways that will improve the quality of life, prosperity and opportunities available to citizens / beneficiaries?
- To make a difference and be useful, it requires that evaluation asks and answers questions that are useful to program stakeholders – whether they are managers, donors, policy makers or beneficiaries.

Some Uses of Evaluation

- **Design Assessment:** assessment of the program's logic
 - Assesses the design and logic of a program (*ex-ante* evaluation)
 - Can the program achieve its objectives as designed?
- **Evaluability Assessment:** assessment of the program's evaluability
 - Can a project or a program be evaluated?
 - Are the necessary data available? Are the objectives stated?
- **Implementation/Process:** implementation and operations
 - Are there problems in service delivery?
 - How is the program working?
- **Impact:** effects of project or program
 - Did the program make a difference?
 - Immediate or long term?
 - Usually relates to program goals.

Effectiveness

Implementation

Design

Evaluation Criteria

A set of widely shared evaluation criteria should guide the appraisal of any intervention or policy. These standards serve as a reference in evaluating both the processes through which results are achieved and the results themselves, be they intended or unintended.

Evaluation Criteria

Relevance – What is the value of the intervention in relation to other primary stakeholders' needs, national priorities, national and international partners' policies (including the MDGs, National Development Plans, and SWAPs), and global references such as human rights, humanitarian law and humanitarian principles?

Efficiency – Does the program use the resources in the most economical manner to achieve its objectives?

Effectiveness – Is the activity achieving satisfactory results in relation to stated objectives?

Impact – What are the results of the intervention - intended and unintended, positive and negative - including the social, economic, environmental effects on individuals, communities and institutions?

Sustainability – Are the activities and their impact likely to continue when external support is withdrawn, and will it be more widely replicated or adapted?

(Source: OECD-Development Assistance Committee)

Evaluation Criteria

The evaluation of humanitarian actions must be guided by additional criteria as outlined in OECD-DAC guidance:

- **Coverage** - Which groups have been reached by a program and what is the different impact on those groups?
- **Coordination** - What are the effects of co-ordination / lack of co-ordination on humanitarian action?
- **Coherence** - Is there coherence across policies guiding the different actors in security, developmental, trade, military and humanitarian spheres? Are humanitarian considerations taken explicitly into account by these policies?
- **Protection** - Is the response adequate in terms of protection of different groups

What to evaluate ?

Evaluations can look at many different facets of development.

- **Projects:** a single intervention in one location or a single project implemented in several locations.
- **Programs:** an intervention comprising various activities or projects, which are intended to contribute to a common goal.
- **Policies:** evaluations of the standards, guidelines or rules set up by an organization to regulate development decisions
- **Organizations:** multiple intervention programs delivered by an organization.
- **Sectors:** evaluations of interventions across a specific policy arena, such as education, forestry, agriculture, and health.
- **Thematic:** evaluations of particular issues, often crosscutting, such as gender equity, global product goods, or millennium goal development.
- **Country assistance:** evaluations of progress relative to the plan, the overall effect of aid, and lessons learned.

The Main Purposes of Evaluation

The most commonly recognized purposes of evaluation are:

- **Planning/efficiency** – ensuring that there is a justification for a policy/program and that resources are efficiently deployed.
- **Accountability** - demonstrating how far a program has achieved its objectives and how well it has used its resources.
- **Implementation** - improving the performance of programs and the effectiveness of how they are delivered and managed.
- **Knowledge production** - increasing our understanding of what works in what circumstances and how different measures and interventions can be made more effective.
- **Institutional strengthening** - improving and developing capacity among program participants and their networks and institutions.

Who conducts evaluation?

- **Internal evaluation** “Evaluation of a development intervention conducted by a unit or individuals reporting to the management of the donor, partner, or implementing organization.”
- **External evaluation** “Evaluation of a development intervention conducted by entities and/or individuals outside the donor, partner and implementing organization”.
- **Participatory evaluation** “Evaluation method in which representatives of agencies and stakeholders (including beneficiaries) work together in designing, carrying out and interpreting an evaluation”.

