

Module 3

Results Based Monitoring

Changes in Evaluation

- Moved from traditional implementation focused evaluation models to results based evaluation models.
- Process emphasis on individual projects, or a partial approach, to a more comprehensive approach

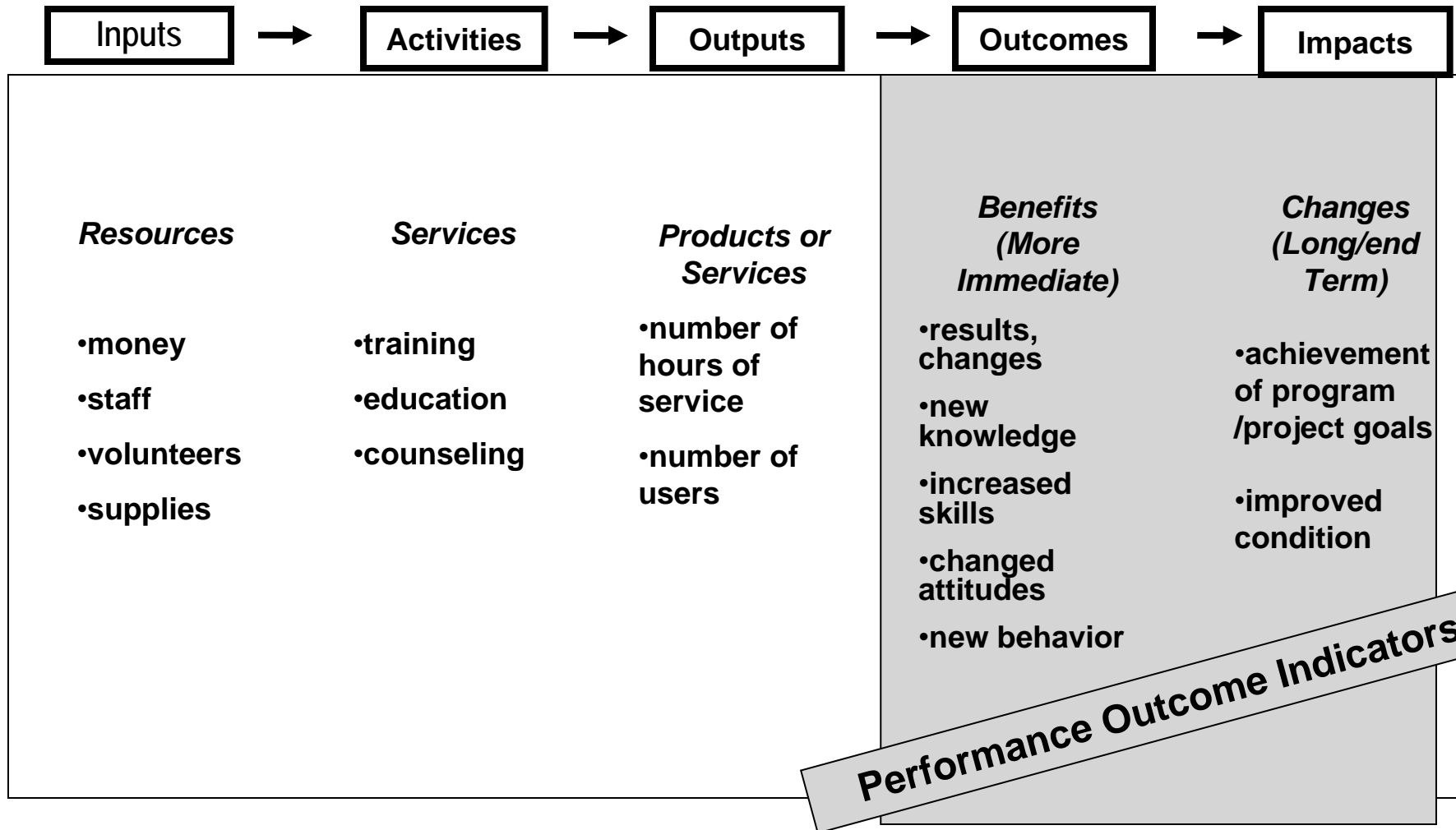
Results-based Monitoring

- Results Based Monitoring is simultaneously (i) a management approach and (ii) a set of tools for strategic planning, monitoring and evaluating performance, reporting, and organizational improvement and learning.
- Results management improves organizational performance by applying traditional tools such as strategic planning, results frameworks, monitoring, and program evaluation in the modern context of decentralization, networking, flexibility, participatory processes, and accountability.
- The core of results management is its focus on desired outcomes. Outcomes are the intended, intermediate effects of an intervention's outputs. At the sectoral or country level, they are shaped by many factors, with any particular project or program making only a marginal contribution.

