

SESSION 1: OVERVIEW OF MONITORING AND EVALUATION

(i) What is Monitoring and Evaluation

- Monitoring and Evaluation is a process of continued gathering of information and its analysis, in order to determine whether progress is being made towards pre-specified goals and objectives, and highlight whether there are any unintended (positive or negative) effects from a project/programme and its activities.

(ii) What is a Monitoring?

- Monitoring is a continuous process of collecting, analyzing, documenting, and reporting information on progress to achieve set project objectives. It helps identify trends and patterns, adapt strategies and inform decisions for project or programme management.

(iii) What is Evaluation?

- Evaluation is a periodic assessment, as systematic and objective as possible, of an on-going or completed project, programme or policy, its design, implementation and results. It involves gathering, analysing, interpreting and reporting information based on credible data. The aim is to determine the relevance and fulfilment of objectives, developmental efficiency, effectiveness, impact and sustainability.

(iv) Purpose/Importance of Monitoring and Evaluation

Timely and reliable M&E provides information to:

- *Support project/programme implementation* with accurate, evidence-based reporting that informs management and decision-making to guide and improve project/programme performance.
- *Contribute to organizational learning and knowledge sharing* by reflecting upon and sharing experiences and lessons.
- *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 stakeholder requirements
- *Provide opportunities for stakeholder feedback*.
- *Promote and celebrate project/program work* by highlighting accomplishments and achievements, building morale and contributing to resource mobilization.
- *Strategic management* in provision of information to inform setting and adjustment of objectives and strategies.
- *Build the capacity, self-reliance and confidence stakeholders*, especially beneficiaries and implementing staff and partners to effectively initiate and implement development initiatives.

v) Characteristics of monitoring and evaluation

Monitoring tracks changes in program performance or key outcomes over time. It has the following characteristics:

- Conducted continuously
- Keeps track and maintains oversight
- Documents and analyzes progress against planned program activities
- Focuses on program inputs, activities and outputs
- Looks at processes of program implementation
- Considers program results at output level
- Considers continued relevance of program activities to resolving the health problem
- Reports on program activities that have been implemented
- Reports on immediate results that have been achieved

Evaluation is a systematic approach to attribute changes in specific outcomes to program activities. It has the following characteristics:

- Conducted at important program milestones

- Provides in-depth analysis
- Compares planned with actual achievements
- Looks at processes used to achieve results
- Considers results at outcome level and in relation to cost
- Considers overall relevance of program activities for resolving health problems
- References implemented activities
- Reports on how and why results were achieved
- Contributes to building theories and models for change
- Attributes program inputs and outputs to observed changes in program outcomes and/or impact

(v) **Key benefits of Monitoring and Evaluation**

- Provide regular feedback on project performance and show any need for ‘mid-course’ corrections
- Identify problems early and propose solutions
- Monitor access to project services and outcomes by the target population;
- Evaluate achievement of project objectives, enabling the tracking of progress towards achievement of the desired goals
- Incorporate stakeholder views and promote participation, ownership and accountability
- Improve project and programme design through feedback provided from baseline, mid-term, terminal and ex-post evaluations
- Inform and influence organizations through analysis of the outcomes and impact of interventions, and the strengths and weaknesses of their implementation, enabling development of a knowledge base of the types of interventions that are successful (i.e. what works, what does not and why).
- Provide the evidence basis for building consensus between stakeholders

SESSIONS 2 & 3 SELECTING INDICATORS, BASELINES AND TARGETS

- The indicator:** “An indicator is defined as a quantitative measurement of an objective to be achieved, a resource mobilised, an output accomplished, an effect obtained or a context variable (economic, social or environmental)”. precise information needed to assess whether intended changes have occurred. Indicators can be either quantitative (numeric) or qualitative (descriptive observations). Indicators are typically taken directly from the logframe, but should be checked in the process to ensure they are SMART (specific, measurable, achievable, relevant and time-bound).
- The Indicator definition-** key terms in the indicator that need further detail for precise and reliable measurement.
- The methods/sources-** identifies sources of information and data collection methods and tools, such as the use of secondary data, regular monitoring or periodic evaluation, baseline or endline surveys, and interviews.
- The frequency/schedules -**how often the data for each indicator will be collected, such as weekly, monthly, quarterly, annually, etc.
- The person(s) responsible-** lists the people responsible and accountable for the data collection and analysis, e.g. community volunteers, field staff, project/programme managers, local partner(s) and external consultants.
- The information use/audience -** identifies the primary use of the information and its intended audience. Some examples of information use for indicators include:
 - Monitoring project/programme implementation for decision-making
 - Evaluating impact to justify intervention
 - Identifying lessons for organizational learning and knowledge-sharing
 - Assessing compliance with donor or legal requirements
 - Reporting to senior management, policy-makers or donors for strategic planning
 - Accountability to beneficiaries, donors and partners
 - Advocacy and resource mobilization.
- Types of Indicators**

- ✓ **Context indicators** which measure an economic, social or environmental variable concerning an entire region, sector, or group and the Project location, as well as relevant national and regional policies and programs.. The situation before the project starts, the (baseline) data, primarily from official statistics.
- ✓ **Input indicators** include indicators that measure the human and financial resources, physical facilities, equipment and supplies that enable implementation of a program
- ✓ **Process indicators** reflect whether a program is being carried out as planned and how well program activities are being carried out.
- ✓ **Output indicators** which relate to activities, measured in physical or monetary units /results of program efforts (inputs and processes/activities) at the program level.
- ✓ **Outcome indicators** measure the program’s level of success in improving service accessibility, utilization or quality.
- ✓ **Result indicators**- direct and immediate effect arising from the project activities that provide information on changes of the direct project beneficiaries.
- ✓ **Impact indicators** refer to the the long-term, cumulative effects of programs over time, beyond the immediate and direct effects on beneficiaries
- ✓ **Exogenous indicators** are those that cover factors outside the control of the project but which might affect its outcome.
- ✓ **Proxy indicators** – an indirect way to measure the subject of interest

h) Characteristics of Good Indicators.

- a) **Specific** – focused and clear
 - b) **Measurable** - quantifiable and reflecting change
 - c) **Attainable** - reasonable in scope and achievable within set time-frame
 - d) **Relevant** - pertinent to the review of performance
 - e) **Time-Bound/Trackable** - progress can be charted chronologically
- Also be **CREAM**: **C**lear, **R**elevant, **E**conomical, **A**dequate and **M**onitor-able.

i) Baselines and Targets

- A baseline is qualitative or quantitative information that provides data at the beginning of, or just prior to, the implementation of an intervention.
- Targets are established for each indicator by starting from the baseline level, and by including the desired level of improvement in that indicator

SESSION 4: FRAMEWORKS FOR EVALUATION - THE LOGICAL FRAMEWORK APPROACH (LFA)

Four types of frameworks dominate the M&E field:

- a) **Conceptual frameworks** are also known as theoretical or causal frameworks.
- b) **Results-based frameworks** are also known as strategic frameworks and serve as a management tool with an emphasis on results. The purpose of results frameworks is to increase focus, select strategies, and allocate resources accordingly.

Impact	The higher-order objective to which a development intervention is intended to contribute.
Outcome	The likely or achieved short-term and medium-term effects of an intervention’s outputs.
Output	The products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes.
Activity	Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs.
Inputs	The financial, human, and material resources used for the development intervention.

- c) **Logical frameworks** are also known as LogFRAMEs and are commonly used to help set clear program objectives and define indicators of success. They also outline the critical assumptions on which a project is based, similar to the results framework.
- d) **Logic models** are also known as M&E frameworks are commonly used to present a clear plan for the use of resources to meet the desired goals and objectives. They are a useful tool for presenting programmatic and evaluation components.

The choice of a particular type of framework—whether a conceptual framework, results framework, logical framework or logic model—depends on the program’s specific needs, the M&E team’s preferences and donor requirements.