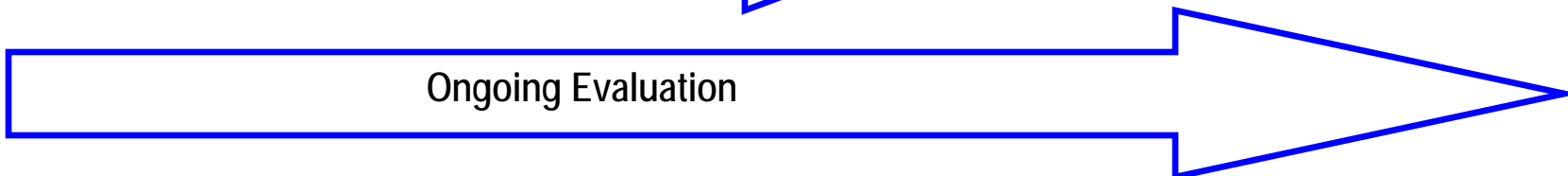
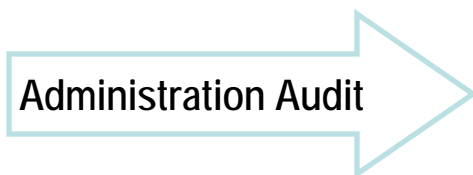
General Principles of Evaluation (EC, 2006)

- Evaluation is a process of judgment of interventions according to their results, impacts and the needs they aim to satisfy.
- Evaluation looks at the effectiveness (the extent to which objectives are achieved), the efficiency (best relationship between resources employed and results achieved), and at the relevance of an intervention (the extent to which an intervention's objectives are pertinent to needs, problems and issues).

General Principles of Evaluation (EC, 2006)

- Evaluation looks at the results and impacts of programs - by assessing their effectiveness, efficiency, and relevance of measures – provides an input into the formulation and re-orientation of policies. In doing this, evaluation heavily relies on data and information collected by monitoring which suggests an early interaction between both activities.

General Principles of Evaluation



What Is Monitoring?

- Program monitoring is the periodic measurement of progress of a program.
- Monitoring may focus on:
 - Comparison of performance with existing program objectives
 - Assessment of intended and unintended outcomes of a program
 - Program implementation or operations

What Is Monitoring?

There are two kinds of Monitoring:

- **Situation monitoring** measures change in a condition or a set of conditions or lack of change. Monitoring the situation of children and women is necessary when trying to draw conclusions about the impact of programs or policies. It also includes monitoring of the wider context, such as early warning indicators, trigger indicators monitoring, or monitoring of socio-economic trends and the country's wider policy, economic or institutional context.
- **Performance monitoring** measures progress in achieving specific results in relation to an implementation plan, whether for programs, strategies, or activities.

M & E Framework

Monitoring Process

- Determine Your Monitoring Objectives
- Develop a Logic Model
- Identify Intermediate Outcomes
- Identify Indicators and Measures
- Identify Data and Data Sources
- Collect Data/Information
- Analyze Data
- Report Results

Purpose of monitoring and evaluation

- Learning and accountability are two primary purposes of monitoring and evaluation. The two purposes are often posed in opposition.
 - Participation and dialogue are required for wider learning, while independent external evaluation is often considered a prerequisite for accountability. On the two extremes, their design – models, process, methods, and types of information – may indeed differ.
 - The current focus on wider participation by internal and external stakeholders and on impartiality allows learning and accountability purposes to be balanced.