Results-Based Monitoring

- Results-based monitoring is a continuous process of collecting and analyzing information to compare how well a project, program, or policy is being implemented against expected results
- Results-based evaluation is an assessment of a planned, ongoing, or completed intervention to determine its relevance, efficiency, effectiveness, impact, and sustainability. The intention is to provide information that is credible and useful, enabling incorporation of lessons learned into the decision making process of recipients

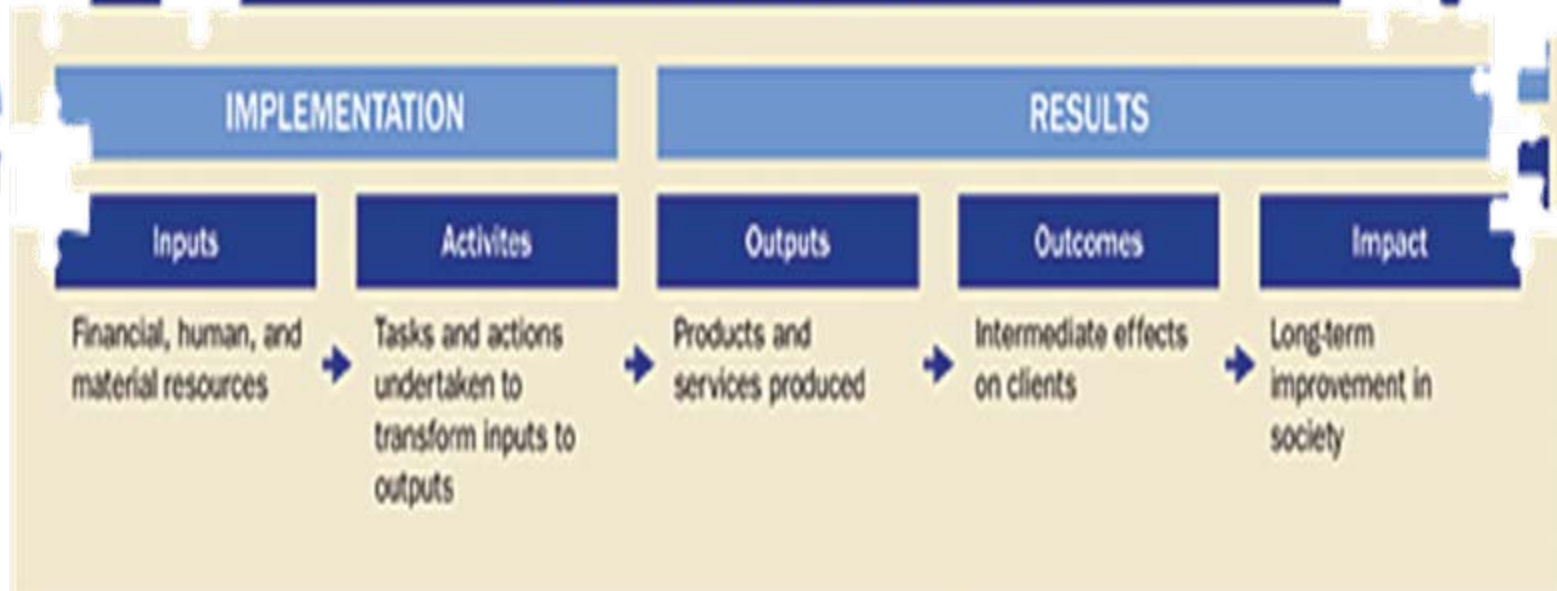
Results-based Framework



RBM - A Logical Approach to Cause and Effect

- At the core of “results thinking” is the concept of the results chain, a schematic illustration of the intended causal relationships among various elements over time. The results chain clearly shows the plausible, causal relationships among its elements, while also clarifying the various cyclical processes and feedback loops planners need to be aware of. The basic rationale is to plan from right to left by initially focusing on impacts and intended outcomes and then identifying the outputs, activities, and inputs required to achieve them. Tracking performance then goes from left to right, feeding information back to inputs and activities to make necessary adjustments and improvements thus leading to better results.