In particular, the LFA is a systematic planning procedure for complete project cycle management, a participatory Planning, Monitoring & Evaluation tool;

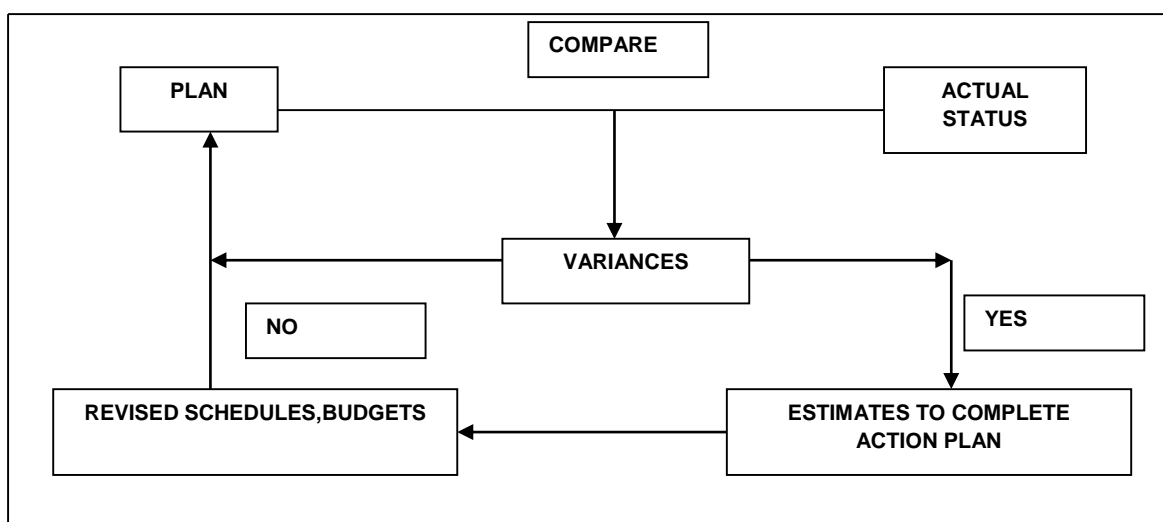
- ✓ A tool for planning a logical set of interventions;
- ✓ A tool for appraising a Programme document;
- ✓ A concise summary of the Programme;
- ✓ A tool for monitoring progress made with regard to delivery of outputs and activities;
- ✓ A tool for evaluating impact of Programme outputs, e.g. progress in achieving purpose and goal.

Narrative summary <i>A snapshot of the different levels of the project objectives— known as the “hierarchy of objectives”.</i>	Objectively verifiable indicators (OVI) ~ <i>how will we know we've been successful?</i>	Means of verification (MOV) - <i>how will we check our reported results?</i>	Assumptions/Risks- <i>what assumptions underlie the structure of our project and what is the risk they will not prevail?</i>
Goal (Impact)- <i>Longer-term effects/General or overall objective</i>			
Purpose- ~ <i>why are we doing this? direct and immediate effects/objectives/Outcomes/Results</i>			
Outputs ~ <i>what are the deliverables? – goods and services produced/operational objectives</i>			
Activities- <i>what tasks will we undertake to deliver the outputs?</i>	Inputs <i>By what means do we carry out the activities</i>	Cost <i>What does it cost</i>	
			Pre-conditions <i>What needs to be fulfilled before activities can start</i>

SESSION 5a: MONITORING CRITERIA

a) Project monitoring & control cycle.

To achieve effective control over project implementation, it is necessary to assess the progress from time at regular intervals in terms of physical completion of scheduled activities, actual cost incurred in performing those activities and achievement of desired performance levels by comparing the status with the plans to find deviations. This assessment process is known as ‘monitoring’.



Key elements of project monitoring and control

- ✓ Project Status reporting
- ✓ Conducting a project review with stakeholders
- ✓ Controlling schedule variances
- ✓ Controlling scope and change requests
- ✓ Controlling budget
- ✓ Tracking and mitigating risks

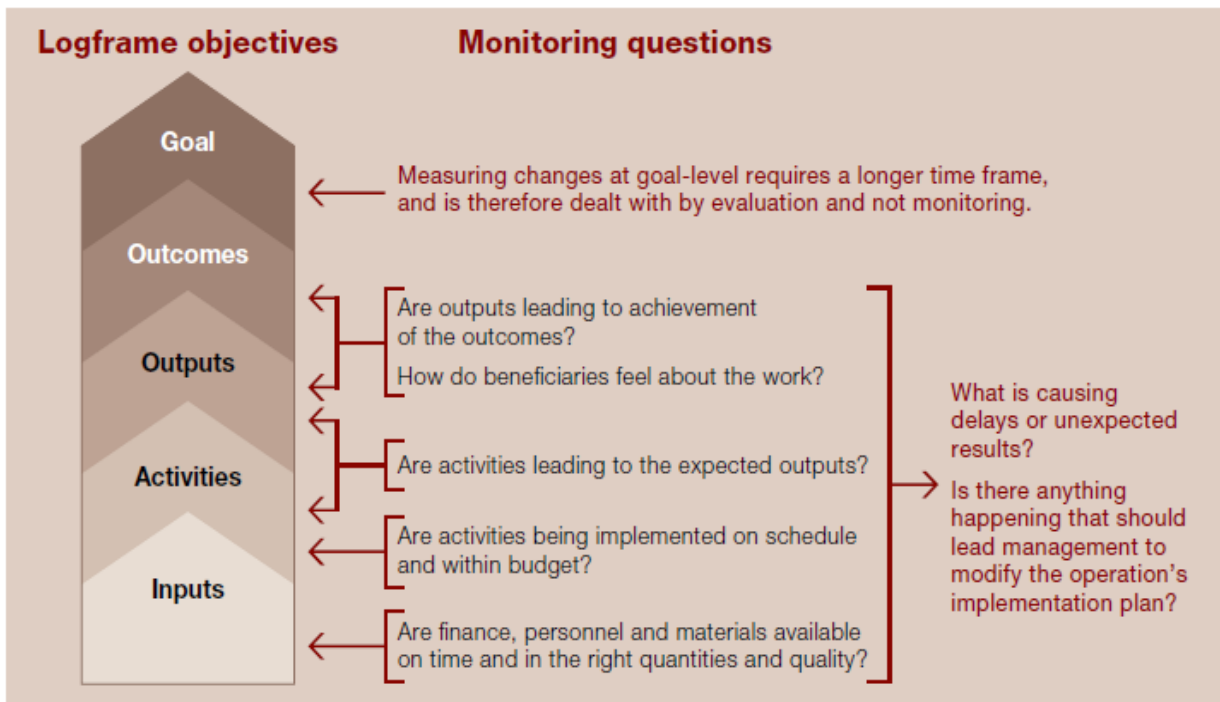
b) Types of monitoring

A project/programme usually monitors a variety of things according to its specific informational needs. These monitoring types often occur simultaneously as part of an overall monitoring system commonly found in a project/programme monitoring system.

TAB 1: Common types of monitoring

- **Results monitoring:** Tracks effects and impacts to determine if the project/programme is on target towards its intended results (inputs, activity, outputs, outcomes, impact, assumptions/risks monitoring) and whether there may be any unintended impact (positive or negative)
- **Process (activity) monitoring :** Tracks the use of inputs and resources, the progress of activities, how activities are delivered – the efficiency in time and resources and the delivery of outputs
- **Compliance monitoring:** Ensures compliance with, say, donor regulations and expected results, grant and contract requirements, local governmental regulations and laws, and ethical standards.
- **Context (situation) monitoring:** Tracks the setting in which the project/programme operates, especially as it affects identified risks and assumptions, and any unexpected considerations that may arise, including the larger political, institutional, funding, and policy context that affect the project/programme.
- **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.
- **Financial monitoring:** Accounts for costs by input and activity within predefined categories of expenditure, to 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.

