MONITORING AND EVALUATION GUIDELINES

KHALED EHSAN

MONITORING AND EVALUATION ADVISOR

Foreword

The growing demand for results from interreligious and intercultural dialogue is largely based on the realization that producing good "trainings" or "workshops" is not enough. Efficient or well-managed interventions and outputs will lose their relevance if they yield no discernible change in peoples' lives. KAICIID is therefore increasing its focus on results and how it can better contribute to them in its efforts to unify different religious communities and institutions towards peace.

To support this strategic shift toward results, KAICIID introduced in 2017 a strong and coherent Monitoring and Evaluation Policy Framework that promotes learning and performance measurement using results-based management (RBM), a methodology in which performance at the level of development goals and outcomes is systematically measured and improved, and resources are strategically managed and put to the best possible use to enhance the organization's development effectiveness. This shift is quite critical for KAICIID as it highlights the need for a "culture of performance" and calls for all programming instruments—including monitoring and evaluation—to be aligned with the RBM methodology.

In the future, the success of KAICIID will be measured by its contributions to the achievement of outcomes (the development changes that KAICIID works towards through, among other things, its projects, programmes and partnerships). It is more evident than ever that positive development change towards peaceful coexistence and harmony rests on strengthening institutions, improving policy frameworks and forging strategic partnerships. Monitoring and evaluation activities in KAICIID are responding to the intensified focus on outcomes by shifting towards better measurement of performance and more systematic monitoring and reporting; most importantly, such activities are fostering an organizational culture of learning, transparency and accountability.

This Guideline, which is based on the Monitoring and Evaluation Policy Framework, addresses the monitoring and evaluation of development results. It is intended to support all KAICIID professional staff in aligning their monitoring and evaluation systems with RBM methodology—specifically in tracking and measuring the performance of KAICIID interventions and strategies and their contributions to outcomes. It aims to provide simple, flexible and forward-looking tools and is guided by three equally important objectives: to align the monitoring and evaluation system with results-based management; to promote evaluative knowledge and learning around results; and to simplify policies and procedures.

Changes in the mind-set and approach of staff are called for by several elements of this Guideline, which places a premium on coherent and long-range planning around results; partnering for institutional change; capacity building for and ownership of monitoring and evaluation; and promoting knowledge, learning and the use of evaluative evidence. A certain amount of training will therefore be necessary. Although we fully expect to learn from this new Guideline and update it as it evolves, it is important to underscore that its introduction represents a key step forward for KAICIID. The tools and policies described here are intended to promote the use of evaluative evidence so that lessons learned inform our management decisions and future programming decisions.

Fahad Abualnasr
Director-General

Preface

This Guideline has evolved from the work undertaken during the past year on KAICIID's Monitoring and Evaluation (M&E) Policy Framework; it is also fundamentally based on my substantive engagement with M&E policies and practices within the UN system agencies in general and the UNDP in particular. It provides an overall context for understanding results-based M&E language and reviews tools and techniques for planning and managing M&E activities. As Michael Quinn Patton, one of the most eloquent and persuasive advocates for user-focused evaluation, puts it "*Language matters. It simultaneously suggests possibilities and communicates boundaries.*"

The text covers virtually all aspects of the monitoring and evaluation process from soup to nuts. Step-by- step tips address different elements alongside broader strategies for developing a results based monitoring and evaluation framework. Throughout, concepts are illustrated with annotated diagrams and boxes as well as strategies to avoid common errors and pitfalls. The M&E Guideline is expected to enable programme staff in particular to undertake M&E using RBM principles. In a sense, it is an extension of the M&E Policy Framework endorsed last year and helps to apply it in practice. Those staff members who have already completed their Project Management Professional course administered by the Project Management Institute, are specifically expected to play an active role in promoting the use of the Guideline since over two-thirds of the PMP process is directly in sync with the RBM principles and techniques highlighted in the Guideline. In addition, there will be periodic 'in-house' RBM training that will be closely linked to the internalization and application of the Guideline.