Box 1: The Results Chain

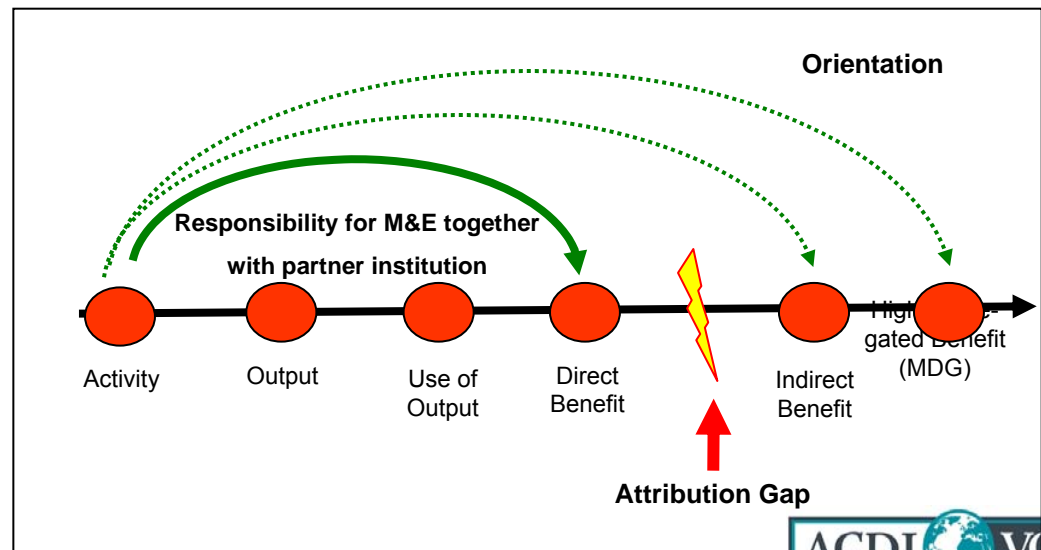


Impact Oriented, which means...

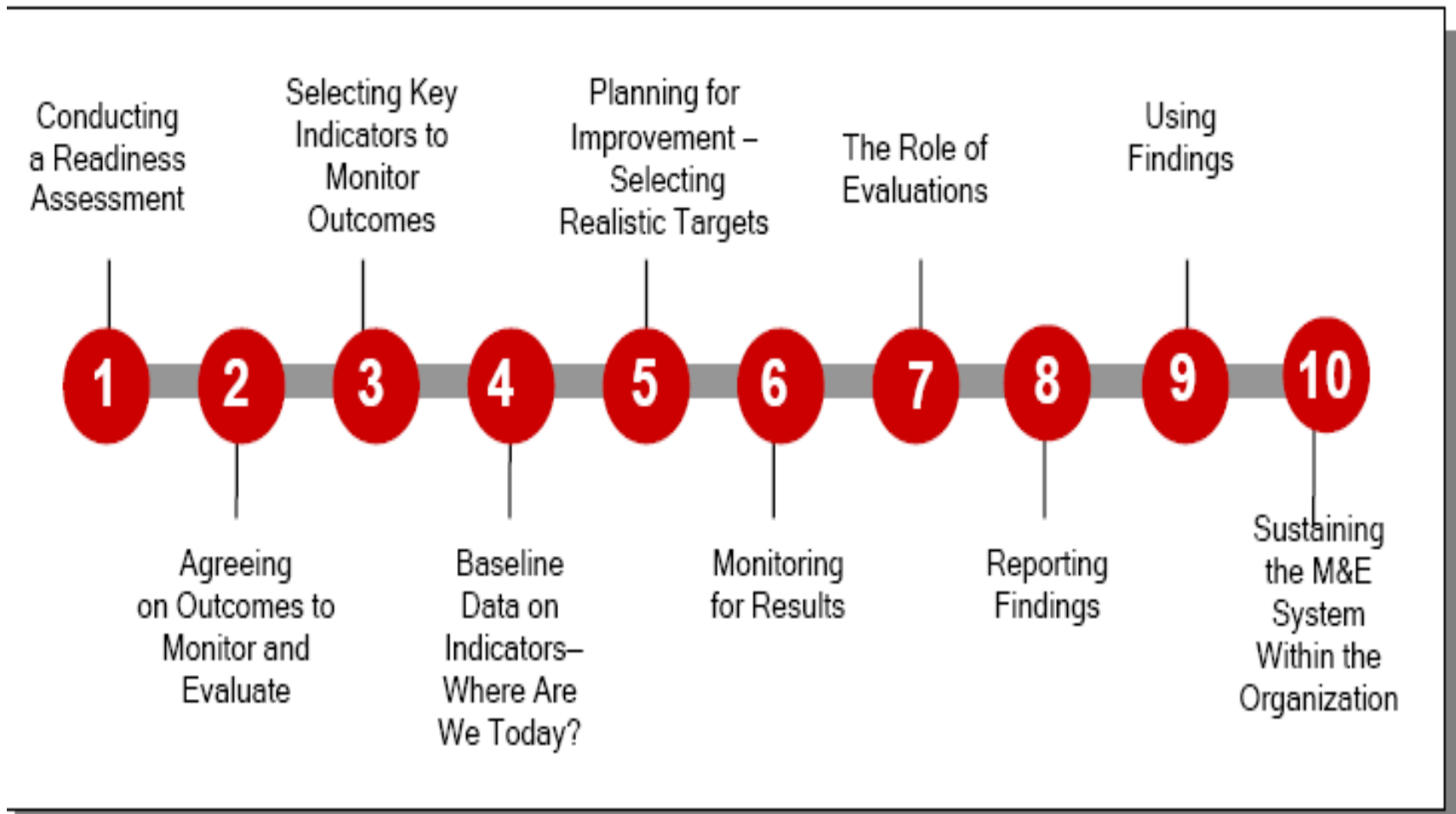
- It is less important to prove what was done than to prove the benefit for the beneficiaries
- Successful implementation is measured by the degree of fulfilment of the objectives
- M&E designed in accordance with evaluation principles (effectiveness, relevance, impact, efficiency, sustainability)
- Principles of “Managing for Development Results” are applied

Elements of the M&E system

- Impact chains
- Indicators
- M&E-Matrix



Ten steps to designing, building and sustaining a Results based monitoring



Why Building a Results-Based Monitoring System?