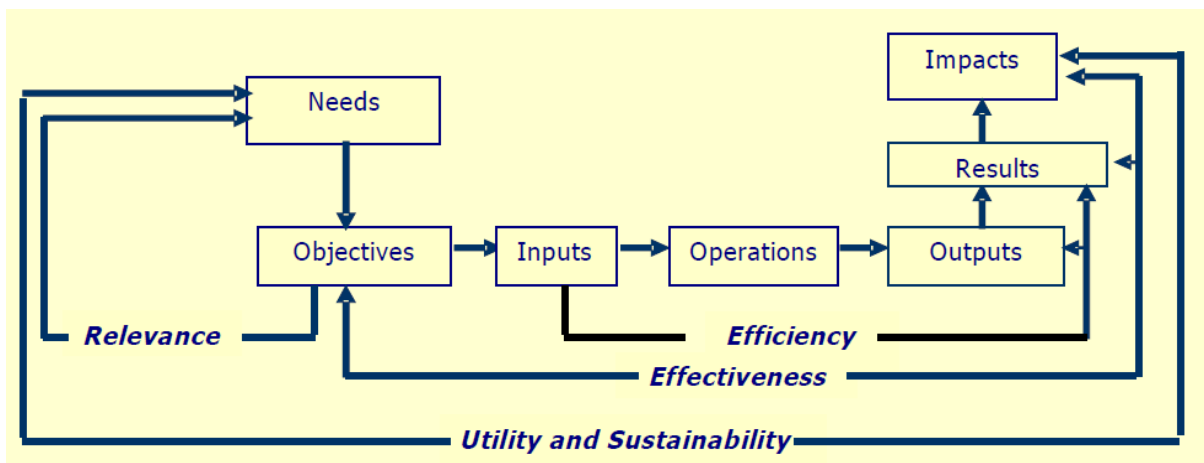
c) Monitoring Questions and the LogFrame



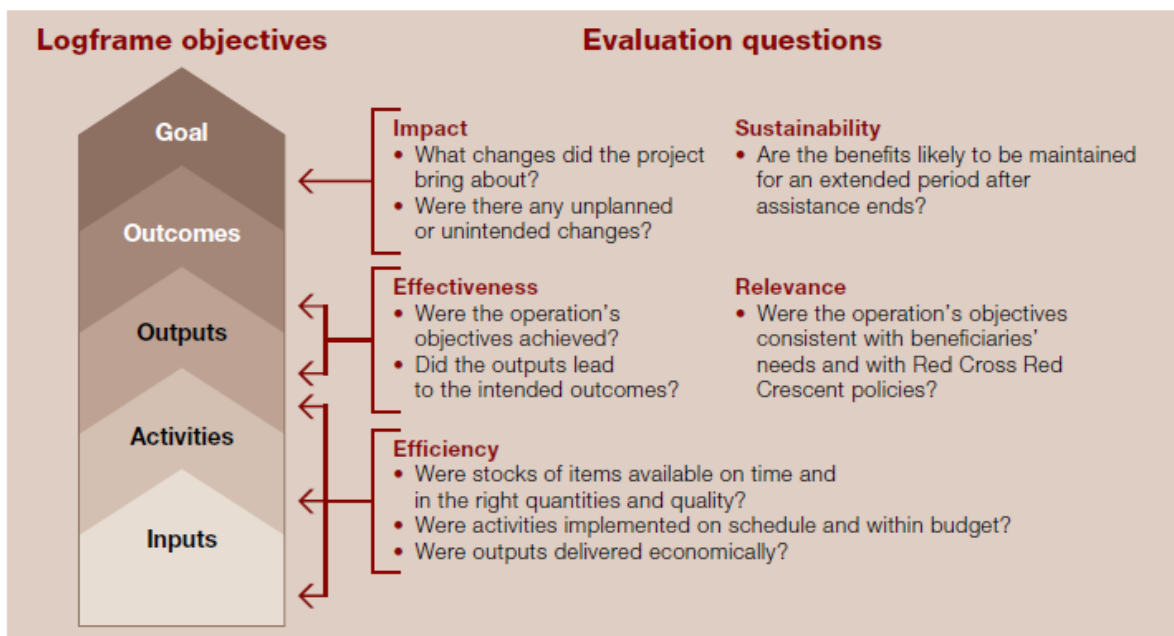
SESSION 5 b. EVALUATION CRITERIA FOR PROJECTS

a) Five Part Evaluation Criteria

- *Relevance* - Was/is the project a good idea given the situation to improve? Was the logic of the project correct? Why or Why Not? -The validity of the Overall Goal and Project Purpose at the evaluation stage.
- *Effectiveness* - Have the planned results been achieved? Why or Why Not? -The degree to which the Project Purpose has been achieved by the project Outputs.
- *Efficiency* - Have resources been used in the best possible way? Why or Why Not? -The productivity in project implementation. The degree to which Inputs have been converted into Outputs.
- *Impact* - To what extent has the project contributed towards its longer term goals? Why or Why Not? Have there been any unanticipated positive or negative consequences of the project? Why did they arise? -Positive and negative changes produced, directly or indirectly, as a result of the Implementation of the project.
- *Sustainability* - Can the outcomes be sustained after the project funding to ensure continued impacts? Why or Why Not? -The durability of the benefits and development effects produced by the project after its completion.



b) Evaluation Questions and the LogFrame



SESSION 6a. TYPES OF EVALUATION

Three ways of classifying:

- **When it is done** ~ Ex-ante evaluation; Formative evaluation; Summative – end of project, and Ex-Post evaluation.
- **Who is doing it** ~ External evaluation; Internal evaluation or self-assessment
- **What methodology or technicality is used**~ Real-time evaluations (RTEs); Meta-evaluations; Thematic evaluations; Cluster/sector evaluations; Impact evaluations

The details are as follows: -

- a) **Ex-ante evaluation:** Conducted before the implementation of a project as part of the planning. *Needs assessment* determines who needs the program, how great the need is, and what might work to meet the need. *Implementation(feasibility)evaluation* monitors the fidelity of the program or technology delivery, and whether or not the program is realistically feasible within the programmatic constraints
- b) **Formative evaluation:** Conducted during the implementation of the project. Used to determine the efficiency and effectiveness of the implementation process, to improve performance and assess compliance. Provides information to improve processes and learn lessons. *Process evaluation* investigates the process of delivering the program or technology, including alternative delivery procedures. *Outcome evaluations* investigate whether the program or technology caused demonstrable effects on specifically defined target outcomes. *Cost-effectiveness and cost-benefit analysis* address questions of efficiency by standardizing outcomes in terms of their dollar costs and values
- c) *Midterm evaluations* are formative in purpose and occur midway through implementation.
- d) **Summative evaluation:** Conducted at the end of the project to assess state of project implementation and achievements at the end of the project. Collate lessons on content and implementation process. Occur at the end of project/programme implementation to assess effectiveness and impact.
- e) **Ex-post evaluation:** Conducted after the project is completed. Used to assess sustainability of project effects, impacts. Identifies factors of success to inform other projects. Conducted sometime after implementation to assess long-term impact and sustainability.
- f) **External evaluation:** Initiated and controlled by the donor as part of contractual agreement. Conducted by independent people – who are not involved in implementation. Often guided by project staff
- g) **Internal or self-assessment:** Internally guided reflective processes. Initiated and controlled by the group for its own learning and improvement. Sometimes done by consultants who are outsiders to the project. Need to clarify ownership of information before the review starts
- h) *Real-time evaluations (RTEs):* are undertaken during project/programme implementation to provide immediate feedback for modifications to improve on-going implementation.
- i) *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.
- j) **Thematic evaluations:** focus on one theme, such as gender or environment, typically across a number of projects, programmes or the whole organization.
- k) **Cluster/sector evaluations:** focus on a set of related activities, projects or programmes, typically across sites and implemented by multiple organizations
- l) **Impact evaluations:** is broader and assesses the overall or net effects -- intended or unintended -- of the program or technology as a whole 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.