Essentially, the Guideline can be viewed as a virtual cookbook of the appropriate ingredients needed to construct a successful M&E framework. However, it is not cast in stone. A guideline should be a 'living' document that can be updated after the implementation of a given programme cycle – i.e. 3-5 years – if deemed necessary. It has to be a two-way process, which presupposes full internalization and application of the Guideline in different programming contexts. Drawing from programme experience is a critical aspect since no guideline can be 'complete' or 'full-proof'.

I would like to take this opportunity to thank Fahad Abualnasr, Director-General, for his unstinting support to this exercise and his strong commitment to fostering results based management principles within the organization. Hearty thanks are due to all the colleagues from the Programme Department and the Organsiational Support Services, who participated in the in-house RBM trainings during 2017 and 2018. The detailed informal feedback I received from these training sessions was of particular value in helping me to prepare this Guideline. Thanks are also due to Elham Alshejni, Director, Executive Management Team, who provided valuable insight and acted as a sounding board throughout the preparation of this Guideline.

Khaled Ehsan
Monitoring & Evaluation
Adviser

Contents

Purpose of the Guideline

This Guideline is intended to:

■ Strengthen the results-oriented monitoring and evaluation function and capacity in KAICIID for the purpose of improving programmes and policies, organizational learning and accountability;

■ Introduce simplified, streamlined and flexible approaches and tools to monitor progress towards outcomes that are consistent with the organization's simplification initiative and that draw on the experience of KAICIID and its partners;

■ Present methods to link the outputs of KAICIID projects, programmes, policies, partnerships and "soft" assistance with progress towards out- comes within the Strategic Plan of the organsiation;

■ Explain new innovations and methodologies in results-oriented monitoring and evaluation, including the role of partners; and

■ Provide practical guidance to programme and management staff on monitoring and performance assessment.

Structure and content

The Guideline is organized as follows:

Part I presents the conceptual and operational framework for monitoring and evaluation in a results-based context. It introduces the elements of the new framework, defines the key concepts of outcome monitoring and outcome evaluation, and delineates their scope and purposes – in line with the organisation's Monitoring and Evaluation Policy Framework.

Part II is the main body of the Guideline, intended for daily use. It provides practical guidance on the planning, organization and conduct of monitoring and evaluation processes focused on development results (outcomes and outputs). It provides approaches and methods that can be used to measure performance through monitoring and evaluation. The corresponding tools are featured in annexes.

Part III discusses performance measurement and the use of indicators in monitoring and evaluation.

Part IV addresses the role of evaluative evidence for organizational learning and knowledge management.

The **Annex** includes a sample Terms of Reference (TOR) and a list of key reference used to develop this Guideline. Also in the annex is the glossary. All users of this Guideline are encouraged to provide feedback on the publication as well as lessons learned from experience to the Monitoring and Evaluation Adviser, thereby helping to improve continually the monitoring and evaluation framework. Please also consult the KAICIID website (K Drive) to access the Monitoring and Evaluation Policy Framework to which this Guideline is fundamentally linked.

PART I. THE MONITORING AND EVALUATION FRAMEWORK

Chapter 1. Definitions and Purposes

Monitoring and evaluation enhance the effectiveness of KAICIID assistance by establishing clear links between past, present and future interventions and results. Monitoring and evaluation can help an organization to extract, from past and ongoing activities, relevant information that can subsequently be used as the basis for programmatic fine-tuning, reorientation and planning, as well as identifying results. Without monitoring and evaluation, it would be impossible to judge if work was going in the right direction, whether progress and success could be claimed, and how future efforts might be improved.

This chapter provides definitions of monitoring and evaluation. It also highlights the main purposes of monitoring and evaluation, and explains how these functions are of use to the organization.