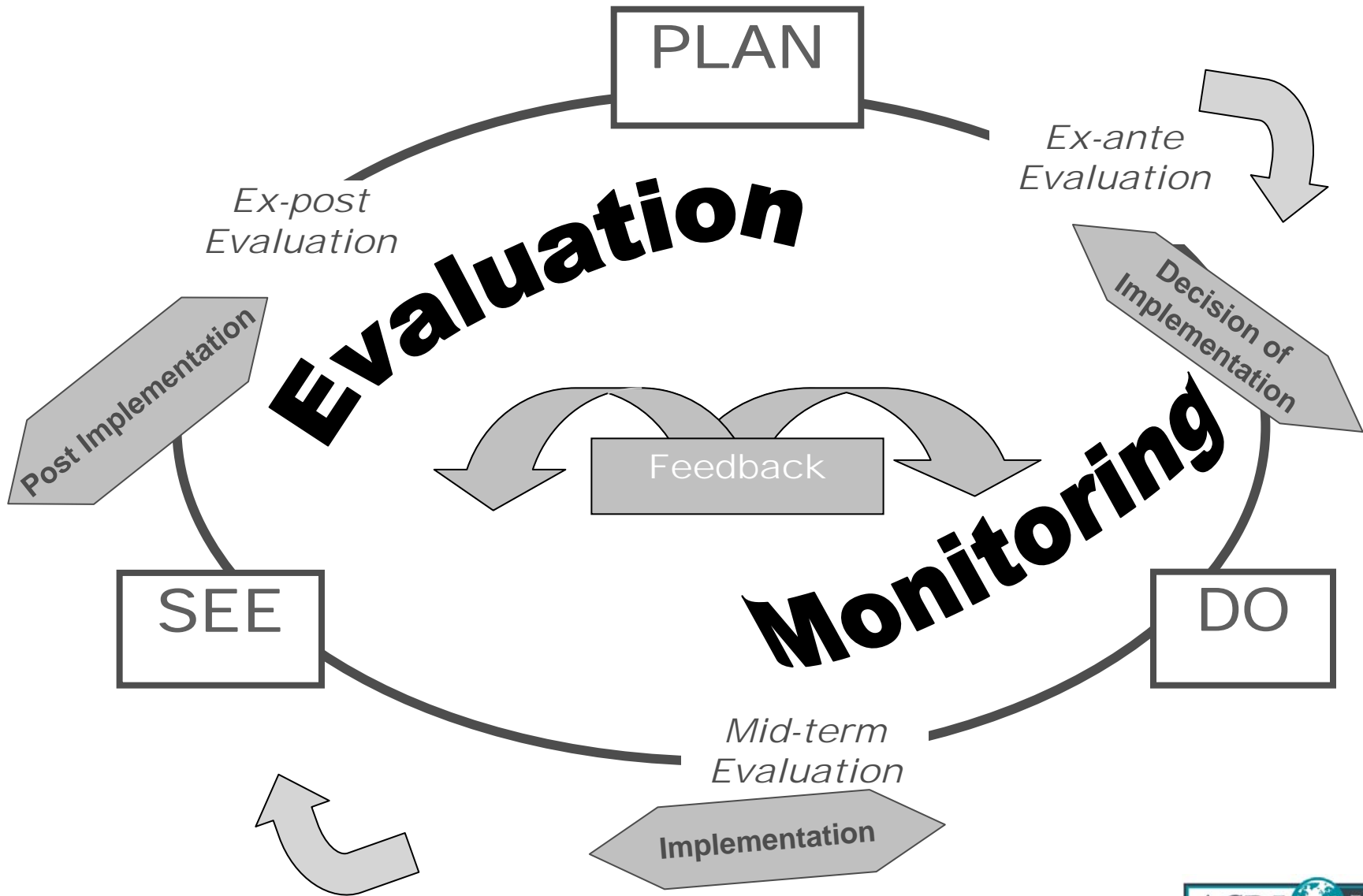
Purpose of monitoring and evaluation

- Performance monitoring contributes to learning more locally, ideally at the level at which data are collected and at levels of program management. It feeds into short-term adjustments to programs, primarily in relation to implementation modalities.
- Program evaluation not only contributes to improvements in implementation methods, but also to significant changes in program design. Evaluation contributes to learning through both the process and the final product or evaluation report. Increasingly, evaluation processes are used that foster wider participation, allow dialogue, build consensus, and create “buy-in” on recommendations.

Purpose of monitoring and evaluation

- Monitoring and evaluation both serve accountability purposes.
 - Performance monitoring helps to establish whether accountabilities are met for implementing a plan.
 - Evaluation helps to assess whether accountabilities are met for expected program results. For example, global monitoring of the situation of children and women assists in assessing whether national and international actors are fulfilling their commitments in ensuring the realization of human rights and the Millennium Declaration/MDGs.

M&E in Project / Program Operating Cycle



Approach to Development Evaluation

Focus the Evaluation

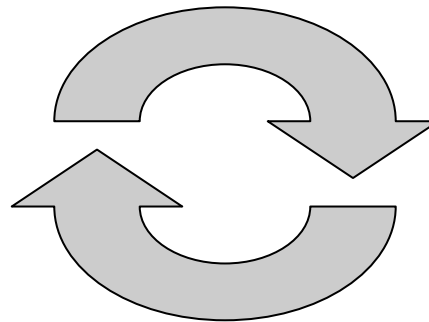
- Purpose
- Terms of Reference
- Program logic model
- Program outcome model
- Specification of evaluation questions
- Identification of stakeholders

Design & Methodology

- Evaluation questions
- Data collection design
- Measurement strategy
- Sampling strategy
- Data Collection strategy
- Develop data collection instruments
- Involve stakeholders

Use Evaluation

- **Communicate Findings**
- Feed-back
- Decision-making
- Action Plan



Gather & Analyze Data

- Gather data according to protocols
- Prepare data for analysis
- Analyze data

Report Findings

- Interpret the data
- Write report
- Make recommendations

Review of the M&E Process

Monitoring and evaluation are intimately related.

