



CORE CONCEPTS IN DEVELOPING MONITORING AND EVALUATION FRAMEWORKS

July 2015

Anne Markiewicz and Associates
PO Box 5052 Alphington Victoria 3078

Email: anne@anneconsulting.com.au
Website: www.anneconsulting.com.au

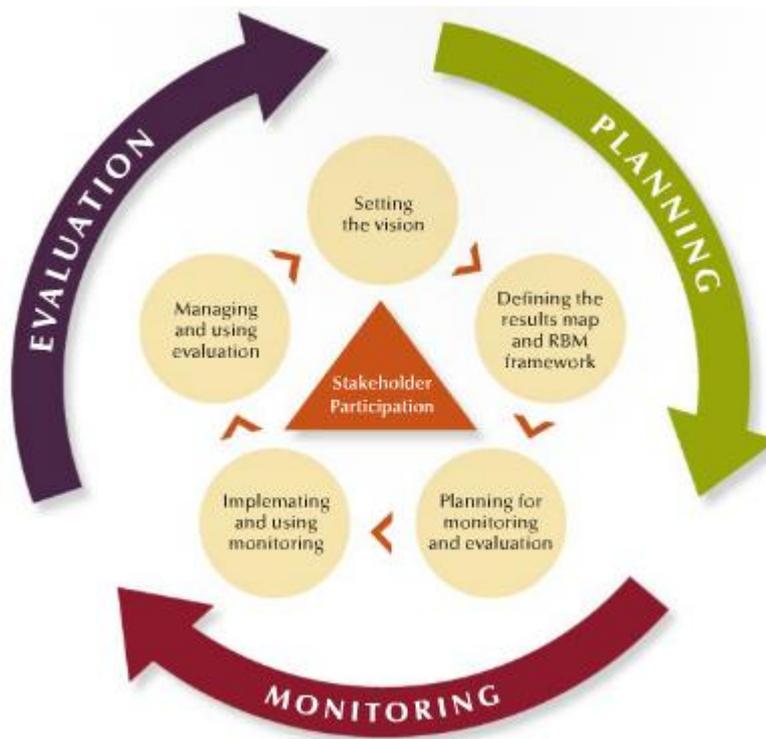
Ian Patrick and Associates
PO Box 5052 Alphington Victoria 3078

Email: ipatrick@mira.net
Website: www.ianpatrick.com.au

1. DEFINITIONS OF MONITORING & EVALUATION

The interconnectedness of monitoring and evaluation functions demonstrated in the Results Based Management approach been used as a guiding principle. The Results Based Management approach is best typified in the following diagram titled the RBM life-cycle approach (United Nations Development Group, 2011).

Diagram 1: Results Based Management



The following definitions can be used to understand the two inter-related functions:

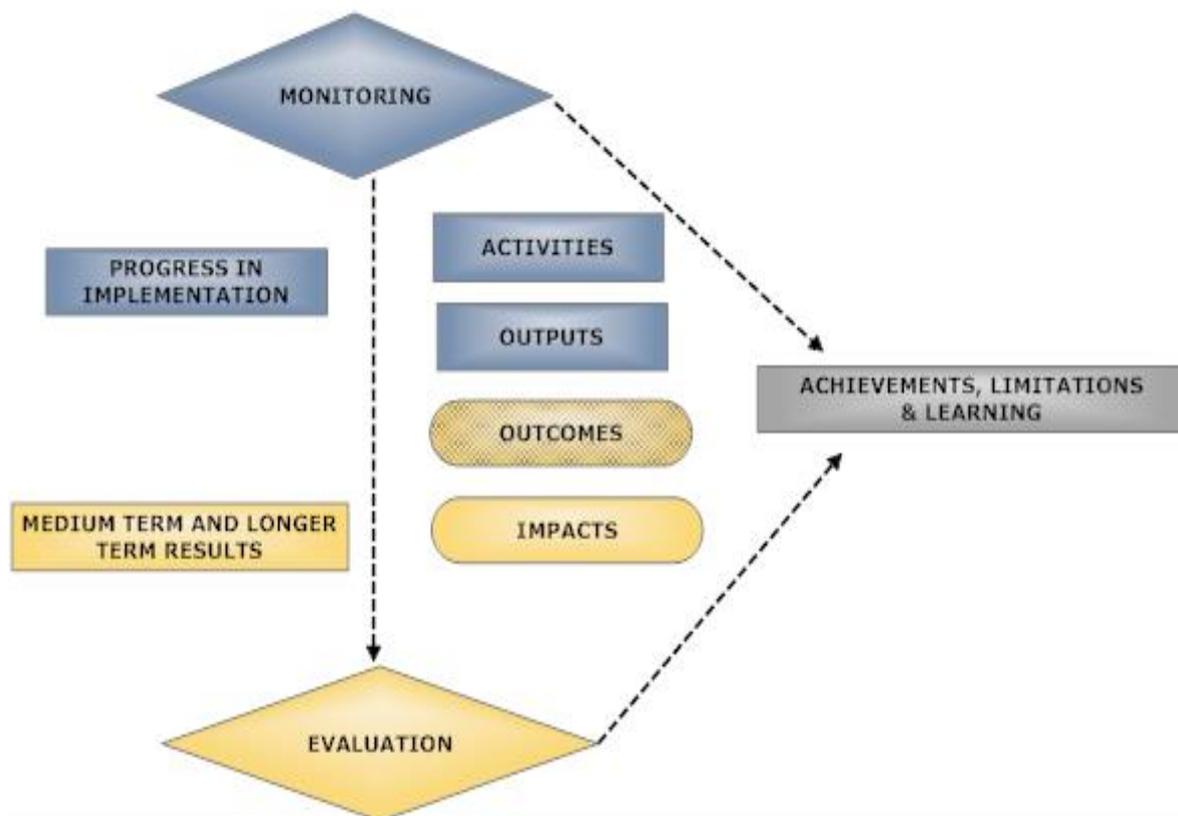
Monitoring

Continuous and systematic collection and analysis of program information able to provide management and key stakeholders with an indication of to the extent of progress in implementation and against stated objectives.

Evaluation

Planned and periodic assessment of the program in key areas, building on monitoring information to identify the degree to which short to medium-term outcomes and longer term impacts have resulted; approaches that worked well and those that did not; identifying reasons for success or failure and learning from both. The evaluation process also provides a level of judgment as to the overall value or worth of the program

Diagram 2: The Relationship between Monitoring and Evaluation Functions



2. FUNCTIONS AND PRINCIPLES OF MONITORING & EVALUATION:

Monitoring and Evaluation should generally support the main functions of:

Management: tracking progress in program implementation against program plans, performance indicators and targets, correcting the relationship between program inputs, activities and outputs where needed.

Accountability: accounting and reporting on the use of resources allocated to government, funders, members of the public and program beneficiaries.

Learning: generating knowledge about good practice, learning from experience as to what works and what does not, why a program was successful or not, in its particular context.

Program Improvement: improving the design and performance of a program during its implementation and making overall assessments as to the quality, value and effectiveness of a program.