This chapter covers:

A.   **Definitions of monitoring and evaluation**
B.   **Purposes of monitoring and evaluation**

A.   Definitions of Monitoring and Evaluation

Monitoring can be defined as a continuing function that aims primarily to provide the management and main stakeholders of an ongoing intervention with early indications of progress, or lack thereof, in the achievement of results. An ongoing intervention might be a project, programme or other kind of support to an outcome. (See Chapter 4 and the Annexes for more on monitoring.)
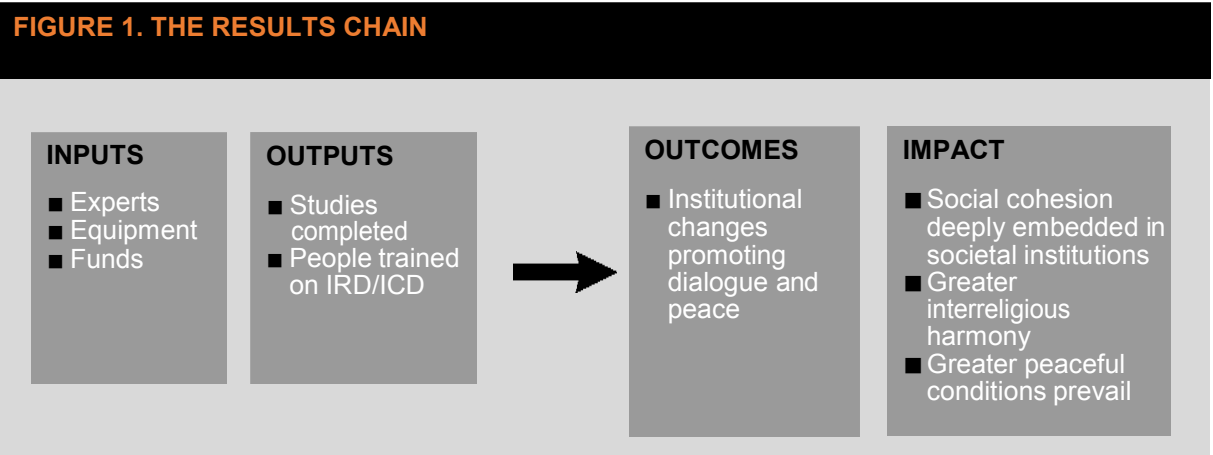
Evaluation is a selective exercise that attempts to systematically and objectively assess progress towards and the achievement of an outcome. Evaluation is not a one-time event, but an exercise involving assessments of differing scope and depth carried out at several points in time in response to evolving needs for evaluative knowledge and learning during the effort to achieve an outcome. All evaluations—even project evaluations that assess relevance, performance and other criteria—need to be linked to outcomes as opposed to only implementation or immediate outputs. (See Chapter 5 on evaluation.)

Reporting is an integral part of monitoring and evaluation. Reporting is the systematic and timely provision of essential information at periodic intervals. Monitoring and evaluation take place at two distinct but closely connected levels: One level focuses on the **outputs**, which are the **specific products and services** that emerge from processing inputs through programme, project and other activities such as through ad hoc soft assistance delivered outside of projects and programmes.

The other level focuses on the **outcomes** of KAICIID interventions, which are the **changes in development** conditions that KAICIID aims to achieve through its projects and programmes. Outcomes incorporate the production of outputs and the contributions of partners.

Traditionally, KAICIID staff has been more familiar with the first level: monitoring and evaluation that is programme and project based and that views performance in terms of outputs. Now, the challenge is to go beyond this level and to link performance with outcomes, with rigorous and credible assessments of progress towards and achievement of outcomes.

Approaches, techniques and tools for monitoring and evaluation, which should be applied at both levels, are presented throughout the Guideline. Figure 1 illustrates how outputs and outcomes inter-relate during the process of achieving results.

FIGURE 1. THE RESULTS CHAIN

INPUTS	OUTPUTS	OUTCOMES	IMPACT
■ Experts ■ Equipment ■ Funds	■ Studies completed ■ People trained on IRD/ICD	■ Institutional changes promoting dialogue and peace	■ Social cohesion deeply embedded in societal institutions ■ Greater interreligious harmony ■ Greater peaceful conditions prevail

Two other terms frequently used in monitoring and evaluation are defined below:

Feedback is a process within the framework of monitoring and evaluation by which information and knowledge are disseminated and used to assess overall progress towards results or confirm the achievement of results. Feedback may consist of findings, conclusions, recommendations and lessons from experience. It can be used to improve performance and as a basis for decision-making and the promotion of learning in an organization. (See Chapter 7 on knowledge and learning.)