- It is quite common for RBM to be introduced in response to external pressures on the organization.
- RBM requires a 'sense of crisis' and strong commitment/involvement by senior management.
- The design and implementation of RBM needs to be customized to the specific needs and circumstances of the organization.
- Learning by doing can be a very effective approach in the early stages of adopting RBM.
- The introduction of RBM requires a clear vision of what is to be achieved and a well articulated strategy for managing the change process.
- Developing a performance management and learning culture is essential. Resistance to change is to be expected and needs to be effectively managed. It is important that appropriate incentives are in place.

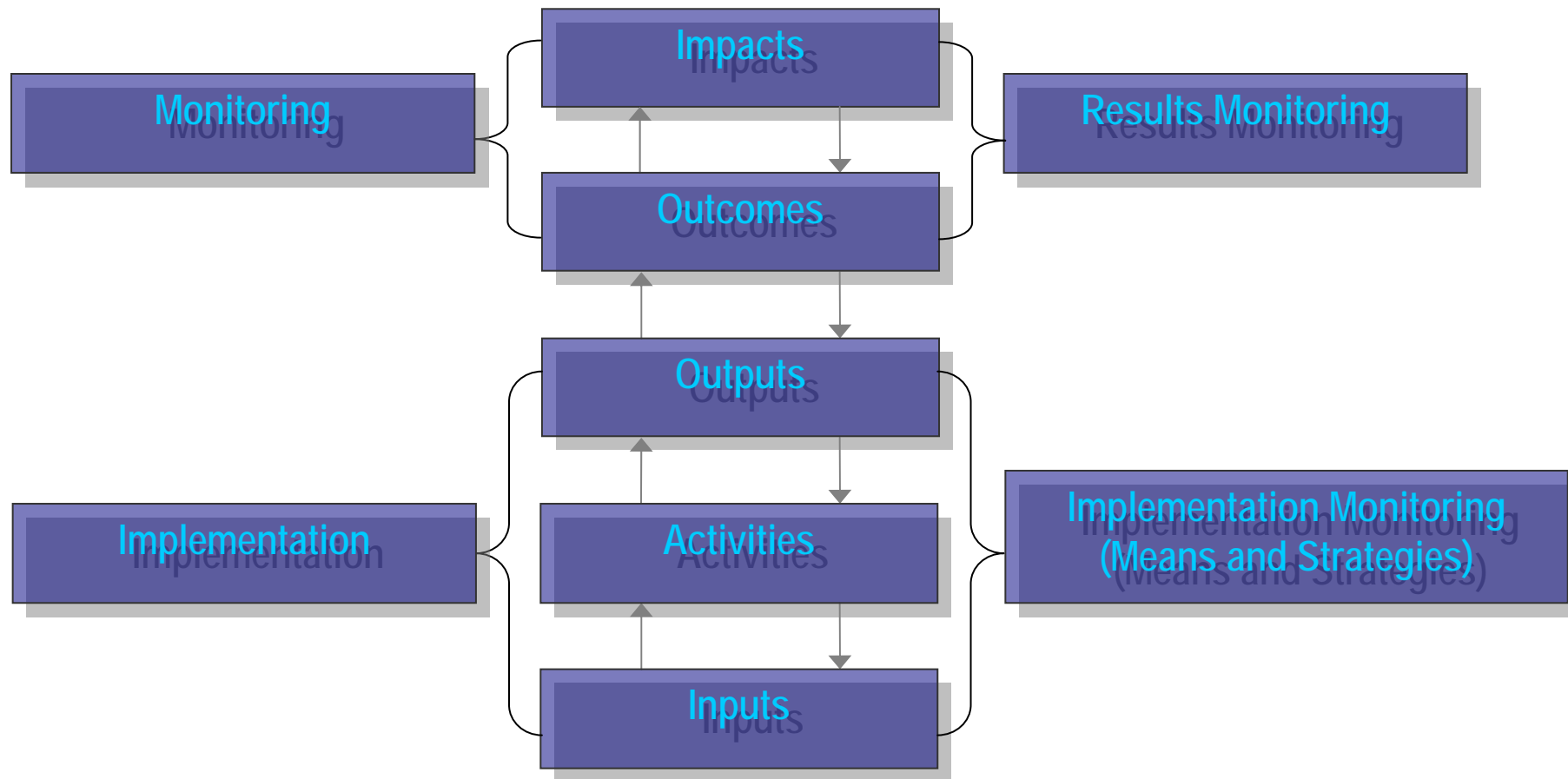
Why Building a Results-Based Monitoring System?