Monitoring and Evaluation should include the main principles of:

- **Positioning Monitoring and Evaluation** at a point within the organisation where it is referred to during organisational decision making and resource allocation processes
- Use of **Multi-Method Data Collection** for the establishment of progress toward or achievement of processes (outputs) and impacts (outcomes)
- **Stakeholder Involvement and Engagement** in both the design and implementation of the Framework
- Use of **Stakeholder Perceptions** of change and/or validation of the program logic
- Use of **Systematic Reporting** of progress toward achievement of outcomes and impacts including identification of successes and failures
- Adoption of a **Learning Strategy** to analyse and reflect on the data generated by the Framework

Central steps and stages in developing a monitoring and evaluation framework include:

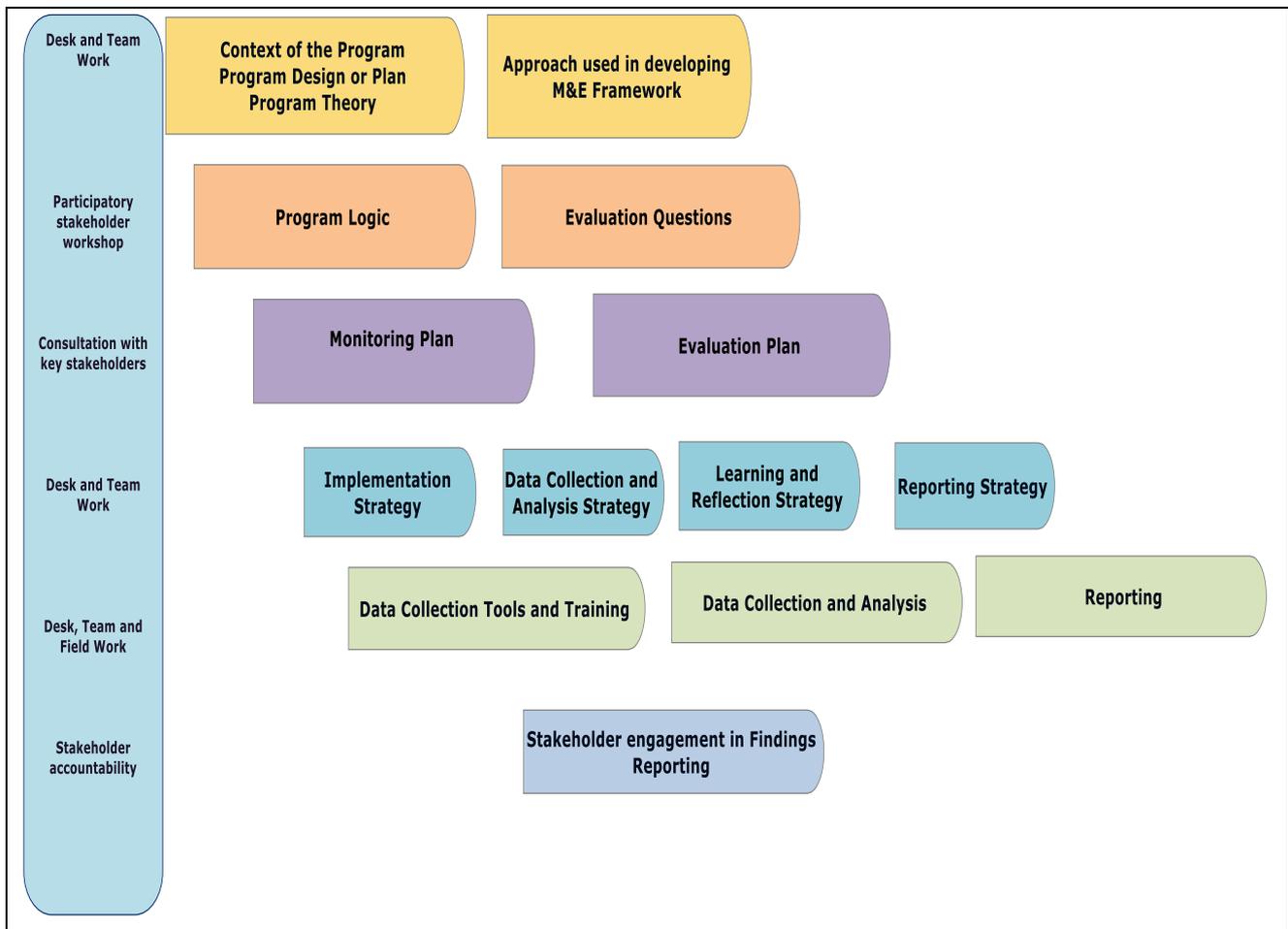
- Developing a **Stakeholder Engagement Strategy**: Who is to be involved in the process and how?
- Developing a **Program Logic**: Outlining diagrammatically what the program expects to achieve over time
- Developing **Evaluation Questions**: Agreement about what is to be known about how the program operates
- Developing an **Evaluation Rubric**: Agreement about the criteria for measuring quality and value
- Producing a **Monitoring Plan**: Identifying how to answer the evaluation questions through monitoring processes and the development of associated indicators and targets
- Producing an **Evaluation Plan**: Identifying how to answer evaluation questions through formative and summative evaluation activities
- Developing an **Evaluation Methodology**: Identifying how to implement the evaluation and what evaluation methods can be used to collect required data
- Developing a **Data Collection and Analysis Strategy**
- Developing an **Implementation, Reporting, Learning and Reflection Strategy**
- Developing **Data Collection Instruments and Tools** to capture the required data

3. STAKEHOLDERS:

Stakeholders are funders, government agencies, non-government organisations, other organisations, groups or individuals who have a direct interest in the program and its monitoring and evaluation. They potentially include:

- Government officials, policy makers, service and contract managers
- Funders and Donors
- Program Board Members, managers and program delivery personnel
- Service users, clients or beneficiaries
- Community interest groups or associations

Diagram 3: Stakeholder Engagement with Monitoring and Evaluation Frameworks



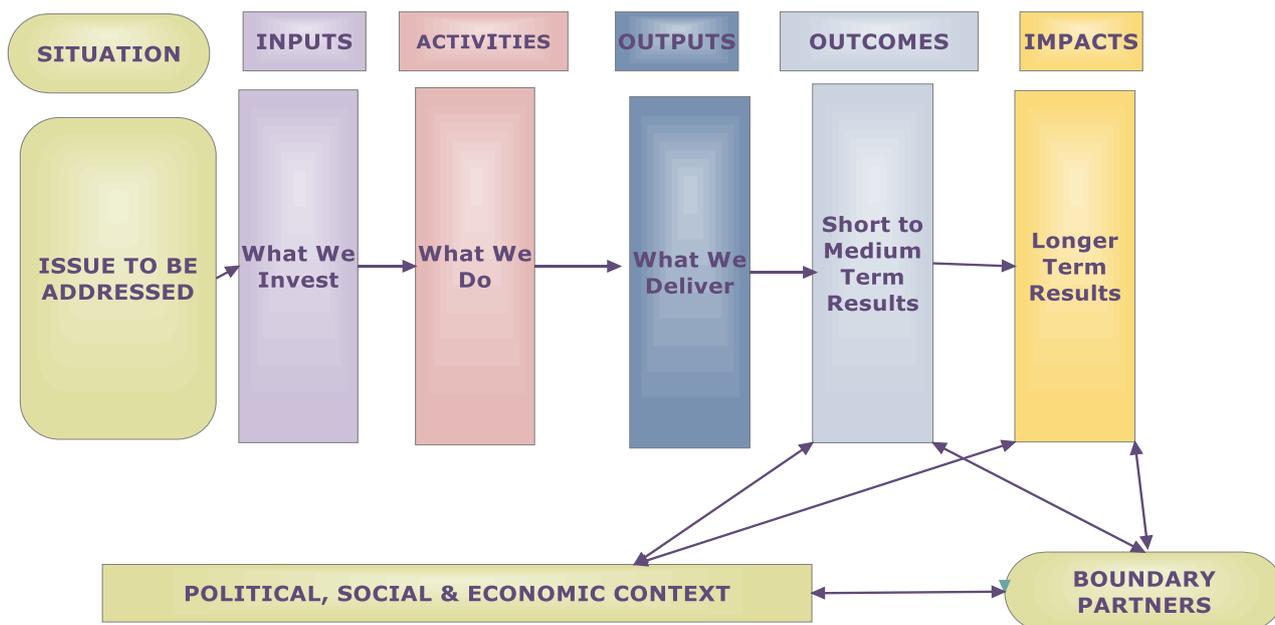
Consider whether:

- A stakeholder mapping and analysis was conducted
- Key stakeholder groups are clearly identified
- It is clearly determined how key stakeholders will be involved in the process
- There is a process for review of stakeholder groups and their involvement over time

4. PROGRAM LOGIC:

A Program logic model identifies the expected outcomes and impacts arising from program activities and outputs and presents a results chain or indication of how the activities and outputs are expected to lead to the achievement of the intended outcomes and impacts.