- Both are necessary management tools to inform decision-making and demonstrate accountability.
- Evaluation is not a substitute for monitoring nor is monitoring a substitute for evaluation.
- Both use the same steps however, they produce different kinds of information.
- Systematically generated monitoring data is essential for successful evaluations.

Difference between monitoring and evaluation

- **Focus.** Monitoring looks at operational implementation, while evaluation looks at population effects.
- **Source of the information used.** Most monitoring data are obtained by compiling routine project records. Outputs, such as the number of persons trained, can be obtained from attendance lists to a training session. Other data—especially those associated with outcomes and impacts—require beneficiary or population-level measurements. A survey is necessary to collect this outcome indicator. Most often, monitoring uses data from project records; evaluation uses survey data.

Difference between monitoring and evaluation

- Frequency of data collection and reporting. Monitoring indicators are tracked regularly and frequently— processes and outputs are compiled on an annual basis; data on inputs (especially expenditures in food and cash) are reported on a quarterly basis. The results of the evaluation are also used to decide whether the project warrants continuation. Such a large time interval in the reporting of outcomes and impacts is justified first by the fact that outcome and impact indicators at the population level often take several years to respond to an intervention, thus reducing the usefulness of reporting annually on effect indicators; and second, that it would be costly to conduct a population-based evaluation survey every year.

Why is M&E Important?

- **Management perspective**

- **Oversight and Accountability**

- Decisions about future funding based on the results
 - Assure public and stakeholders that money is spent appropriately
 - Ensure staff or contractor accountability
 - Need to know whether the program had the desired effects

- **Learning**

- Enhance learning among stakeholders (i.e., donors, government, implementers and industry). Information from M&E provides the basis for making decisions and taking action.

- **Project/program perspective**

- **Design and Implementation**

- Feed back the results and improve the project/program
 - Need to learn and make changes to projects and programs based on facts

Review of the M&E Process. Characteristics of Monitoring and Evaluation (Sources: UNICEF, and WFP)

Monitoring	Evaluation
Continuous	Periodic: at important milestones such as the mid-term of program implementation; at the end or a substantial period after program conclusion
Keeps track; oversight; analyses and documents progress	In-depth analysis; Compares planned with actual achievements
Focuses on inputs, activities, outputs, implementation processes, continued relevance, likely results at outcome level	Focuses on outputs in relation to inputs; results in relation to cost; processes used to achieve results; overall relevance; impact; and sustainability

Review of the M&E Process. Characteristics of Monitoring and Evaluation (Sources: UNICEF, and WFP)

Monitoring	Evaluation
Answers what activities were implemented and results achieved	Answers why and how results were achieved. Contributes to building theories and models for change
Alerts managers to problems and provides options for corrective actions	Provides managers with strategy and policy options
Self-assessment by program managers, supervisors, community stakeholders, and donors	Internal and/or external analysis by program managers, supervisors, community stakeholders, donors, and/or external evaluators

Complementary Roles of Monitoring and Evaluation

Monitoring	Evaluation
<ul style="list-style-type: none">• Clarifies program objectives	<ul style="list-style-type: none">• Analyzes why intended results were or were not achieved
<ul style="list-style-type: none">• Links activities and their resources to objectives	<ul style="list-style-type: none">• Assesses specific causal contributions of activities to results
<ul style="list-style-type: none">• Translates objectives into performance indicators and sets targets	<ul style="list-style-type: none">• Examines implementation process
<ul style="list-style-type: none">• Routinely collects data on these indicators, compares actual results with targets	<ul style="list-style-type: none">• Explores unintended results
<ul style="list-style-type: none">• Reports progress to managers and alerts them to problems	<ul style="list-style-type: none">• Provides lessons, highlights significant accomplishment or program potential, and offers recommendations for Improvement

Discussion:

Industry Perspective on Monitoring and Evaluation.
Why M&E is important for them?