- The provision of adequate financial and human resources to support implementation is critical.
- Provide adequate training in RBM and supporting guides and tools.
- Management systems must be aligned with RBM in order to support rather than hinder its implementation.
- Performance measures should be aligned with accountability and decision-making authority and the organization's strategic framework.
- The provision of credible performance information is essential.
- The demonstrated use of performance information by senior management is critical to the success of RBM. Performance information must both be used and be seen by others to be used

Difference between Results-based Monitoring and Evaluation


- Monitoring is focused on tracking evidence of movement towards the achievement of specific, predetermined targets
- Evaluation takes a broader view of an intervention, considering not only progress toward stated goals, but the logic of the initiative, as well as its consequences
- Both are needed to be able to better manage policies, programs, and projects

Program Logic Model to Achieve Results — Outcomes and Impact



The Impact Chain


...helps us to understand how impacts are achieved and how they can be measured



4	Direct benefit	What is the direct benefit resulting from these changes? Where does it occur?
3	Use of output	What do the users do with the output? What is different in their professional behaviour?
	Changes due to use of output	What changes because the users use the output? Who behaves differently and how?

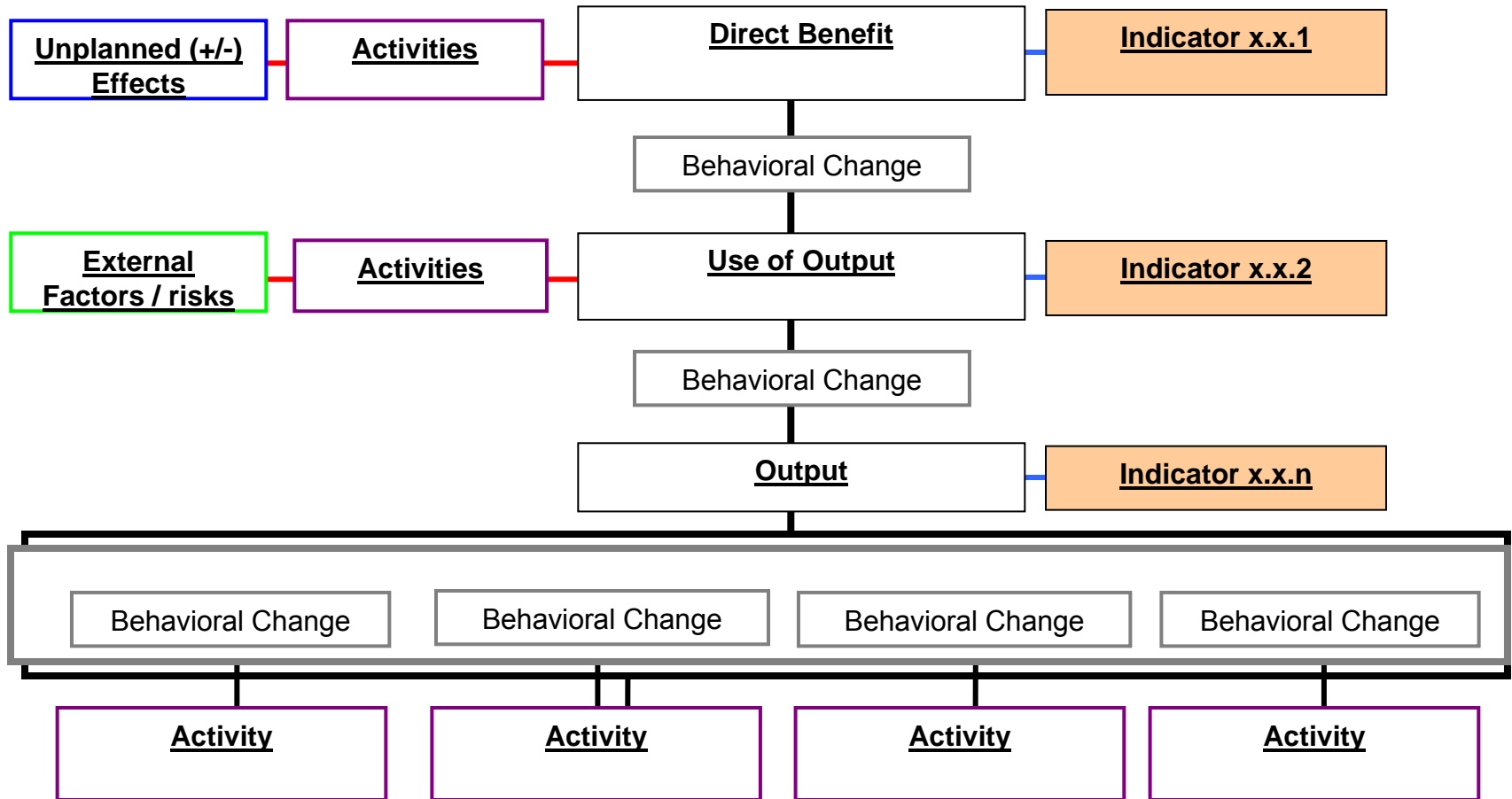
The Impact Chain

...helps us to understand how impacts are achieved and how they can be measured



2	Output	What does the program-team produce? What is its output?
	Changes due to availability of output?	Who does what because the output is available? What is the relevant change?
	Changes due to activities of program team	Who does what differently and how because the program team has done this?
1	Activities done by program team	What does the program team do? With whom and for whom?

Measuring Results (WFP)



Recommendations for Results-based Monitoring

- Key elements are indicators defined in project documents (contracts), important risks, information which indicate probability of achieving the objective, unintended results and co-operation with partners and other actors.
- Simple, clear, maximum of rapid information, transparent to all actors involved.
- Indicators as few as possible, only those which are required for management or stakeholder reporting. They should be followed-up in line with frequency of progress reports.
- Determine dates when information on results is required. (Progress reports, planning workshop, internal or external evaluations)
- Combine monitoring activities at program level (baseline studies for initial values, surveys)
- Include stakeholders!

Recommendations for Results-based Monitoring

- **Participation.** Buy-in and support can only be achieved by actively involving staff and stakeholders. People are inclined to resist any approach that is perceived as being imposed from above. However, when clients, implementers, and staff are actively involved in developing and implementing a results approach, they become owners of the process. Thus, participation plays a key role in ensuring relevance and responsiveness; defining realistic expected results; accurately assessing risks and assumptions; monitoring progress towards expected results; reporting on performance; and assessing lessons learned and providing input into management decisions.
- **Organizations are accountable to their stakeholders,** and stakeholders should be involved in making the transition to results management. Thus, in both public and private sector organizations, successful results management requires building and sustaining transparent and accountable strategic partnerships.