Diagram 4: Program Logic Model



- **Inputs:** (financial, human and material resources)
- **Activities:** (tasks personnel undertake to transform inputs into outputs)
- **Outputs:** (program products including those relevant to the achievement of outcomes)
- **Outcomes:** (likely or achieved short to medium-term effects from outputs in fulfilment of purpose)
- **Impacts:** (long-term effects, directly or indirectly, intended or unintended, against purpose)

5. EVALUATION QUESTIONS:

A distinguishing feature of the approach proposed is the centrality of developing evaluation questions to guide the process of developing the Monitoring Plan and the Evaluation Plan which form part of the Monitoring and Evaluation Framework. It is critical for the Monitoring and Evaluation Framework to be useful that we first identify the key questions we want our Monitoring and Evaluation Framework to answer.

The domains selected for ordering evaluation questions in this approach are based on the Organisation for Economic Cooperation and Development (OECD) Development Assistance Committee (DAC) Evaluation Criteria. The OECD/DAC guidelines are based on the six general principles of relevance, effectiveness, efficiency, impact and sustainability. The term relevance has been replaced with appropriateness in this Guide as it is considered to suggest wider accommodation of the interests and needs of all concerned parties including funders and donors, key stakeholders and beneficiaries.

Further adjustments have been made in this Guide to broaden the OECD/DAC Evaluation Criteria. There are a number of important evaluation dimensions such as that of process evaluation that require inclusion. Two aspects here include the question of whether the program was implemented in the most appropriate manner, and the concept of 'Fidelity of Implementation': the extent to which the program was implemented as designed and reasons for variations. Both concepts have been included under the Appropriateness domain. Additionally, there is need for mention of quality as a criterion for assessing a program. This has been included under the Effectiveness domain.

The following definitions are based on a review of the OECD/DAC Evaluation Criteria customised for this Guide.

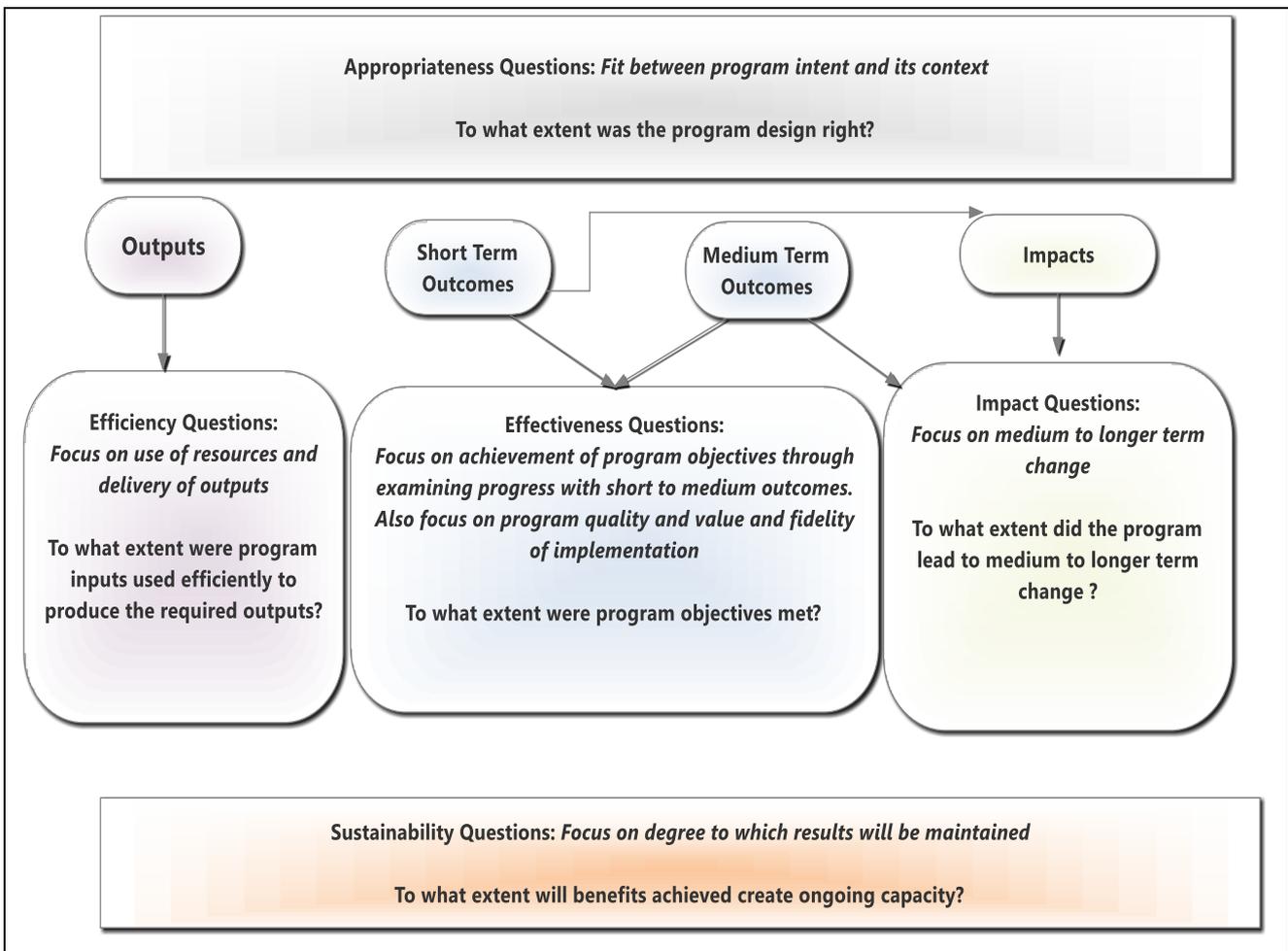
Appropriateness	A measure of whether a program's design and approach is suitable in terms of achieving its desired effect and working in its given context. Suitability may apply, for example, to whether the program is of an appropriate type or style to meet the needs of all identified major stakeholder groups.
Effectiveness	The extent to which program stakeholder objectives were achieved, or are expected to be achieved, taking into account their relative importance. The overall assessed quality and value of the program and fidelity of its implementation.
Efficiency	A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.
Impact	Positive and negative, medium to longer-term changes produced by a program, directly or indirectly, intended or unintended, particularly at a structural or systemic level.
Sustainability	The continuation of a program, its support or its benefits.