SESSION 6b: EVALUATION MODELS AND APPROACHES

- **Behavioral Objectives Approach.** -“Is the program, product, or process achieving its objectives?” Focuses on the degree to which the objectives of a program, product, or process have been achieved.
- **The Four-Level Model or Kirkpatrick Model** -“What impact did the training have on participants in terms of their reactions, learning, behavior, and organizational results?” Often used to evaluate training and development programs and focuses on four levels of training outcomes: reactions, learning, behavior, and results.
 - **Reaction** - Measures trainees’ valuable experience, feel good about the instructor, the topic, the material, its presentation, and the venue.
 - **Learning**- How much has their knowledge increased as a result of the training?
 - **Behavior**-trainees have changed their behavior, based on the training they received.
 - **Results**- good for business, good for the employees, or good for the bottom line.
- **Management Models**- “What management decisions are required concerning the program”. The evaluator’s job is to provide information to management to help them in making decisions about programs, products, etc. Daniel Stufflebeam’s *CIPP Model* has been very popular. CIPP stands for context evaluation, input evaluation, process evaluation, and product evaluation. Context evaluation includes examining and describing the context of the program you are evaluating, conducting a needs and goals assessment, determining the objectives of the program, and determining whether the proposed objectives will be sufficiently responsive to the identified needs. It helps in making *program planning decisions*. Input evaluation includes activities such as a description of the program inputs and resources, a comparison of how the program might perform compared to other programs, a prospective benefit/cost assessment (i.e., decide whether you think the benefits will outweigh the costs of the program, before the program is actually implemented), an evaluation of the proposed design of the program, and an examination of what alternative strategies and procedures for the program should be considered and recommended. Process evaluation includes examining how a program is being implemented, monitoring how the program is performing, auditing the program to make sure it is following required legal and ethical guidelines, and identifying defects in the procedural design or in the implementation of the program. Product evaluation includes determining and examining the general and specific anticipated and unanticipated outcomes of the program (i.e., which requires using impact or outcome assessment techniques).
- **Responsive Evaluation.** -“What does the program look like to different people?” - Calls for evaluators to be responsive to the information needs of various audiences or stakeholders.
- **Goal-Free Evaluation.** -“What are all the effects of the program, including any side effects?”-Focuses on the actual outcomes rather than the intended outcomes of a program. Thus, the evaluator is unaware of the program’s stated goals and objectives.
- **Adversary/Judicial Approaches.** “What are the arguments for and against the program?”- These Adopts the legal paradigm to program evaluation, where two teams of evaluators representing two views of the program’s effects argue their cases based on the evidence (data) collected. Then, a judge or a panel of judges decides which side has made a better case and makes a ruling.
- **Consumer-Oriented Approaches.** “Would an educated consumer choose this program or product?”- helps consumers to choose among competing programs or products.
- **Expertise/Accreditation Approaches.** “How would professionals rate this program?”- The accreditation model relies on expert opinion to determine the quality of programs. The purpose is to provide professional judgments of quality.
- **Utilization-Focused Evaluation.** “What are the information needs of stakeholders, and how will they use the findings?”- Evaluation done for and with specific, intended primary users for specific, intended uses. ” Assumes stakeholders will have a high degree of involvement in many, if not all, phases of the evaluation. The major question being addressed is,

- **Participatory/Collaborative Evaluation.** - “What are the information needs of those closest to the program?” - Engaging stakeholders in the evaluation process, so they may better understand evaluation and the program being evaluated and ultimately use the evaluation findings for decision-making purposes.
- **Empowerment Evaluation.** “What are the information needs to foster improvement and self-determination?”. Use of evaluation concepts, techniques, and findings to foster improvement and self-determination, a catalyst for learning in the workplace a social activity in which evaluation issues are constructed by and acted on by organization members
- **Organizational Learning.** “What are the information and learning needs of individuals, teams, and the organization in general?” ongoing and integrated into all work practices
- **Theory-Driven Evaluation.** - “How is the program supposed to work? What are the assumptions underlying the program’s development and implementation?” - Focuses on theoretical rather than methodological issues to use the “program’s rationale or theory as the basis of an evaluation to understand the program’s development and impact” using a plausible model of how the program is supposed to work.
- **Success Case Method.** “What is really happening?” - focuses on the practicalities of defining successful outcomes and success cases and uses some of the processes from theory-driven evaluation to determine the linkages, which may take the form of a logic model, an impact model, or a results map. Evaluators using this approach gather stories within the organization to determine what is happening and what is being achieved. The major question this approach asks is,

SESSION 7: THE EVALUATION PROCESS

Evaluation operates within multiple domains and serves a variety of functions at the same time. Moreover it is subject to budget, time and data constraints that may force the evaluator to sacrifice many of the basic principles of impact evaluation design. Before entering into the details of evaluation methods it is important for the reader to have a clear picture of the way an evaluation procedure works.

(i) The M&E Plan/strategy

A comprehensive planning document for all monitoring and evaluation activities within a program. This plan documents the key M&E questions to be addressed: what indicators will be collected, how, how often, from where, and why; baseline values, targets, and assumptions; how data are going to be analyzed/interpreted; and how/how often report will be developed and distributed.

Typically, the components of an M&E plan are:

- Establishing goals and objectives
- Setting the specific M&E questions
- Determining the activities to be implemented
- The methods and designs to be used for monitoring and evaluation
- The data to be collected
- The specific tools for data collection
- The required resources
- The responsible parties to implement specific components of the plan
- The expected results
- The proposed timeline

(ii) Monitoring And Evaluation Cycle

Step 1 – Identify the purpose and scope of the M&E system

- Formulating objectives
- Selecting Indicators
- Setting baselines and targets

Step 2 – Plan for data collection and management

- Major sources of data- secondary data, primary data-sample surveys, project output data, qualitative studies- PRA, mapping, KIIs, FGDs, observation, checklists, external assessments, participatory assessments
- planning for data collection - prepare data collection guidelines, pre-test data collection tools, train data collectors, address ethical issues

Step 3 – Plan for data analysis

Step 4 – Plan for information reporting and utilization

Step 5 – Plan for M&E human resources and capacity building

Step 6 – Prepare the M&E budget

(iii) Setting up an M&E system often involves the following aspects

- Assess the existing readiness and capacity for monitoring and evaluation
- Review current capacity within (or outsourced without) the organization and its partners which will be responsible for project implementation, covering: technical skills, managerial skills, existence and quality of data systems, available technology and existing budgetary provision.
- Establish the purpose and scope
Why is M&E needed and how comprehensive should the system be?
What should be the scope, rigour and should the M&E process be participatory?
- Identify and agree with main stakeholders the outcomes and development objective(s).
Set a development goal and the project purpose or expected outcomes, outputs, activities and inputs. Indicators, baselines and targets are similarly derived
- Select key indicators i.e the qualitative or quantitative variables that measure project performance and achievements for all levels of project logic with respect to inputs, activities, outputs, outcomes and impact, as well as the wider environment, requiring pragmatic judgment in the careful selection of indicators.
- Developing and Evaluation Frame work - set out the methods, approaches and evaluation designs (Experimental, Quasi-Experimental and Non-Experimental) to be used to address the question of whether change observed through monitoring indicators can be attributed to the project interventions.
- Set baselines and planning for results -The baseline is the first measurement of an indicator, which sets the pre-project condition against which change can be tracked and evaluated.
- Select data collection methods as applicable.
- Setting targets and developing a results framework- A target is a specification of the quantity, quality, timing and location to be realized for a key indicator by a given date. Starting from the baseline level for an indicator the desired improvement is defined taking account of planned resource provision and activities, to arrive at a performance target for that indicator.
- Plan monitoring, data analysis, communication, and reporting: Monitoring and Evaluation Plan
- Implementation monitoring tracking the inputs, activities and outputs in annual or multiyear work plans, and ‘Results monitoring’ tracking achievement of outcomes and impact, are both needed. The demands for information at each level of management need to be established, responsibilities allocated, and plans made for:
 - what data to be collected and when;
 - how data are collected and analyzed;
 - who collects and analyses data;
 - who reports information,
 - when ?
- Facilitating the necessary conditions and capacities to sustain the M&E System - organizational structure for M&E, partner’s responsibilities and information requirements, staffing levels and types, responsibilities and internal linkages, incentives and training needs, relationships with partners and stakeholders,

horizontal and vertical lines of communication and authority, physical resource needs and budget.