Challenges to Effective RBM

- **Organizational culture.** Making the transition to results management requires more than simply adopting new systems or processes. Results management requires the organization to create and sustain an organizational culture focused on results. This can be challenging in organizations that have traditionally emphasized inputs and processes rather than outputs and outcomes.
- **Resistance to change.** The difficult but absolutely necessary transition from managing for outputs to managing for outcomes (results) is likely to encounter resistance. Many desired development results are likely to be incremental and difficult to measure.
- **Tendency to make things complicated.** One common mistake is to design overly complicated results frameworks with large numbers of indicators and targets.

Challenges to Effective RBM

- **Inadequate staff incentives.** In most traditional public sector organizations, staff incentives revolve around implementing business processes and ensuring that the organization transforms certain inputs into desired outputs. In international financial institutions, staff incentives are traditionally oriented around processing projects and ensuring that country “pipelines” are full. However, these incentives are not likely to motivate staff to make the transition to results management, a transition that requires a fundamentally different way of thinking.
- **Insufficient training and organizational support.** In many cases, organizations develop elaborate results management systems without paying sufficient attention to the human dimension. The concepts of results management are often new to staff; they represent an altogether unfamiliar way of doing business. If they are not fully supported with sustainable capacity development programs and reference materials, implementation will be jeopardized.

Exercise 3.1

- Which of the following describes the main difference between results-based M & E and traditional M & E?
 - a. Traditional M & E is focused on of specific, predetermined targets; results-based M & E takes a broader view of an intervention.
 - b. Traditional M & E helps with early identification of promising interventions; results-based M & E focuses on analysis of interventions.
 - c. Traditional M & E combines monitoring implementation with the assessment of results; results-based M & E focuses on specific, predetermined targets.
 - d. Traditional M & E focuses on inputs, activities, and outputs; results-base M & E combines monitoring implementation with the assessment of results.

Module 4

Measure and Indicators

Basic Characteristics of Outcomes

- Outcome definitions should be clear and specific.
- Possible important negative effects should be included in the definitions.
- Longer term impacts should be identified but are not likely to be used as performance indicators since they may occur too far in the future for practical measurement.

Translating Outcome *Indicators* into Outcome *Measures*

Review of Definitions

- A concept is a general construct or idea.
- An indicator is a word or phrase which “indicates” or represents the level or extent of some phenomenon of interest. It represents the quality of the phenomenon for which it is trying to measure. An indicator has a direction; it increases or decreases.
- A measure expresses quantitatively/qualitatively how data or information are collected to assign a value to an indicator.

Indicators and Measures

General



Specific

- Concept - Health
- Indicator - Body Temperature
- Measure - Degree in Celsius (C)

Criteria for Selecting Measures

1. Measurable / Collectible
2. Relevant
3. Valid
4. Reliable
5. Cost and Burden
6. Privacy / Confidentiality.
7. Timely
8. Comprehensive

Alert!