The following questions can form useful over-arching headline Evaluation Questions:

Appropriateness	To what extent was the design of the program suitable for addressing needs?
Effectiveness	To what degree was the program able to achieve or contribute to its objectives?
Efficiency	To what degree did the program operate in a cost-effective way?
Impact	To what extent was the program able to contribute to longer term changes?
Sustainability	To what degree did the program build potential or capacity for ongoing results?

The Program Logic should provide a main source for developing a set of evaluation questions. While the appropriateness and sustainability domains provide a ‘topping and tailing effect’ complementary to the intent of the Program Logic, the efficiency, effectiveness and impact domains can be directly related to the contents of the Program Logic developed for the program. This is illustrated in the Diagram below:

Diagram 5: Relationship between Program Logic and Evaluation Questions



- Has the program logic been used to generate clear and concise evaluation questions?
- Have questions been organised using headings such as appropriateness, effectiveness, efficiency, impact and sustainability?
- Has there been an adequate level of stakeholder involvement, engagement and ownership in the process?
- Are the questions that have been developed and selected cohesive and logical?
- Is the number of questions right when matched to the scope and resourcing of the M&E Framework?
- Are the questions asked evaluatively: To what extent? To what degree? Rather than did/did not?
- Are the questions clear, dealing with one concept at a time, and not double-barrelled?
- Do the questions link to the monitoring data that can be collected and is available?
- Do the questions link to evaluation data that may be collected?
- Have questions been posed that cannot be answered with the data that is currently available?
- Are the evaluation questions agreed, practical and useful?
- Are they answerable, and if so, will they contribute to an understanding of the program's success, limitations and areas for improvement?

6. THE MONITORING PLAN:

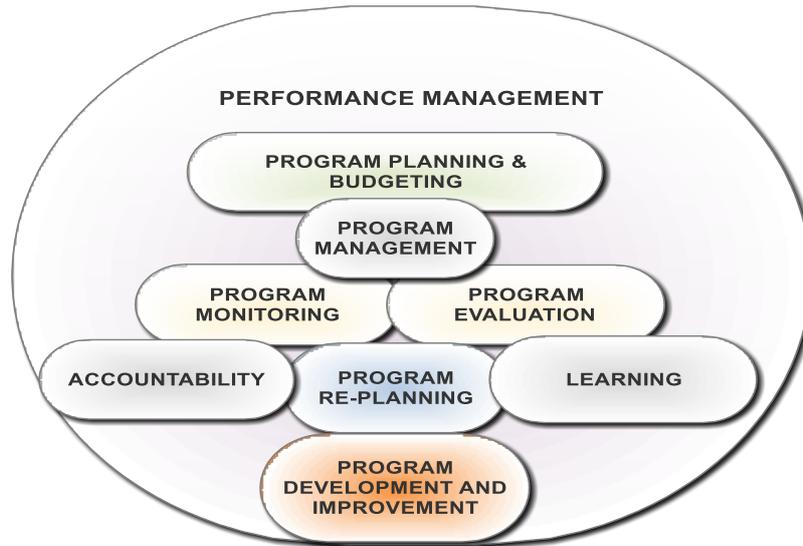
The ongoing collection and analysis of routine information used to both monitor the progress of implementation and to determine whether results are being contributed to or achieved. Using evaluation questions determine how the questions posed will be answered through the collection and analysis of monitoring data.

By way of introduction, the term program is monitoring instead of the term performance monitoring, to clarify that the focus adopted is on developing Monitoring and Evaluation frameworks for programs, and not for organisational systems. Performance management has been referred to using the Results Based Management (RBM) approach. A performance management system ideally encapsulates a range of inter-connected functions including program planning; monitoring of implementation and program fidelity for management and accountability; evaluation processes for learning and improvement and revision of plans based on the use of monitoring and evaluation results.

Monitoring is primarily used to support strategic planning, management and accountability processes enabling managers to track program implementation and progress including outputs produced, outcomes achieved, quality and costs, often against pre-determined performance indicators and targets. Evaluation, by contrast, adopts a logical pattern of reasoning for assessing program performance against an agreed set of standards. It aims to inform policy and program development based on reflection and learning.

Performance management can be depicted as the entity in which the complementary components of monitoring and evaluation are included. The relationships described above are depicted in the diagram below.

Diagram 6: Performance Management



Areas of Monitoring can include:

The Context

- Changes to the incidence, prevalence and nature of the issue or problem being addressed
- Changes against the baseline (changes that have occurred over time since the program commenced)
- Changed understandings about the issue or problem that have emerged over time
- New policies, initiatives, strategies, programs or projects that may have an effect on the program being monitored

Implementation Processes

- Delivery of intended program outputs in key areas (program deliverables on time and budget)
- Financial monitoring (use of funds and resources)

Management and Governance

- Management and administrative arrangements and processes (processes used during program implementation)
- Staffing levels and skills (available personnel of sufficient training and skill to deliver the required services)
- Availability and use of resources (financial and human)
- Stakeholder relationships (formation of relationships needed for program results)

Program Results (to be validated through evaluation)

- Tracking progress toward the program's stated goal and objectives (progress in achieving what the program intended)
- Identifying shorter to intermediate term outcomes (what the program has started to achieve in key result areas)
- Stakeholder relationships (views of stakeholders as to the progress of the program)

Indicators are a measure that when tracked over time, indicate progress (or not) toward a specific target. Indicators should be neutral.

TARGETS indicate the number, timing and location of that which is to be realised. Targets are the quantifiable levels of the indicators that the organisation wants to achieve by a given time.

Performance indicators are considered to be most useful when:

Process

- Indicators have been developed and agreed upon in a participatory manner involving those affected by them and likely to use them.
- Those whose performance will be judged by the selected indicators are satisfied that they are an appropriate measure.
- Indicators selected have a track record, have been successfully field tested and will be regularly reviewed over time.
- Indicators selected are initially limited in number so that the monitoring plan is realistic and can be implemented, building on these over time.
- Baseline data is available in order to establish reasonable targets.

Application

- There is the need to check progress in program implementation against program plans, milestones and targets
- Used for planning and monitoring rather than for evaluation functions.
- A standard measure is needed that can compare changes over time and/or place (trend data).
- Quantitative indicators are balanced with complementary qualitative forms of information.

Attributes

- Indicators selected are meaningful, fit for purpose, easy to understand.
- The value of the indicator has been demonstrated.
- Data for the indicator can be collected and quantified in a meaningful way.
- Financial and human resources are available to allow the indicator to be measured and the benefits of measuring the indicator are worth the costs.
- Indicators are supported by a variety of other different ways of measuring progress and change.