SESSION 8: EVALUATION DESIGN

Developing an evaluation design includes:

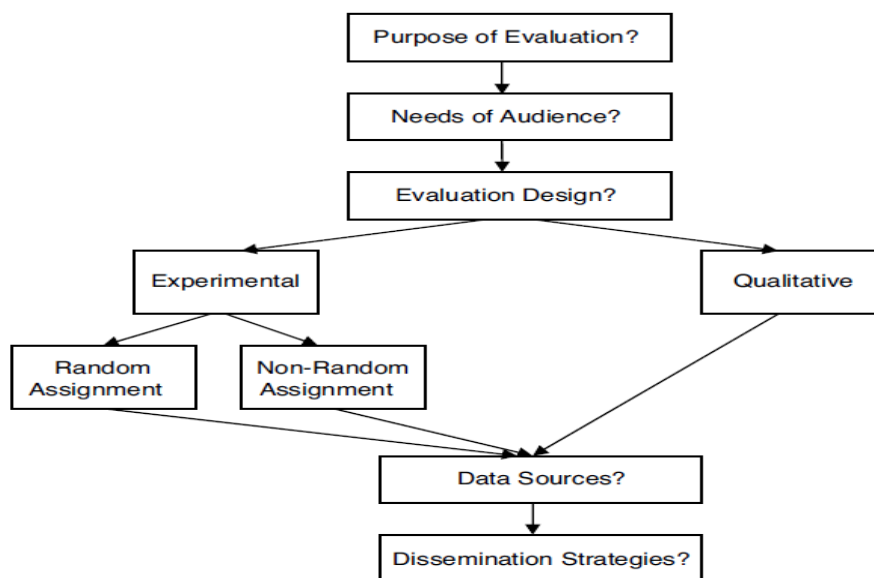
- Determining what type of design is required to answer the questions posed
- Selecting a methodological approach and data collection instruments
- Selecting a comparison group
- Sampling
- Determining timing, sequencing, and frequency of data collection

Evaluation research may adopt two general methodological approaches—either a quantitative, a qualitative or mixed-methods design approach. Quantitative designs normally take the form of experimental designs. Qualitative evaluation approaches are non-experimental approaches which answer ‘why’ and ‘how’ questions.

The following are brief descriptions of the most commonly used evaluation (and research) designs.

<i>One-Shot Design</i>	In using this design, the evaluator gathers data following an intervention or program. For example, a survey of participants might be administered after they complete a workshop.
<i>Retrospective Pre-test.</i>	As with the one-shot design, the evaluator collects data at one time but asks for recall of behaviour or conditions prior to, as well as after, the intervention or program.
<i>One-Group Pre-test-Post-test Design.</i>	The evaluator gathers data prior to and following the intervention or program being evaluated.
<i>Time Series Design</i>	The evaluator gathers data prior to, during, and after the implementation of an intervention or program
<i>Pre-test-Post-test Control-Group Design</i>	. The evaluator gathers data on two separate groups prior to and following an intervention or program. One group, typically called the experimental or treatment group, receives the intervention. The other group, called the control group, does not receive the intervention.
<i>Post-test-Only Control-Group Design.</i>	The evaluator collects data from two separate groups following an intervention or program. One group, typically called the experimental or treatment group, receives the intervention or program, while the other group, typically called the control group, does not receive the intervention. Data are collected from both of these groups only after the intervention.
<i>Case Study Design</i>	When evaluations are conducted for the purpose of understanding the program’s context, participants’ perspectives, the inner dynamics of situations, and questions related to participants’ experiences, and where generalization is not a goal, a case study design, with an emphasis on the collection of qualitative data, might be most appropriate. Case studies involve in-depth descriptive data collection and analysis of individuals, groups, systems, processes, or organizations. In particular, the case study design is most useful when you want to answer <i>how</i> and <i>why</i> questions and when there is a need to understand the particulars, uniqueness, and diversity of the case.

Decisions for Designing an Evaluation Study



SESSION 9: METHODS OF EVALUATION AND TOOLS

a) Evaluation Methods

Informal and less-structured methods

- Conversation with concerned individuals
- Community interviews
- Field visits
- Reviews of records
- Key informant interviews
- Participant observation
- Focus group interviews

Formal and more-structured methods

- Direct observation
- Questionnaires
- One-time survey
- Panel survey
- Census
- Field experiments

Evaluation method/Approach/Tool	Description	Remarks
Case study.	A detailed description of individuals, communities, organizations, events, programmes, time periods or a story	Useful in evaluating complex situations and exploring qualitative impact. Helps to illustrate findings and includes comparisons (commonalities); only when combined (triangulated) with other case studies or methods can one draw conclusions about key principles.
Checklist	A list of items used for validating or inspecting whether procedures/steps have been followed,	Allow for systematic review that can be useful in setting benchmark standards and

Evaluation method/Approach/Tool	Description	Remarks
	or the presence of examined behaviours.	establishing periodic measures of improvement.
Community book	A community-maintained document of a project belonging to a community. It can include written records, pictures, drawings, songs or whatever community members feel is appropriate.	Where communities have low literacy rates, a memory team is identified whose responsibility it is to relate the written record to the rest of the community in keeping with their oral traditions.
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 behavioural patterns and physical conditions.	An <i>observation guide</i> is often used to reliably look for consistent criteria, behaviours, or patterns.
Document review	A review of documents (<i>secondary data</i>) can provide cost-effective and timely baseline information and a historical perspective of the project/programme.	It includes written documentation (e.g. project records and reports, administrative databases, training materials, correspondence, legislation and policy documents) as well as videos, electronic data or photos.
Focus group discussion.	Focused discussion with a small group (usually eight to 12 people) of participants to record attitudes, perceptions and beliefs relevant to the issues being examined.	A moderator introduces the topic and uses a prepared interview guide to lead the discussion and extract conversation, opinions and reactions.
Interviews.	An <i>open-ended (semi-structured) interview</i> is a technique for questioning that allows the interviewer to probe and pursue topics of interest in depth (rather than just “yes/no” questions). A <i>closed-ended (structured) interview</i> systematically follows carefully organized questions (prepared in advance in an interviewer’s guide) 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.
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, e.g. infant weight or water quality test.	
Mini-survey	Data collected from interviews with 25 to 50 individuals, usually selected using nonprobability sampling techniques.	Structured questionnaires with a limited number of closed-ended questions are used to generate quantitative data that can be collected and analysed 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 programmes
Participant observation.	A technique first used by anthropologists (those who study humankind); it requires the researcher to spend considerable time (days) with the group being studied 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 (or rural) appraisal (PRA).	This uses community engagement techniques to understand community views on a particular issue.	It is usually done quickly and intensively – over a two- to three-week period. Methods include interviews, focus groups and community mapping. Tools include stakeholder analysis, participatory rural

Evaluation method/Approach/Tool	Description	Remarks
		appraisal, beneficiary assessment, and participatory monitoring and evaluation.
Questionnaire	A data collection instrument containing a set of questions organized in a systematic way, as well as a set of instructions for the data collector/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 quantitative and qualitative methods, such as site visits, observations and sample surveys.	This technique shares many of the characteristics of participatory appraisal (such as triangulation and multidisciplinary teams) and recognizes that indigenous knowledge is a critical consideration for decision-making. Methods include: key informant interview, focus group discussion, community group interview, direct observation, and mini-survey
Statistical data review. A	A review of population censuses, research studies and other sources of statistical data.	
Story	An account or recital of an event or a series of events. A <i>success story</i> illustrates impact by detailing an individual's positive experiences in his or her own words.	A <i>learning story</i> focuses on the lessons learned through an individual's positive and negative experiences (if any) with a project/programme.
Formal 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). An <i>enumerated survey</i> is one in which the survey is administered by someone trained (a data collector/enumerator) to record responses from respondents. A <i>self-administered survey</i> is a written survey completed by the respondent, either in a group setting or in a separate location. Respondents must be literate.	Includes multi-topic or single topic household/living standards survey, client satisfaction surveys, core welfare indicators questionnaire. Public expenditure tracking surveys-tracking flow of public funds and the extent to which resources actually reach the target groups. Sampling-related methods- sample frame, sample size, sample method e.g. random – simple (and systematic) or stratified Non-random- purposive (and cluster) and quota sampling, etc
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; e.g. 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.
Cost Benefit and Cost Effectiveness Analysis	Assesses whether or not the costs of an activity can be justified by the outcomes and impacts	Cost Benefit- measures both inputs and outputs in monetary terms Cost Effectiveness- inputs in monetary and outputs in non-monetary terms