Every word in the measure needs to be defined fully !!

For example:

"Percent of citizens whose health improved"

Who in the population is covered?

Which health problems will be included?

How much improvement is needed?

Define "Small"

Hagar the Horrible by Chris Browne



Identifying Measures

- ✓ Usually, more than one measure will be needed for each program or project
- ✓ Measures frequently start with “number of...” or “percent of...”
- ✓ In some cases, the measure might be expressed as “Something particularly important has been accomplished.”
- ✓ Measures can be expressed either as something to be increased or something to be decreased.

An outcome measure is not a real measure until a practical data collection procedure has been identified!

Role of Indicators

- Indicators provide the performance standard (benchmark) against which the target achievement is measured
- “A quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor” (OECD Development Assistance Committee, DAC)

Characteristics of Good Indicators

- Indicators should be
 - *Specific*: measure what is supposed to measure
 - *Measurable* (whenever possible)
 - *Available* at acceptable cost
 - *Relevant* with regard to the objective concerned
 - *Time* bound

Indicators qualities

Indicator Development

“CREAM”:

- Clear
- Relevant
- Economic
- Adequate
- Monitorable

Desirable Properties of Indicators

Criterion	Definition
Unambiguity	Indicators must be precisely defined so that their measurement and interpretation is unambiguous.
Consistency	Indicators should give objective not subjective data, that is, they should be independent of the person who is collecting the data.
Specificity	The indicators should reflect those things that the project intends to change, avoiding measures that are largely subject to external influences
Sensitivity	Indicators should be sensitive to project-induced changes.
Ease of collection	It must be feasible and relatively inexpensive to collect chosen indicators within a reasonable time frame.

Source: Casley and Kumar, Project Monitoring and Evaluation in Agriculture, Johns Hopkins University Press, Baltimore, 1987.

Output and Result indicators

- Additional result indicators should be chosen to reflect all objectives related to chosen measures, particularly where these correspond to national priorities.
- Additional output indicators should be chosen to reflect all measure activities.
- Indicators and quantification may be completed by external experts, within the framework of the ex-ante evaluation and ongoing evaluation activity.

Using Performance Outcome Indicators Effectively

Key Uses:

- To enhance accountability
- To improve program or public services
- To motivate personnel to improve results
- To identify “good practices”
- To help develop and justify budgets
- To provide data for economic analyses and in-depth evaluations

Definitions of impacts

- Impacts = Long-term effects produced by a development intervention
 - Include primary and secondary effects
 - Can be directly or indirectly induced
 - Can be intended or unintended
 - Can be positive or negative
 - =>mitigate negative side effects by countervailing measures

Impact Indicators

- In general, impact indicators should be expressed (i) in absolute amounts (to estimate cost-effectiveness) and (ii) in relation to those beneficiaries affected by the intervention directly and, where appropriate, to those affected indirectly.

Impact Indicators

- There is a specific focus on quantification of impact in the rural development regulation, particularly in relation to the baseline situation. However, in many cases, although it is possible to assess the baseline situation and impact at the level of the direct and indirect beneficiaries of the support, it is often more difficult to place this in the context of the more general baseline trends at the level of the program area. This may be linked to as highlighted above to the relatively small scale of the intervention or lack of appropriate baseline data.

Impact Indicators

- In a first step, impact should be estimated at the level of direct and indirect beneficiaries by program evaluator on the basis of output and result indicators, survey data and benchmark data and coefficients from similar projects and past experience and evaluations (for calculation of double counting, deadweight, displacement and multiplier effects). This should be cross-checked against the counterfactual situation and contextual trends in program area.

Impact Indicators

- In a second stage, the evaluator should make an estimation of the contribution to general trend at program area level (baseline trend), where feasible/statistically significant compared to other factors. Where this is not possible the evaluator should make a qualitative assessment in general terms.

Summing up: Indicators

Good indicators are a

- Direct measure of results
- Objective
- Adequate
- Disaggregated
- Practical
- Reliable

Direct vs. Proxy Indicator

- Indicators are direct measure of Strategic Objectives or Intermediate Results
- If direct indicators are not feasible, use credible proxy measures for example IR: Increased transfer of environmentally sustainable farming practices

Direct Indicator:

- Number/percentage of farmers using x number of specific environmentally sustainable practices;

Proxy Indicator:

- Number/percentage of farmers trained to use x number of specific environmentally sustainable practices; or
- Amount of sales of equipment/materials required for use of specific environmentally sustainable practices

Criteria for the selection of indicators

- Indicators should be developed in a participatory fashion, including all stakeholders wherever possible.
- Indicators must be relevant to the needs of the user, and at a level that the user can understand.
- All indicators should be sex-disaggregated.
- Both qualitative and quantitative indicators should be used.
- Indicators should be easy to use and understand.
- Indicators must be clearly defined.
- The number chosen should be small. A rule of thumb is that up to six indicators can be chosen for each type of indicator (input - outcome).
- Indicators should be technically sound.
- Indicators should measure trends over time.
- The ultimate focus should be on outcome indicators.