Indicator Types and Features

Indicator Types	Explanation	Examples
<ul style="list-style-type: none"> • Process • Impact 	<ul style="list-style-type: none"> • Process indicators measure implementation and outputs. • Impact indicators are used for measuring outcomes and impacts. 	<ul style="list-style-type: none"> • Process indicator: Number of community education sessions delivered • Outcome indicator: Evidence of attitudinal changes following participation in sessions • Impact indicator: Changes in behaviour following participation in sessions
<ul style="list-style-type: none"> • Direct • Indirect/proxy 	<ul style="list-style-type: none"> • Direct indicators relate to what is being measured • Proxy indicators are used where direct indicators are not considered to be available. • Use of proxy indicators can liable to result in inaccuracies as they attempt to measure one change as a proxy for another 	<ul style="list-style-type: none"> • Direct indicator: number of people from the intended target group participating (indicator for effective program targeting) • Proxy indicator: number of people from the intended target group participating (indicator for motivation to change attitudes and behaviour)
<ul style="list-style-type: none"> • Quantitative • Qualitative 	<ul style="list-style-type: none"> • Percentages, proportions, numbers, units, rates of change, ratios etc. • Satisfaction, quality, perceptions, compliance, standards, practices and behaviours etc. 	<ul style="list-style-type: none"> • Proportion of intended target group members participating in the program • Participant satisfaction with the program
<ul style="list-style-type: none"> • SMART • CREAM (Kusek and Rist, 2004) 	<ul style="list-style-type: none"> • Characteristics of good performance indicators 	<ul style="list-style-type: none"> • Specific, measurable, achievable, relevant and time-bound • Clear, relevant, economic, adequate and monitorable.
<ul style="list-style-type: none"> • Indicator and target separated • Targets set within the indicator 	<ul style="list-style-type: none"> • Indicators and targets adjacent • Indicators and targets incorporated into same sentence 	<ul style="list-style-type: none"> • Indicator: Percentage of people attending the community education sessions drawn from the intended target group • Target: 75%. • Indicator: 75% of program participants drawn from the intended target group.

The approach is to achieve balance between monitoring and evaluation functions and between the needs for effective management, accountability, learning and program improvement. Presented below in the format below is the suggested approach to presenting the monitoring plan. Some monitoring plans also include the elements of the Theory of Change or Program Logic that the questions relate to. For simplicity, this approach has not been adopted for the formats below. It is rather assumed that the questions were generated from the Theory of Change/Program Logic and that they are intrinsically tied to it. In completing the monitoring plan format, consider that some questions can be answered without the use of indicators by drawing on other measures identified in the evaluation plan, more than one indicator can be required for each question, and one indicator may be used to answer a range of different questions.

The Monitoring Plan

Evaluation Questions	Focus of Monitoring	Performance Indicators (when appropriate)	Targets	Monitoring Data Sources	Responsibility Time Frame
Appropriateness					
Effectiveness					
Efficiency					
Impact					
Sustainability					

- Are the functions of the Monitoring Plan clear and understood by all involved in its implementation?
- Has there been stakeholder engagement in the identification of the variables that need to be tracked and measured through routine monitoring?
- Do the variables link well to the program theory and program logic that has been developed?
- Is the Monitoring Plan set out in relation to the set of evaluation questions that have been developed?
- Has there been sufficient scoping of data availability and data collection and analysis capabilities required to support the Monitoring Plan?
- Has consideration been given to the careful and judicious selection of appropriate performance indicators and targets that warrant inclusion in the Monitoring Plan?
- Has there been an analysis undertaken as to whether the information necessary to support the performance indicators is available?
- Have the indicators been developed on the basis of what is data needed to measure and assess the variables selected rather than what data is available?
- Have the indicators been trialled and tested and will they be reviewed?
- Are there targets alongside indicators? If so, were the targets decided with reference to prior performance and base-line benchmarks?
- Have the targets been assessed for how realistic they are?
- Are the targets flexible in case of diminished resources?
- Is there a process for liaising with stakeholders about how well the selected indicators are working in practice and whether they are realistic and achievable?
- Are the performance indicators augmented and supported with other sources of data that are complementary and more explanatory?

7. THE EVALUATION PLAN:

The collection and analysis of information to determine answers to evaluation questions, at both formative and summative stages of the program, in order to understand whether and how program implementation is progressing, the program is achieving its intended results, and the extent to which it is meeting agreed quality standards and value expectations.

Definitions of Evaluation

Differing definitions of program evaluation abound in the evaluation literature. One commonly agreed definition identifies ‘value determination’ as the outstanding focus of program evaluation. The term value determination can be used as an umbrella term to incorporate concepts that are often used interchangeably, such as merit, worth, quality and significance. The key terms ‘value’ and ‘quality’ have been adopted and built into the effectiveness evaluation domain in examining ‘the extent to which the program and broader stakeholder objectives were achieved, or are expected to be achieved, taking into account their relative importance. This includes an overall assessment of the quality and value of the program and the fidelity of its implementation.’ However, as in practice the terms quality, value, merit, worth and significance are sometimes used somewhat interchangeably, the table below attempts to untangle these definitions and provide clarity as to how they are used in this Guide.

Definitions of Quality and Value Table X: Definitions of Value and Quality

Term	Definition
Quality (Merit)	The intrinsic value of a program. This typically involves assessment of the extent to which it meets agreed and defined quality standards.
Value (Worth)	The extrinsic significance, usefulness or benefit of a program to its key stakeholders including funders, program partners and intended beneficiaries.

Evaluation determines the criteria and standards by which a program’s quality and value will be determined. There are alternate definitions of evaluation which focus on the determination of a program’s effects. Some definitions of evaluation emphasise that its primary purpose is to provide feedback to policy makers and planners on results, accomplishments, or impacts (outcomes).

The approach adopted is to focus evaluation on both a program’s effects (results at the outcome and impact level) and its value and quality.

Formative and Summative Evaluations

Evaluations can take place either formatively or summatively, or both. An evaluation is considered formative when it adopts a focus on program implementation with the aim of improving program design and performance. In contrast, summative evaluations are concerned to make judgements about the program’s future and are thus more concerned with the identification of program results, usually at the end of a program’s life. As a summative endeavour, evaluation charts the results of social policies and programs whereas as a formative process, it helps to orient them. Both formative and summative evaluations are required to complete a total picture, though they may be timed to occur at different time intervals, with formative evaluations preceding summative ones.

In undertaking a formative evaluation, program personnel are more likely to become involved so they can review and change the program's direction where needed. This is the form of evaluation that is most likely to be conducted internally. If the evaluation design includes a formative component, it can serve to provide useful insights as to why a program is working or not, identifying improvements. The overlap between formative evaluation and program monitoring exists and the differences between the two lie predominantly in the regularity of the process, with monitoring being routine in nature and undertaken in real-time, while evaluation is periodic with a deeper level of analysis when compared with monitoring. In addition, program evaluation, whether formative or summative, will generally produce better data than can be produced by performance measurement systems alone, as evaluators make deeper investigations, adopt greater rigor to their enquiry and identify unintended as well as intended positive and negative consequences.

The summative stage to the evaluation aims to determine if the program is of value in the broadest sense of the term, and whether and how the program should continue. This type of evaluation is most likely to be conducted externally to ensure its objectivity and independence.

Methodological Pluralism

A wide range of methodological options are available to evaluation including quantitative and qualitative methods and method specific options. The quantitative and qualitative options available mirror those available to classic social science research. Quantitative methods can for instance, include population trend data, surveys, before-after studies, longitudinal tracking studies and randomised control trials. Qualitative methods can include semi-structured interviews, focus groups, case studies, narrative story based methods, workshops, community meetings and direct observation. Because quantitative and qualitative methods have different strengths and limitations, methodological pluralism or mixed methods research has emerged proposing that when the two different methods are combined, they are likely to increase data validity.

The main feature of the approach is to use both quantitative and qualitative methods for evaluation data collection and analysis to achieve a more holistic view of social reality and to offset the limitations of using either data set entirely on its own. Whereas pure mixed methods approaches balance the use of the two types of data equally, the approach adopted in this text is to use qualitative or quantitative data collection methods to best suit the approach required for establishing the answer to the particular evaluation question being posed. The range of data collection methods that can be drawn from for evaluation are summarised in the table below.