M&E Tool/Method	Advantages	Disadvantages
Survey	Good for gathering descriptive data Can cover a wide range of topics Are relatively inexpensive to use Can be analyzed using a variety of existing software	Self-report may lead to biased reporting Data may provide a general picture but lack depth May not provide adequate information on context
Case studies	Provide a rich picture of what is happening, as seen through the eyes of many individuals Allow a thorough exploration of interactions between treatment and contextual factors Can help explain changes or facilitating factors that might	Require a sophisticated and well-trained data collection and reporting team Can be costly in terms of the demands on time and resources Individual cases may be over interpreted or overgeneralized

	otherwise not emerge from the data	
Interviews	Usually yield richest data, details, new insights Permit face-to-face contact with respondents Provide opportunity to explore topics in depth Allow interviewer to experience the affective as well as cognitive aspects of responses Allow interviewer to explain or help clarify questions, increasing the likelihood of useful responses Allow interviewer to be flexible in administering interview to particular individuals or in particular circumstances	Expensive and time consuming Need well-qualified, highly trained interviewers Interviewee may distort information through recall error, selective perceptions, desire to please interviewer Flexibility can result in inconsistencies across interviews Volume of information very large; may be difficult to transcribe and reduce data

b) PARTICIPATORY M&E

Participatory evaluation is a partnership approach to evaluation in which stakeholders actively engage in developing the evaluation and all phases of its implementation. Participatory evaluations often use rapid appraisal techniques. Name a few of them.

- Key Informant Interviews - Interviews with a small number of individuals who are most knowledgeable about an issue.
- Focus Groups - A small group (8-12) is asked to openly discuss ideas, issues and experiences.
- Mini-surveys - A small number of people (25-50) is asked a limited number of questions.
- Neighbourhood Mapping - Pictures show location and types of changes in an area to be evaluated.
- Flow Diagrams - A visual diagram shows proposed and completed changes in systems.
- Photographs - Photos capture changes in communities that have occurred over time.
- Oral Histories and Stories - Stories capture progress by focusing on one person's or organization's account of change.

E.g. Specific applications of the focus group method in evaluations.

- Identifying and defining problems in project implementation
- Pretesting topics or idea
- Identifying project strengths, weaknesses, and recommendations
- Assisting with interpretation of quantitative findings
- Obtaining perceptions of project outcomes and impacts
- Generating new ideas

SESSION 10: DATA ANALYSIS AND REPORTING

The term “data” refers to raw, unprocessed information while “information,” or “strategic information,” usually refers to processed data or data presented in some sort of context.

- **Data –primary or secondary-** is a term given to raw facts or figures before they have been processed and analysed.
- **Information** refers to data that has been processed and analysed for reporting and use.
- **Data analysis** is the process of converting collected (raw) data into usable information.

(i) Quantitative and Qualitative data

- *Quantitative data* measures and explains what is being studied with numbers (e.g. counts, ratios, percentages, proportions, average scores, etc).
- *Qualitative data* explains what is being studied with words (documented observations, representative case descriptions, perceptions, opinions of value, etc).
- *Quantitative methods* tend to use structured approaches (e.g. coded responses to surveys) which provide precise data that can be statistically analysed and replicated (copied) for comparison.
- *Qualitative methods* use semi-structured techniques (e.g. observations and interviews) to provide in-depth understanding of attitudes, beliefs, motives and behaviours. They tend to be more participatory and reflective in practice.

Quantitative data is often considered more objective and less biased than *qualitative data* but recent debates have concluded that both quantitative and qualitative methods have subjective (biased) and objective (unbiased) characteristics.

Therefore, a *mixed-methods approach* is often recommended that can utilize the advantages of both, measuring what happened with quantitative data and examining how and why it happened with qualitative data.

(ii) Some Data Quality Issues in Monitoring and Evaluation

- *Coverage*: Will the data cover all of the elements of interest?
- *Completeness*: Is there a complete set of data for each element of interest?
- *Accuracy*: Have the instruments been tested to ensure validity and reliability of the data?
- *Frequency*: Are the data collected as frequently as needed?
- *Reporting schedule*: Do the available data reflect the periods of interest?
- *Accessibility*: Are the data needed collectable/retrievable?
- *Power*: Is the sample size big enough to provide a stable estimate or detect change?

(iii) Data Analysis

Quantitative or qualitative research methods or a complementary combination of both approaches are used.

Analysis may include:

- *Content or textual analysis*, making inferences by objectively and systematically identifying specified characteristics of messages.
- *Statistical descriptive techniques*, the most common include: graphical description (histograms, scatter-grams, bar chart,...); tabular description (frequency distribution, cross tabs,...); parametric description (mean, median, mode, standard deviation, skewness, kurtosis, ...).
- *Statistical inferential techniques* which involve generalizing from a sample to the whole population and testing hypothesis. Hypothesis are stated in mathematical or statistical terms and tested through two or one-tailed tests (t-test, chi-square, Pearson correlation, F-statistic, ...)

SESSION 11: TERMS OF REFERENCE IN M&E AND EVALUATION REPORT TEMPLATE

(i) Terms of Reference in Evaluation

Evaluation organizers are usually the ones who are in charge of a particular project and want to have the project evaluated to better manage project operation. Responsibility in the evaluation organizers differs from those of evaluators, who are usually consultants contracted for the evaluation.

Tasks of the evaluation organizers include:

- Preparing the TOR; TOR is a written document presenting the purpose and scope of the evaluation, the methods to be used, the standard against which performance is to be assessed or analyses are to be conducted, the resources and time allocated, and reporting requirements. TOR also defines the expertise and tasks required of a contractor as an evaluator, and serves as job descriptions for the evaluator.
- Appointing evaluator(s);
- Securing budget for evaluation;
- monitoring the evaluation work;
- Providing comments on the draft;
- publicizing the evaluation report, and
- Providing feedback from the results to concerned parties.

The role of evaluator includes:

- Preparing the detailed evaluation design;
- Collecting and analyzing information, and
- Preparing an evaluation report.

The role of Management includes:

- Management response
- Action on recommendations
- Tracking status of implementation of recommendations

Management Response Template

Prepared by:

Reviewed by:

Evaluation recommendation 1.				
Management response:				
Key action(s)	Time Frame	Responsible unit(s)	Tracking*	
			Comments	Status
1.1				
1.2				
Evaluation recommendation 2.				
Management response:				
Key action(s)	Time Frame	Responsible unit(s)	Tracking*	
			Comments	Status
2.1				
2.2				

ii) Evaluation Report Template

There is no single universal format for M&E but the template is intended to serve as a guide for preparing meaningful, useful and credible evaluation reports that meet quality standards. It only suggests the content that should be included in a quality evaluation report but does not purport to prescribe a definitive section-by-section format that all evaluation reports should follow.

E.g.

Formal reports developed by evaluators typically include six major sections:

- (1) Background
- (2) Evaluation study questions
- (3) Evaluation procedures
- (4) Data analyses
- (5) Findings
- (6) Conclusions (and recommendations)

Or detailed:

Summary sections

A. Abstract

B. Executive summary

II. Background

- A. Problems or needs addressed
- B. Literature review
- C. Stakeholders and their information needs
- D. Participants
- E. Project's objectives
- F. Activities and components
- G. Location and planned longevity of the project
- H. Resources used to implement the project
- I. Project's expected measurable outcomes
- J. Constraints
- III. Evaluation study questions
 - A. Questions addressed by the study
 - B. Questions that could not be addressed by the study (when relevant)
- IV. Evaluation procedures
 - A. Sample
 - 1. Selection procedures
 - 2. Representativeness of the sample
 - 3. Use of comparison or control groups, if applicable
 - B. Data collection
 - 1. Methods
 - 2. Instruments
 - C. Summary matrix
 - 1. Evaluation questions
 - 2. Variables
 - 3. Data gathering approaches
 - 4. Respondents
 - 5. Data collection schedule
- V. Findings
 - A. Results of the analyses organized by study question
- VI. Conclusions
 - A. Broad-based, summative statements
 - B. Recommendations, when applicable

Or

Table of contents

Executive summary

- Introduction
- Evaluation scope, focus and approach
- Project facts
- Findings, Lessons Learned
 - Findings
 - Lessons learned
- Conclusions and recommendations
 - Conclusions
 - Recommendations
- Annexes/appendices