How to measure change before and after or with and without activity

- When planning a baseline study the delivery organization needs to determine both what change needs to be assessed and what sort of comparison(s) will need to be made as part of that assessment of change.

How to measure change before and after or with and without activity

- There are two common ways to measure change
 - ‘with and without’ activity – this seeks to mimic the use of an experimental control, and compares change in the activity location to change in a similar location where the activity has not been implemented, and
 - ‘before and after’ activity – this measures change over time in the activity location alone.

How to measure change

With and without activity	Before and after activity
<p>Advantages</p> <ul style="list-style-type: none">• Increases the likelihood of identifying causal factors in change.• Allows a clearer measure of the degree of change.	<p>Advantages</p> <ul style="list-style-type: none">• Need to collect data from only activity area, so demands fewer resources.• Allows a combination of monitoring and evaluation functions.• Provides a stronger motivation for participatory monitoring and evaluation

How to measure change

With and without activity	Before and after activity
<p>Disadvantages</p> <ul style="list-style-type: none"> • Difficult to find truly comparable areas in terms of ecology, resources and capacities. • Can be compromised by the activities of other donors, local government or community organizations in the 'without' location. • Requires more advanced statistical skills and software. • Is more expensive. • Tends to give information that is needed in only impact evaluations, not monitoring. • Poses an ethical problem if 'without' groups are used to measure change and impact but are excluded from development opportunities 	<p>Disadvantages</p> <ul style="list-style-type: none"> • More difficult to identify causal factors in change, especially when other activities are taking place in the same location. • Assumes that change will be a linear progression.

Smallholder Based Cocoa Projects In Se Asia - Discussion

- Input Indicators
- Output Indicators
- Outcome Indicators
- Impact Indicators

Discussion - How do we measure success?

1. To what extent the final objectives have been achieved?
2. What still needs to be done (with priorities) to improve the current situation?
3. To what extent have we generated change of behavior, skills, knowledge, attitudes of beneficiaries (individuals) as a result of the programs' implementation? To what extent beneficiaries benefited from programs' activities?
4. Were there any gender-related, environmental and minority-related impacts resulting from our programs?
5. Could the desired impact have been better achieved otherwise?

Break Out Sessions

Workshop Activity – How do we measure success for Cocoa Projects?

- Present your M&E Plan and Develop a Conceptual Framework

Performance Management Plan

- A PMP is a performance management tool used by an Operating Unit and Strategic Objective (SO) team to help plan and manage the process of assessing and reporting progress towards achieving a Strategic Objective. It is a critical tool for *planning, managing, and documenting* how performance data is collected and used. A PMP serves to:
 - Define specific performance indicators for each SO and IR, determine baselines and set targets
 - Plan and manage the Annual Report data collection process to meet quality standards
 - Incorporate relevant data collection requirements into activities and obligation agreements
 - Plan potential related evaluative work to supplement Annual Report indicator data
 - Estimate costs related to data collection and plan how these will be financed
 - Communicate expectations to partner institutions responsible for producing the outputs intended to cause measurable changes in performance

Performance Management Plan

- **What is contained in a PMP?**
 - A PMP contains full documentation of the indicators used to track progress toward the Strategic Objective, their data sources, the quality of data available and responsibilities for collection and analysis of the data. There is no standard PMP format, however, you are encouraged to develop a comprehensive PMP that goes beyond the one-page matrix often encountered. Your PMP should help the team establish systems to monitor, evaluate, analyze, review, and report performance data. Agency guidance identifies required and recommended PMP elements.
- **When is a PMP prepared?**
 - You should begin planning for performance management early in the strategic planning process. ADS 201.3.7.6 provides that Operating Units must include a preliminary PMP when submitting a Strategic Plan or new Strategic Objective for approval. A complete PMP is required within one year of approving a Strategic Plan or new Strategic Objective. The PMP may be reviewed and approved by the Operating Unit director. You should review and update your PMP at least annually as part of the Portfolio Review and Annual Report preparation
- **Resources – PMP Toolkit**
 - <http://evalweb.usaid.gov/resources/PMPToolkitV1141803.pdf>

Workshop Activity – How do we measure success for Cocoa Projects?

Indicator	Definition and Unit of Measurement	Disaggregated by	Data Source(s)	Data Collection Method(s)	Schedule/Frequency of Collection	Baseline	Targets by Year (Cumulative)		
							FY08	FY09	FY10

Workshop Activity – How do we measure success for Cocoa Projects?

Present your M&E Plan and Develop a Conceptual Framework