A lesson learned is an instructive example based on experience that is applicable to a general situation rather than to a specific circumstance. It is learning from experience. The lessons learned from an activity through evaluation are considered evaluative knowledge, which stakeholders are more likely to internalize if they have been involved in the evaluation process. Lessons learned can reveal "good practices" that suggest how and why different strategies work in different situations — valuable information that needs to be documented.

B.   Purposes of Monitoring and Evaluation

Monitoring and evaluation help improve performance and achieve results. More precisely, the overall purpose of monitoring and evaluation is the **measurement and assessment of performance** in order to more effectively manage the outcomes and outputs known as development results. Performance is

defined as progress towards and achievement of results. As part of the emphasis on results by the KAICIID management, the need to demonstrate performance is placing new demands on monitoring and evaluation across the Programme Department and partners in general.

Traditionally, monitoring and evaluation focused on assessing inputs and implementation processes. Today, the focus is on assessing the contributions of various factors to a given development outcome, with such factors including outputs, partnerships, policy advice and dialogue, advocacy and brokering/coordination. Programme Managers are being asked to actively apply the information gained through monitoring and evaluation to improve strategies, programmes and other activities.

The main objectives of the current results-oriented monitoring and evaluation are to:

- Enhance organizational and development learning;
- Ensure informed decision-making;
- Support substantive accountability and KAICIID repositioning; and
- Build partners' capacity in each of these areas, and in monitoring and evaluating functions in general.

These objectives are linked together in a continuous process, as shown in Figure 2. Learning from the past contributes to more informed decision-making. Better decisions lead to greater accountability to stakeholders. Better decisions also improve performance, allowing for KAICIID activities to be repositioned continually.

FIGURE 2. OBJECTIVES OF MONITORING AND EVALUATION

Monitoring and evaluation help staff to...

- Be accountable & reposition
- Build Capacities for ICD/IRD
- Learn from experience
- Make more informed decisions
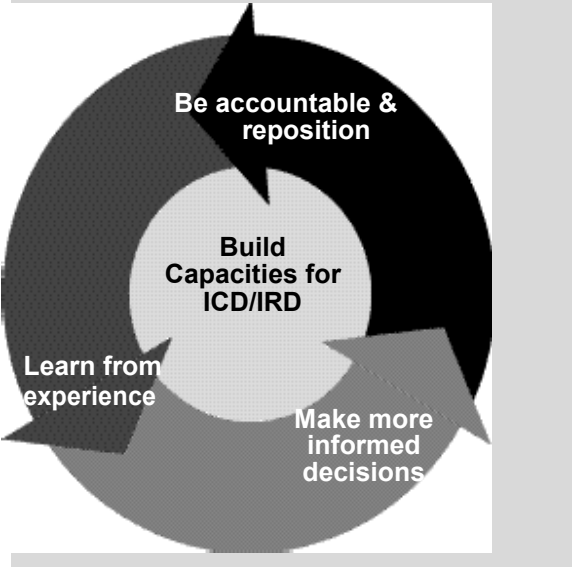
Partnering closely with key stakeholders throughout this process also promotes shared knowledge creation and learning, helps transfer skills, and develops the capacity of KAICIID staff and projects for planning, monitoring and evaluation. These stakeholders also provide valuable feedback that can be used to improve performance and learning. In this way, good practices at the heart of monitoring and evaluation are continually reinforced, making a positive contribution to the overall effectiveness of the organisation's IRD and ICD interventions.

Chapter 2.   The Shift Towards Results-Based Management

This chapter defines results-based management (RBM) and highlights the main features of a results-based monitoring and evaluation system. It presents the role of monitoring and evaluation within the context of KAICIID's shift towards RBM, which has been gaining momentum since early 2017. It also compares past approaches with the current results-based approach. This chapter should help users pinpoint any areas in which changes in behaviour are required, and to align monitoring and evaluation activities accordingly.