Or as per organizational requirements (*Modified from UNDP, 2009, Handbook on Planning, Monitoring and Evaluating for Development Results*)

The report should also include the following:

1. *Title and opening pages*—Should provide the following basic information:
 - Name of the evaluation intervention
 - Time frame of the evaluation and date of the report

- Country/Organization/Entity of the evaluation intervention
 - Names and organizations of evaluators
 - Name of the organization commissioning the evaluation
 - Acknowledgements
2. *Table of contents*
 - Should always include lists of boxes, figures, tables and annexes with page references.
 3. *List of acronyms and abbreviations*
 4. *Executive summary*
A stand-alone section of two to three pages that should:
 - Briefly describe the intervention (the project(s), programme(s), policies or other interventions) that was evaluated.
 - Explain the purpose and objectives of the evaluation, including the audience for the evaluation and the intended uses.
 - Describe key aspect of the evaluation approach and methods.
 - Summarize principle findings, conclusions, and recommendations.
 5. *Introduction*
Should:
 - Explain why the evaluation was conducted (the purpose), why the intervention is being evaluated at this point in time, and why it addressed the questions it did.
 - Identify the primary audience or users of the evaluation, what they wanted to learn from the evaluation and why, and how they are expected to use the evaluation results.
 - Identify the intervention (the project(s) programme(s), policies or other interventions) that was evaluated—see upcoming section on intervention.
 - Acquaint the reader with the structure and contents of the report and how the information contained in the report will meet the purposes of the evaluation and satisfy the information needs of the report's intended users.
 6. *Description of the intervention/project/process/programme*—Provide the basis for report users to understand the logic and assess the merits of the evaluation methodology and understand the applicability of the evaluation results. The description needs to provide sufficient detail for the report user to derive meaning from the evaluation. The description should:
 - Describe what is being evaluated, who seeks to benefit, and the problem or issue it seeks to address.
 - Explain the expected results map or results framework, implementation strategies, and the key assumptions underlying the strategy.
 - Link the intervention to national priorities, Development partner priorities, corporate strategic plan goals, or other project, programme, organizational, or country specific plans and goals.
 - Identify the phase in the implementation of the intervention and any significant changes (e.g., plans, strategies, logical frameworks) that have occurred over time, and explain the implications of those changes for the evaluation.
 - Identify and describe the key partners involved in the implementation and their roles.
 - Describe the scale of the intervention, such as the number of components (e.g., phases of a project) and the size of the target population for each component.
 - Indicate the total resources, including human resources and budgets.
 - Describe the context of the social, political, economic and institutional factors, and the geographical landscape within which the intervention operates and explain the effects (challenges and opportunities) those factors present for its implementation and outcomes.
 - Point out design weaknesses (e.g., intervention logic) or other implementation constraints (e.g., resource limitations).
 7. *Evaluation scope and objectives* - The report should provide a clear explanation of the evaluation's scope, primary objectives and main questions.
 - Evaluation scope—The report should define the parameters of the evaluation, for example, the time period, the segments of the target population included, the geographic area included, and which components, outputs or outcomes were and were not assessed.
 - Evaluation objectives—The report should spell out the types of decisions evaluation users will make, the issues they will need to consider in making those decisions, and what the evaluation will need to achieve to contribute to those decisions.

- Evaluation criteria—The report should define the evaluation criteria or performance standards used. The report should explain the rationale for selecting the particular criteria used in the evaluation.
 - Evaluation questions—Evaluation questions define the information that the evaluation will generate. The report should detail the main evaluation questions addressed by the evaluation and explain how the answers to these questions address the information needs of users.
8. *Evaluation approach and methods* - The evaluation report should describe in detail the selected methodological approaches, theoretical models, methods and analysis; the rationale for their selection; and how, within the constraints of time and money, the approaches and methods employed yielded data that helped answer the evaluation questions and achieved the evaluation purposes. The description should help the report users judge the merits of the methods used in the evaluation and the credibility of the findings, conclusions and recommendations.

The description on methodology should include discussion of each of the following:

- Data sources—The sources of information (documents reviewed and stakeholders), the rationale for their selection and how the information obtained addressed the evaluation questions.
 - Sample and sampling frame—If a sample was used: the sample size and characteristics; the sample selection criteria (e.g., single women, under 45); the process for selecting the sample (e.g., random, purposive); if applicable, how comparison and treatment groups were assigned; and the extent to which the sample is representative of the entire target population, including discussion of the limitations of the sample for generalizing results.
 - Data collection procedures and instruments—Methods or procedures used to collect data, including discussion of data collection instruments (e.g., interview protocols), their appropriateness for the data source and evidence of their reliability and validity.
 - Performance standards/indicators—The standard or measure that will be used to evaluate performance relative to the evaluation questions (e.g., national or regional indicators, rating scales).
 - Stakeholder engagement—Stakeholders' engagement in the evaluation and how the level of involvement contributed to the credibility of the evaluation and the results.
 - Ethical considerations—The measures taken to protect the rights and confidentiality of informants
 - Background information on evaluators—The composition of the evaluation team, the background and skills of team members and the appropriateness of the technical skill mix, gender balance and geographical representation for the evaluation.
 - Major limitations of the methodology—Major limitations of the methodology should be identified and openly discussed as to their implications for evaluation, as well as steps taken to mitigate those limitations.
9. *Data analysis*—The report should describe the procedures used to analyse the data collected to answer the evaluation questions. It should detail the various steps and stages of analysis that were carried out, including the steps to confirm the accuracy of data and the results. The report also should discuss the appropriateness of the analysis to the evaluation questions. Potential weaknesses in the data analysis and gaps or limitations of the data should be discussed, including their possible influence on the way findings may be interpreted and conclusions drawn.
10. *Findings and conclusions*—The report should present the evaluation findings based on the analysis and conclusions drawn from the findings.
- *Findings*—Should be presented as statements of fact that are based on analysis of the data. They should be structured around the evaluation criteria and questions so that report users can readily make the connection between what was asked and what was found. Variances between planned and actual results should be explained, as well as factors affecting the achievement of intended results. Assumptions or risks in the project or programme design that subsequently affected implementation should be discussed.
 - *Conclusions*—Should be comprehensive and balanced, and highlight the strengths, weaknesses and outcomes of the intervention. They should be well substantiated by the evidence and logically connected to evaluation findings. They should respond to key evaluation questions and provide insights into the identification of and/or solutions to important problems or issues pertinent to the decision making of intended users.
11. *Recommendations*—The report should provide practical, feasible recommendations directed to the intended users of the report about what actions to take or decisions to make. The recommendations should be specifically supported by the evidence and linked to the findings and conclusions around

key questions addressed by the evaluation. They should address sustainability of the initiative and comment on the adequacy of the project exit strategy, if applicable.

12. *Lessons learned*—As appropriate, the report should include discussion of lessons learned from the evaluation, that is, new knowledge gained from the particular circumstance (intervention, context outcomes, even about evaluation methods) that are applicable to a similar context. Lessons should be concise and based on specific evidence presented in the report.
13. *Report annexes*—Suggested annexes should include the following to provide the report user with supplemental background and methodological details that enhance the credibility of the report:
 - ToR for the evaluation
 - Additional methodology-related documentation, such as the evaluation matrix and data collection instruments (questionnaires, interview guides, observation protocols, etc.) as appropriate
 - List of individuals or groups interviewed or consulted and sites visited
 - List of supporting documents reviewed
 - Project or programme results map or results framework
 - Summary tables of findings, such as tables displaying progress towards outputs, targets, and goals relative to established indicators
 - Short biographies of the evaluators and justification of team composition
 - Code of conduct signed by evaluators

SESSION 12: BEST PRACTICES, EMERGING TRENDS & M&E CAPACITY BUILDING IN KENYA

(i) Monitoring Best Practices

- Data well-focused to specific audiences and uses (only what is necessary and sufficient).
- Systematic, based upon predetermined indicators and assumptions.
- 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.
- Be timely, so information can be readily used to inform project/programme implementation.
- Be participatory, involving key stakeholders –reduce costs, build understanding and ownership.
- Not only for project/programme management but should be shared when possible with beneficiaries, donors and any other relevant stakeholders.