Data Collection Methods for Evaluation

	Qualitative Methods	Quantitative Methods
Methods for Individuals	<ul style="list-style-type: none"> • Semi-structured interviews • Case studies • Stories 	<ul style="list-style-type: none"> • Pre-post rankings • Before / after surveys • Longitudinal tracking • Matched comparisons • Testing

Methods for Groups	<ul style="list-style-type: none"> • Case studies • Focus groups • Observation • Workshops • Community meetings • Stakeholder analysis 	<ul style="list-style-type: none"> • Surveys and Questionnaires • Demographic patterns & trends • Census data • Experiments
Other Data / Methods	<ul style="list-style-type: none"> • Secondary Data • Administrative Data • Literature Reviews 	

In addition, there are a range of method-specific approaches that can be used, and should be considered, when exploring the type of evaluation that is to be conducted. Below are some of the method-specific approaches that can be drawn upon for the development of the evaluation plan:

Method Specific Approaches

Approaches	Application	Main Theorists
Realist Evaluation	<ul style="list-style-type: none"> • Consideration of the importance of context in establishing groups that benefitted from a program and those that did not. 	Pawson & Tilley, 1997
Most Significant Change	<ul style="list-style-type: none"> • Recognition of the value of personal stories of change selected on the basis of their significance. 	Dart & Davies, 2003
Case Study approaches	<ul style="list-style-type: none"> • In-depth focus adopted on a person, project, program or community to explore and illustrate program implementation and its effects. 	Simons, 2009
Outcome Mapping	<ul style="list-style-type: none"> • Consideration of the contribution made by program partners to collective results, leading to a plausible assessment of contribution to results achieved. 	Earl, Carden & Smutylo, 2001
Contribution Analysis	<ul style="list-style-type: none"> • Assessment of causality and the contribution of a program to change by engaging stakeholders in the development of a contribution story. 	Mayne, 2011
Appreciative enquiry	<ul style="list-style-type: none"> • Provision of a focus on an organisation, a program and/or its beneficiaries and their strengths rather than their weaknesses. 	Preskill & Catsambas, 2006
Transformative evaluation	<ul style="list-style-type: none"> • Contribution to social justice and social transformation by informing social policies and guiding program design and development. 	Mertens, 2009
Empowerment Evaluation	<ul style="list-style-type: none"> • Facilitation, through self-determination and empowerment, stakeholder and program beneficiary engagement in the evaluation processes. 	Fetterman & Wandersman, 2005.
Participatory Evaluation	<ul style="list-style-type: none"> • Increased relevance of evaluations through forging a working partnership between evaluators and evaluation users. 	Cousins & Earl, 1995
Reflective Evaluation	<ul style="list-style-type: none"> • Fostering learning processes that work to facilitate organisational change. 	Preskill & Torres, 1999
Utilisation Focussed Evaluation	<ul style="list-style-type: none"> • Increased use of evaluation as knowledge that is generated is used by the intended users. 	Patton, 2012
Developmental Evaluation	<ul style="list-style-type: none"> • Development of innovative, adaptive approaches for complex and dynamic contexts. 	Patton, 2011

We now can present the format suggested for development of the Evaluation Plan.

The Evaluation Plan

Evaluation Questions	Summary of Monitoring	Focus of Evaluation	Evaluation Method	Method Implementation	Responsibility Time Frame
Appropriateness					
Effectiveness					
Efficiency					
Impact					
Sustainability					

- Will evaluations occur at both formative and summative stages of the Program, or cover formative and summative areas of enquiry?
- Is there a strategy for undertaking systematic and periodic evaluations?
- Has funding been set aside for evaluative activities?
- Is there a plan for when evaluations will take place (bi-annual, mid-term, end of project) and what form they will be in (internal/external)?
- Is the Evaluation Plan set out in a similar manner to the Matrix presented below?

8. DATA COLLECTION AND MANAGEMENT:

Data Collection Strategies

- What sorts of data collection methods are included in the framework (e.g. multi-method)?
- Was the process used for deciding on data collection methods outlined and documented?
- What kinds of data are collected (qualitative, quantitative, focused on outputs or outcomes)?
- Are any innovative data collection methods being used that are designed for the context?
- Are the challenges faced in data collection openly identified and addressed?
- Are there protocols in place between funders and funded programs or peak bodies regarding the collection and use of data collected?
- How is accuracy of data collected verified?
- Are programs encouraged to use data collected for their own internal learning and evaluation?
- Is there a system in place for the review of the data collected based on feedback re ease of collection and utility of the data?

Data Management

- Is there a management information system/database established for ease of data collection and analysis?
- What is its capacity to generate required reports? Can it cross tabulate different variables?
- What technology is available to support the data system (hardware, software, IT support)?
- What is the relationship between those who collect, enter and provide data reports and those who analyse the findings emerging from the data?
- Can data reports be produced on a regular and timely basis to allow tracking of progress?
- Is there a strategy for ensuring ease and accuracy of data collection systems designed for programs that may have limited capacity?
- Is the data system expensive to operate in relation to its value?

Data Methods: Do data collection methods include the following (if applicable):

PROCESS

- Demographic data on the target group accessing the program
- Reports on numbers, types, frequency of outputs delivered
- Program performance against specified output level indicators and targets

OUTCOMES AND IMPACTS

- Program performance against specified outcome level indicators and targets
- Interviews/focus groups and/or surveys with key stakeholders and beneficiaries
- Reviews of records and other documentation
- Before/after instruments (pre-testing/post-testing)
- Collection of panel survey data over time intervals (longitudinal)
- Comparison of program results against matched sample program results (quasi-experimental)
- Experimental impact assessment designs (if appropriate)
- Testing the program logic with key stakeholder audiences
- Changes to demographic characteristics of geographic areas or program users (census and other population level data)

9. LEARNING AND COMMUNICATION STRATEGY:

- How well are the learning and communication aspects identified?
- Are there opportunities to bring stakeholders together to reflect on the learnings generated by the M&E process?
- Are there clearly identified mechanisms for utilising the findings from monitoring and evaluation activities?
- How well are promising interventions, innovative approaches and lessons learned identified?

Reporting Process

- Are the types of reports or other written products that will be produced during the M&E cycle and when they will be produced specified?
- Are the audiences for these reports identified?
- Are the potential audiences for the reports identified?
- Is the purpose of the reports explained (e.g. accountability, education, influence, promotion of reflection and learning)?
- Is reporting tailored to different audience needs?
- Do stakeholders have an opportunity to provide feedback on the effectiveness of reporting?

Reporting Influence

- Do M&E reports inform and guide decision making and resource allocation processes?
- Do M&E reports inform funders, policy developers, decision-makers and key stakeholders about progress toward program, objectives and outcomes?
- Depending on the purpose of the M&E reports, do they assist with:
 - Responding to demands for accountability
 - Formulation and justification of budget requests
 - Operational resource allocation decisions
 - Identification of performance issues and corrections required
 - Monitoring the performance of contractors and grantees
 - Ensuring services are delivered efficiently
 - Motivation of personnel to continue program improvements
 - Provision of data for use in scheduled program evaluations
 - Support of strategic and long-term planning processes
- Do the reports move horizontally and vertically?
- Is there a relationship between M&E reports, Annual Reports and Budget Statements?
- Are promising interventions, innovative approaches and lessons learned disseminated?