The chapter covers:

A.   **Monitoring and evaluation in the context of RBM**
    i.   **Outcome monitoring**
    ii.   **Outcome evaluation**
    iii.   **Relationship between outcome monitoring and outcome evaluation**
    iv.   **Importance of partnerships**
    v.   **Significance of "soft" assistance**

B.   **Implications for the Centre**
    i.   **Changes in tools and processes**
    ii.   **Roles and responsibilities**
    iii.   **Practical challenges for Programme Managers**

A.   Monitoring and Evaluation in the Context of RBM

An increasing emphasis on results is bringing about some major changes in the focus, approach and application of monitoring and evaluation within KAICIID. Central to these changes is results-based management.

Results-based management (RBM) is a management strategy or approach by which an organization ensures that its processes, products and services contribute to the achievement of clearly stated results. Results-based management provides a coherent framework for strategic planning and management by improving learning accountability, inclusiveness and transparency. It is also a broad management strategy aimed at achieving important changes in the way agencies operate, with improving performance and achieving results as the central orientation, by defining realistic expected results, monitoring progress toward the achievement of expected results, being flexible to emerging situations and integrating lessons learned into management decisions and reporting on performance.

I.   OUTCOME MONITORING

KAICIID interventions consist of projects, programmes, partnerships and "soft" assistance such as advocacy delivered outside projects or programmes — all acting in concert to achieve an outcome, or development change towards peace. The monitoring of these outcomes represents a distinct shift away from the past interest in monitoring project outputs. As noted in Chapter 1, this shift will make it possible

to determine the success of KAICIID interventions by their measurable contribution to development or institutional changes.

Outcome monitoring is a continual and systematic process of collecting and analyzing data to measure the performance of KACIID interventions towards achievement of outcomes at both country and institutional levels. While the process of outcome monitoring is continual in the sense that it is not a time-bound activity, outcome monitoring must be **periodic**, so that change can be perceived. In other words, programme managers will need to accumulate information on an ongoing basis regarding progress towards an outcome, and then periodically compare the current situation against the baseline for outcome indicators and assess and analyze the situation so as to assess progress towards intended results.

In order to monitor outcomes and outputs effectively, programme managers have to determine exactly which projects, programmes and other activities contribute to any specific outcome. "Other activities" may include advice, advocacy and other types of soft assistance delivered outside of projects or programmes.

Outcome monitoring focuses on the following interventions and strategies and their implications:

- Projects
- Programmes
- Partnerships
- "Soft" assistance in the form of policy advice, policy dialogue, advocacy, brokerage/ coordination provided outside of established projects or programmes
- Implementation strategies

How do Programme Managers carry out outcome monitoring? They track the outputs and measure their contributions to outcomes by assessing the change from baseline conditions. Programme Managers need to keep an eye on key outputs (the specific products and services that emerge from processing inputs through project/programme or non-project/programme activities) because they can indicate whether a strategy is relevant and efficient or not. Relevance in a results-based context refers to whether or not a KAICIID intervention contributes to the achievement of a key outcome, supports national development priorities and targets appropriate groups in peacebuilding efforts.

TABLE 1. KEY FEATURES OF IMPLEMENTATION VERSUS OUTCOME MONITORING	
ELEMENTS OF IMPLEMENTATION MONITORING (traditionally used for projects)	**ELEMENTS OF OUTCOME MONITORING (used for a range of interventions and strategies)**
- Description of the problem or situation before the intervention; - Benchmarks for activities and immediate outputs; - Data collection on inputs, activities and immediate outputs; - Systematic reporting on provision of inputs, etc.; - Directly linked to a discrete intervention (or series of interventions); - Designed to provide information on administrative, implementation and management issues as opposed to broader development effectiveness and issues.	- Baseline data to describe the problem or situation before the intervention; - Indicators for outcomes; - Data collection on outputs and how/whether they contribute towards achievement of outcomes; - More focus on perceptions of change among stakeholders and more focus on "soft" assistance; - Systematic reporting with more qualitative and quantitative information on the progress of outcomes; - Done in conjunction with strategic partners; - Captures information on success or failure of KAICIID partnership strategy in achieving desired outcomes.