(ii) Good M&E Principles for Projects

- **Participation:** encourage participation “by all who wish to participate and/or who might be affected by the review.”
- **Decision Making:** “Projects will utilize a structured decision-making process.”
- **Value People:** “Projects are not intended to result in a loss of employees but may result in employees being re-deployed to other activities within the department.”
- **Measurement:** for accountability; measures should be accurate, consistent, flexible, comprehensive but not onerous
- **Integrated Program/Process Planning and Evaluation:** incorporated into yearly business plans
- **Ethical Conduct/Openness:** consider ethical implications, respect and protect rights of participants
- **Program/Process Focus:** focus on improving program, activity or process
- **Clear and Accurate Reporting of Facts and Review Results**
- **Timely Communication of Information and Review Results to Affected Parties**
- **Multi-Disciplinary Team Approach:** include a range of knowledge and experience; seek assistance from outside of the team as required
- **Customer and Stakeholder Involvement:** “External and internal customers and stakeholders related to a project should be identified and consulted, if possible, throughout the project.”

(iii) **Basic Ethics** to expect from an evaluator

- **Systematic Inquiry** – Evaluators conduct systematic, data-based inquiries about whatever is being evaluated.
- **Competence** – Evaluators provide competent performance to stakeholders.
- **Integrity/honesty** – Evaluators ensure the honesty and integrity of the entire evaluation process.
- **Respect for people** – Evaluators respect the security, personal dignity and autonomy of individuals, and self-worth of the respondents including recognition and special protections for those with diminished autonomy, such as children or prisoners, program participants, clients, and other stakeholders with whom they interact.
- **Responsibilities for general and public welfare** – Evaluators clarify and take into account the diversity of interests and values that may be related to the general and public welfare.
- **Beneficence:** the obligation to protect people from harm by maximizing anticipated benefits and minimizing potential risks of harm
- **Justice:** benefits and burdens of research should be distributed fairly. In other words, one segment of society—the poor or people of one ethnicity—should not be the only subjects in research designed to benefit everyone

(iv) **Key Success Factors of Monitoring and Evaluation System**

- Clear linkage with the strategic objectives
- Clear statements of measurable objectives for the project and its components.
- A structured set of indicators covering: inputs, process, outputs, outcomes, impact, and exogenous factors.
- Data collection mechanisms capable of monitoring progress over time, including baselines and a means to compare progress and achievements against targets.
- Availability of baselines and realistic results framework
- Clear mechanisms for reporting and use of M&E results in decision-making.
- Sustainable organizational arrangements for data collection, management, analysis, and reporting.
- A good evaluation process should have six characteristics:
 - stakeholder involvement,
 - impartiality, usefulness,
 - technical adequacy,
 - cost effectiveness and
 - timely dissemination and feedback.

(v) **Factors contributing to failure of M&E Systems**

- Poor system design in terms of collecting more data than is needed or can be processed.
- Inadequate staffing of M&E both in terms of quantity and quality
- Missing or delayed baseline studies. Strictly these should be done before the start of project implementation, if they are to facilitate with and without project comparisons and evaluation.
- Delays in processing data, often as a result of inadequate processing facilities and staff shortages.
- Personal computers can process data easily and quickly but to make the most of these capabilities requires the correct software and capable staff.
- Inadequate utilization of results

(vi) **Status of M&E in Kenya**

- Establishment of a National Monitoring and Evaluation Policy
- Monitoring and evaluation defined as ‘ a management tool that ensures that policy, programme, and project results are achieved by gauging performance against plans; and drawing lessons from experience of interventions for future implementation effectiveness

while fostering accountability to the people of Kenya'. (GOK, Monitoring and evaluation policy in Kenya, 2012)

- Directorate of M&E created in 2003
- National Integrated M&E system- implementation coordinated by Directorate of M&E, Department of Planning to monitor implementation of the Economic Recovery Strategy
- Rationale for M&E policy-Constitution of Kenya provides basis for M&E under articles 10, 56, 174, 185, 201, 203 and 225, 226 and 227
- Challenges include: -
 - i. Weak M&E culture- hard to determine with M&E influences decision-making, and M&E budgets not aligned to projects/programmes
 - ii. Weak M&E reporting structures and multiple and uncoordinated M&E systems within and among institutions-hard to get full and harmonized results-based information.
 - iii. Weak institutional, managerial and technical capacities- evaluations not adequately conducted
 - iv. Untimely, rarely analysed data and low utilization of data/ information
 - v. Lack of M&E policy and legal framework
- Capacity development to complement policy
 - Technical and managerial capacity – Equip officers with M&E skills and do backstopping on M&E for state and non-state actors
 - Standardize M&E activities
 - MED in collaboration with local training institutions shall develop curriculum to guide delivery of certificate, diploma, graduate, masters and post-graduate diploma courses
 - MED to spearhead real time reporting through uploading, downloading and data analysis on ICT database platforms
 - Institutional capacity
 - Units charged with M&E
 - Necessary enabling infrastructure at national and devolved levels
 - Technical oversight committee
 - National steering committee
 - Ministerial M&E committees
 - County M&E committees
 - National and County Stakeholders fora
 - Funds designated for M&E activities
 - Non-state actors (NGOs, civil society and private sector) be supported by MED in their M&E capacity development

EXERCISES

Exercise 1: Identify 5 key indicators and complete an indicator matrix for project/programme you are familiar with.

Indicator	Indicator Definition	Methods/Sources	Person/s Responsible	Frequency/Schedules	Data Analysis	Information Use

Exercise 2: Identify a suitable project and complete a logical framework

Narrative Summary	Verifiable Indicators (OVI)	Means of Verification (MOV)	Important Assumptions
GOAL			
PURPOSE			
OUTPUTS			
ACTIVITIES	Inputs		

Exercise 3: Identify a suitable project and complete an Evaluation Grid using the five evaluation criteria, which are Relevance, Effectiveness, Efficiency, Impact and Sustainability

	Relevance	Effectiveness	Efficiency	Impact	Sustainability
Overall Goal					
Project Purpose					
Outputs					
Activities Inputs					

Exercise 4: Identify a suitable project and complete an Evaluation Matrix using the five evaluation criteria, which are Relevance, Effectiveness, Efficiency, Impact and Sustainability

Relevant evaluation criteria	Key Questions	Specific Sub-Questions	Data Sources	Data collection Methods/Tools	Indicators/Success Standard	Methods for Data Analysis

Relevance						
Effectiveness						
Efficiency						
Impact						
Sustainability						

Exercise 5: Identify 5 evaluation methods/techniques and complete an Evaluation Method/Technique Matrix in regard to a suitable project/programme.

Evaluation Method/Technique	What are they	What can it be used for	Advantages	Disadvantages	Resources required
Formal surveys	Used to collect standardized information from samples	Baseline data, comparing different groups, changes overtime, etc	Findings from sampled items can be applied to wider target group	Data analysis Process and analysis can be a bottleneck	Finances, Technical and analytical skills
Rapid appraisal methods					
Participatory methods					

Exercise 6: Identify 5 evaluation models/approaches and complete an Evaluation Model/Approaches Matrix

Evaluation Model/Approach	What are some examples or situations in which you would use this approach?	What conditions need to exist to use this approach?	What are some limitations of this Approach?
Goal-free evaluation			
Kirkpatrick Four-level approach			

Exercise 7: Evaluation Models

a) Applying Kirkpatrick Four-Level Approach to Evaluate Training

A Sales training covers basic topics, such as how to begin the sales discussion, how to ask the right questions, and how to ask for the sale. Although the trainer believes that the training will be successful, you have been requested to evaluate the training program. You decide to use the Kirkpatrick four-level approach.

What aspects of the training will you evaluate?	What are some of the variables you will focus on?	What are some of the limitations of the evaluation and its findings?

a) Applying CIPP evaluation model(Context, Input, Process, Product)

What aspects of the project will you evaluate?	What are some of the variables you will focus on?	What are some of the limitations of the evaluation and its findings?

Exercise 8: Identify 5 evaluation designs and complete an Evaluation Design Matrix

Evaluation Design	When would you use this design?	What data collection methods might you use?	What are some limitations of this design?
Retrospect Pre-test			
Case study Design			

=====+++++++=====END=====+++++++=====