10. THE FORMAT FOR A MONITORING & EVALUATION FRAMEWORK

A Monitoring and Evaluation Framework should ideally cover the following key areas:

1. **Introduction to the Framework:** setting out the constructs and processes used in the formulation of the approach to monitoring and evaluation. Ideally the Introduction should include the functions the Framework intends to serve, its governing principles, the approach adopted to consultation and participation in its development and implementation, the priority of the Framework within its host organisation, funding and organisational capacity for M&E functions.
2. **Program Profile:** This section should establish background and context issues and their impact upon monitoring and evaluation activities. It should include the program aims objectives, the program theory from which they were derived, the needs analyses completed and the status of baseline and stakeholder analyses.
3. **Program Logic:** indicating the intended connections between inputs, activities, outputs, outcomes and impacts. Not all Frameworks will use this schema but a similar attempt at mapping logic or theory of change should be available.
4. **The Monitoring Plan:** This usually includes a plan that outlines what is to be monitored and how.
5. **The Evaluation Plan:** This also involves a plan outlining the evaluation questions and approach. It should articulate with and refer to the Monitoring Plan.
6. **Data Collection and Analysis Strategy:** Frameworks should ideally include a strategy for identifying what data is to be collected and how it is to be assimilated and analysed.
7. **Reporting Strategy:** This also involves the articulation of a strategy detailing the approach to and workplan for producing and disseminating monitoring and evaluation results.
8. **Implementation Strategy:** a strategy for identifying how the framework will be put into practice.
9. **Strategy for Learning and Reflection:** A strategy for identifying how the monitoring and evaluation results will be used to inform learning and program refinement.
10. **Data Collection and Reporting Formats:** Ideally the Framework should include pro-formas and data collection tools that have been designed and developed for data collection and reporting.

Glossary of Monitoring & Evaluation Terms

Activity	Actions taken or work performed through which inputs, such as funds and other types of resources, are mobilised to produce specific outputs. Activities define ‘what we do’ in our everyday work within a program.
Appropriateness	A measure of whether an intervention is suitable in terms of achieving its desired effect and working in its given context. Suitability may apply, for example, to whether the intervention is of an appropriate type or style to meet the needs of major stakeholder groups.
Assumptions	Hypotheses about factors or risks which could affect the progress or success of an intervention.
Data Collection Tools	Methodologies used to collect information during monitoring and evaluation. Examples are informal and formal surveys, key stakeholder and community interviews, focus groups, expert opinion, case studies.
Effectiveness	The extent to which the intervention’s objectives were achieved, or are expected to be achieved, taking into account their relative importance.
Efficiency	A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.
Evaluation	The systematic and objective assessment of an on-going or completed project, program or policy, its design, implementation and results. The aim is to determine the appropriateness and fulfilment of objectives, efficiency, effectiveness, impact and sustainability.
Formative Evaluation	Evaluation intended to improve performance, most often conducted during the implementation phase of projects or programs
Goal	The higher-order objective to which an intervention is intended to contribute.
Impact	Positive and negative, long-term effects produced by an intervention, directly or indirectly, intended or unintended. Intermediate to longer term changes related to program activities and outputs, and in fulfilment of the program purpose.
Indicators	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 performance. Ways of measuring (indicating) the changes expected from particular aspects of the program. Tools commonly identified at levels of purpose, outputs, outcomes and impact.
Inputs	The financial, human, and material resources used for the intervention.
Logical framework	Management tool used to improve the design of interventions, most often at the program level. It involves identifying strategic elements (inputs and outputs and maybe outcomes and impacts) and their causal relationships, indicators, and the assumptions or risks that may influence success and failure. It thus facilitates planning, execution and evaluation of an intervention.
Mid-term evaluation	Evaluation performed towards the middle of the period of implementation of the intervention.
Monitoring	A continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds.
Objective	Intended result contributing to physical, financial, institutional, social, environmental, or other benefits to a society, community, or group of people via one or more interventions.

Outcome	The likely or achieved short-term and medium-term effects of an intervention's outputs. Immediate to intermediate changes in behaviour or actions related to the effect or influence of the program activities and outputs, and in fulfilment of the program purpose. It includes the identification of unintended or unwanted outcomes.
Outputs	The products, goods and services which result from an intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes.
Participatory monitoring and evaluation	Method in which representatives of agencies and stakeholders work together in designing, carrying out and interpreting a monitoring and evaluation system.
Program Evaluation	Evaluation of a set of interventions that are intended to attain specific national, statewide or sector objectives. Note: A program is a time bound intervention involving multiple activities that may cut across sectors, themes and/or geographic areas.
Project Evaluation	Evaluation of an individual intervention designed to achieve specific objectives within specified resources and implementation schedules, often within the framework of a broader program.
Purpose	Intended higher level result contributing to physical, financial, institutional, social, environmental, or other benefits to a society, community, or group of people via one or more interventions.
Results	The output, outcome or impact (intended or unintended, positive and/or negative) of an intervention.
Review	An assessment of the performance of an intervention, periodically or on an ad hoc basis. Note: Frequently "evaluation" is used for a more comprehensive and/or more in depth assessment than "review". Reviews tend to emphasise operational aspects. Sometimes the terms "review" and "evaluation" are used as synonyms.
Stakeholders	Agencies, organisations, groups or individuals who have a direct or indirect interest in the intervention or its evaluation.
Summative evaluation	A study conducted at the end of an intervention (or a phase of that intervention) to determine the extent to which anticipated outcomes were produced. Summative evaluation is intended to provide information about the worth of the program.
Sustainability	The continuation of benefits from an intervention after assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time.
Terms of reference	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. Two other expressions sometimes used with the same meaning are "scope of work" and "evaluation mandate".

BIBLIOGRAPHY & RESOURCES

CORE FOUNDATIONS FOR EVALUATION

Alkin, M.C. (2013). *Evaluation Roots: A Wider Perspective of Theorists' Views and Influences*. Thousand Oaks, CA: Sage.

Davidson, J. (2005). *Evaluation Methodology Basics: The Nuts and Bolts of Sound Evaluation*. Thousand Oaks, CA: Sage.

Fitzpatrick, J.L., Sanders, J.R. & Worthen, B. (2011). *Program Evaluation: Alternative Approaches and Practical Guidelines*. 4th Edition. New Jersey USA: Pearson.

Markiewcz, A. & Patrick, I. (2015). *Developing Monitoring and Evaluation Frameworks*. Thousand Oaks, CA: Sage.

Mertens, D.M. & Wilson, A.T. (2012). *Program Evaluation Theory and Practice*. The Guildford Press.

Owen, J.M. & Rogers, P.J. (1999). *Program Evaluation Forms and Approaches*. Second Edition. NSW: Allen and Unwin.

Patton, M.Q. (2008). *Utilization-Focused Evaluation*. 4th edition. Thousand Oaks, CA: Sage.

Posavac, E.J. & Carey, R.G. (2003). *Program Evaluation: Methods and Case Studies*. Sixth Edition. New Jersey: Prentice Hall.

Patton, M.Q. (2011). *Developmental Evaluation: Applying Complexity Concepts to Enhance Innovation and Use*. New York: The Guilford Press.

Patton, M.Q. (2012). *Essentials of Utilisation-Focused Evaluation*. Thousand Oaks, CA: Sage.

Rossi, P.H., Lipsey, M.W., & Freeman, H.E. (2004). *Evaluation: A Systematic Approach*. 7th edition. Thousand Oaks, CA: Sage.

Stufflebeam, D.L. & Shinkfield, A.J. (2007). *Evaluation Theory, Models and Applications*. CA: Jossey-Bass.

Wholey, J.S., Harty, H.P., & Newcomer, K.E. (Eds) (2010). *Handbook of Practical Program Evaluation*. USA: Jossey-Bass.

Williams, B. & Hummelbrunner, R. (2011). *System Concepts in Action: A Practitioner's Toolkit*. CA: Stanford Business Books.

PROGRAM THEORY/LOGIC

Donaldson, S.I. (2007). *Program Theory-Driven Evaluation*. NY: Psychology Press.

Frechtling, J.A. (2007). *Logic Modeling Methods in Program Evaluation*. USA: Jossey-Bass.

Funnell, S.C. & Rogers, P.J. (2011). *Purposeful Program Theory*. USA: Jossey-Bass.

Knowlton, L.W. & Phillips, C.C. (2013). *The Logic Model Guidebook: Better Strategies for Great Results*. Second Edition. Thousand Oaks, CA: Sage.

University of Wisconsin Extension School (Program Logic) web based resource

INTERNATIONAL M&E APPROACHES

Bamberger, M., Rugh, J. & Mabry, L. (2012). 2nd Ed. *Real World Evaluation: Working Under Budget, Time, Data and Political Constraints*. Thousand Oaks, CA: Sage

Chianca, T. (2008). The OECD/DAC Criteria for International Development Evaluations: An Assessment and Ideas for Improvement. *Journal of MultiDisciplinary Evaluation* (pp 41- 51). Vol.5, No.9. March.

De Coninck, J. (2008). *Planning, Monitoring and Evaluation in Development Organisations*. Thousand Oaks, CA: Sage

Donaldson, S.I., Azzam, T. & Conner, R.F. (eds.) (2013). *Emerging Practices in International Development Evaluation*, USA Information Age Publishing Inc.

Kusek, J.Z. & Rist, R.C. (2004). *Ten Steps to a Results-Based Monitoring and Evaluation System*, Washington DC, The World Bank

Mebrahtu, E. & Pratt, B. (2007). *Rethinking Monitoring and Evaluation: Challenges and Prospects in the Changing Global Aid Environment*. INTRAC

Mikkelsen, B. (2005). *Methods for Development Work and Research*. Thousand Oaks, CA: Sage.

Morra Imas, L.G. & Rist, R.C. (2009). *The Road to Results: Designing and Conducting Effective Development Evaluations*, Washington DC, The World Bank

Oakely, P., Pratt, B. & Clayton, A. (2006). *Outcomes and Impact: Evaluating Change in Social Development*. NGO Management and Policy Series No. 6, INTRAC.

M&E SYSTEMS

Calley, N.G (2011). *Program Development in the 21st Century An Evidence Based Approach to Design, Implementation and Evaluation*. Thousand Oaks, CA: Sage.

Kettner, P.M. (2013). *Designing and Managing Programs An Effectiveness Based Approach*. 4th Edition. Thousand Oaks, CA: Sage

Huey-Tsyh Chen (2005). *Practical Program Evaluation - Assessing and Improving Planning, Implementation, and Effectiveness*. Thousand Oaks, CA: Sage

Laubli, L. and Mayne, (2013) *J. Enhancing Evaluation Use*. Thousand Oaks, CA: Sage.

Mc David, J. & Hawthorn (2013). *'Program Evaluation and Performance Measurement* Thousand Oaks, CA: Sage.

Van Dooren, W., Bouckaert, G. & Halligan, J. (2010). *Performance Management in the Public Sector*. UK: Routledge.

EVALUATION CAPACITY BUILDING

Preskill, H. & Torres, R.T. (1998). *Evaluative Inquiry for Learning in Organizations*

Preskill, H. & Russ-Eft, D. (2005). *Building Evaluation Capacity*. Thousand Oaks, CA: Sage.

Schiavo-Campo, S. (2005) 'Building Country Capacity for Monitoring and Evaluation in the Public Sector: Selected Lessons of International Experience', *World Bank Evaluation Capacity Development Working Paper*, no. 13, World Bank, Washington, D.C.

WEB BASED GUIDES FOR DEVELOPING M&E SYSTEMS

UNDP RBM material Handbook on Planning, Monitoring and Evaluating for Development Results
[http://www.undg.org/content/programming_reference_guide_\(undaf\)/un_country_programming_principles/results-based_management/rbm_handbook](http://www.undg.org/content/programming_reference_guide_(undaf)/un_country_programming_principles/results-based_management/rbm_handbook)

International Fund for Agricultural Development (IFAD), (2002), *A Guide for Project M&E*, website:
www.ifad.org/evaluation/guide

UNPF (United Nations Population Fund) *Monitoring & Evaluation Toolkit for Programme Managers*.
Website: www.unfpa.org/monitoring/toolkit.htm

Kellogg Foundation Evaluation Tool kit www.wkkf.org/resource-directory#pp=10&p=1&q=Evaluation%20

UNICEF Evaluation for Equitable Development Results
www.capacity.org/capacity/export/sites/capacity/documents/topic-readings/Evaluation_for_equitable_results_web.pdf

World Bank
http://gametlibrary.worldbank.org/FILES/215_M&E%20Guidelines%20on%20Indicators%20and%20Data%20Sources.pdf

NSW Government Evaluation Framework (2013)
http://www.dpc.nsw.gov.au/_data/assets/pdf_file/0009/155844/NSW_Government_Evaluation_Framework_August_2013.pdf

M&E METHODS

Appreciative Enquiry website: <http://appreciativeinquiry.case.edu>

Dart, J.J. and Davies R.J. (2005), *The Most Significant Change (MSC) Technique*

Dart, J.J. and Davies R.J. (2003), 'A dialogical story-based evaluation tool: the most significant change technique', *American Journal of Evaluation*, 24, 137-155.

Earl, S.; Carden, F.; & Smutylo, T. (2001), *Outcome Mapping: Building Learning and Reflection into Development Programs*, International Development Research Centre, Canada. Harvard Family

Kotvojs, F and Shrimpton, B. (2007), 'Contribution Analysis- A New Approach to Evaluation in International Development', *Evaluation Journal of Australasia*, Vol. 7, No.1, pp 27-35

Mayne, J. (2001), 'Addressing Attribution through Contribution Analysis: Using Performance Measures Sensibly', *The Canadian Journal of Program Evaluation*, Vol.16, no. 1, pp 1-24.

Research Project, Harvard Graduate School of Education, *The Evaluation Exchange*, Vol. XIII Number 1, Spring 2007

M&E INFLUENCE

Gordillo, G., and Andersson, K. (2004), 'From Policy Lessons to Policy Actions: Motivation to Take Evaluation Seriously', *Public Administration and Development*, vol 24, no. 4, pp. 304-320

IFAD: *Lessons through Evaluation*, Lessons learned through the evaluations conducted by IFAD – listed by themes and regions. Website:
www.ifad.org/evaluation/public_html/eksyst/doc/ile/index.htm

GLOSSARIES OF EVALUATION TERMS

OECD/DAC: Glossary of Key Terms in Evaluation and Results-Based Management, website:
<http://www.oecd.org/dataoecd/29/21/2754804.pdf>

UnAID Glossary of Terms in Monitoring and Evaluation

http://www.unaids.org/en/media/unaids/contentassets/documents/document/2010/11_ME_Glossary_FinalWorkingDraft.pdf

RECOMMENDED RESOURCE WEBSITES

www.mande.co.uk The focus of this website and MandE News is on methods of monitoring and evaluating the progress and outcomes of development aid programs.

www.betterevaluation.org An international collaboration to improve evaluation practice and theory by sharing information about methods and approaches.

www.mymande.org Interactive learning resource to share knowledge on country-led M&E systems worldwide
– E Learning based