To conduct effective outcome monitoring, programme managers need to establish baseline data, select outcome indicators of performance, and design mechanisms that include planned actions such as field visits, stakeholder meetings and systematic analysis or reports.

It is important to remember that outcome monitoring is not the same as implementation monitoring, as shown in Table 1. Project Managers in particular will still be expected to monitor the implementation of their projects. This monitoring should be planned and integrated with any outcome monitoring to avoid duplication and to lower transaction costs.

II.   OUTCOME EVALUATION

An **outcome evaluation** is an evaluation that covers a set of related projects, programmes and strategies intended to bring about a certain outcome. Such evaluations assess **how** and **why** outcomes are or are not being achieved in a given country or institutional context, and the role KAICIID has played. They may also help to clarify underlying factors affecting the situation, highlight unintended consequences (positive and negative), recommend actions to improve performance in future programming, and generate lessons learned. These periodic and in-depth assessments use "before and after" monitoring data.

Outcome evaluations may fulfill different needs at different times throughout the programming cycle. If conducted early in the cycle, they can supply information about potential impediments; if conducted halfway through the cycle, they can suggest mid-course adjustments; and if conducted at the end, they can contribute to lessons learned that could guide work in the outcome during the next cycle.

An outcome evaluation extracts lessons learned, findings and recommendations by assessing the following:

- ■   Progress towards the outcome;
- ■   Factors contributing to the outcome (substantive influences);
- ■   Key KAICIID contributions (outputs, including those produced through "soft" assistance) to outcomes;
- ■   The partnership strategy (how KAICIID works with its partners).

Assessments of these four major components are carried out in varying degrees of depth, depending upon the specific purpose of the evaluation. Additional areas for assessment may be added, although this requires additional time and financial resources and may yield less detailed results.

How do Programme Managers carry out outcome evaluations? Working with the KAICIID Monitoirng and Evaluation Adviser, programme managers plan outcome evaluations using the Evaluation Plan. (See Chapter 3.) A programme needs to set aside adequate resources for these activities. Planning significantly improves the management and quality of evaluation. The Programme Department is mainly responsible, in partnership with strategic partners, for planning all aspects of outcome evaluations, from defining the objectives to collecting the data. Programme Managers, by liaising with the appropriate levels of management from project to country office, are responsible for ensuring that baseline data and appropriate indicators of performance are established at the very start of an intervention.

III. RELATIONSHIP BETWEEN OUTCOME MONITORING AND OUTCOME EVALUATION

Both outcome monitoring and outcome evaluation are aimed at the systematic collection and analysis of information to track changes from baseline conditions to the desired outcome and to understand why change is or is not taking place. Both functions are closely linked to decision-making processes at programme and policy levels. Both provide consistent information for the improvement of interventions and strategies to Programme Managers, Project Managers and stakeholders. And both can demonstrate accountability. They differ, however, in their specific objectives, focus and methodology, and how they are conducted and used, as summarized in Table 2.

TABLE 2. DIFFERENCES BETWEEN OUTCOME MONITORING AND OUTCOME EVALUATION		
	OUTCOME MONITORING	**OUTCOME EVALUATION**
Objective	To track changes from baseline conditions to desired outcomes.	To validate what results were achieved and how and why they were or were not achieved.
Focus	Focuses on the outputs of projects, programmes, partnerships and soft assistance activities and their contribution to outcomes.	Compares planned with intended outcome achievement. Focuses on how and why outputs and strategies contributed to achievement of outcomes. Focuses on questions of relevance, effectiveness, sustainability and change.
Methodology	Tracks and assesses performance (progress towards outcomes) through analysis and comparison of indicators over time.	Evaluates achievement of outcomes by comparing indicators before and after the intervention. Relies on monitoring data on information from external sources.
Conduct	Continuous and systematic by Programme Managers, Project Managers and key partners.	Time-bound, periodic, in-depth. External evaluators and partners.
Use	Alerts managers to problems in performance, provides options for corrective actions and helps demonstrate accountability.	Provides managers with strategy and policy options, provides basis for learning and demonstrates accountability.

Outcome evaluations rely on data generated through outcome monitoring, information from other sources such as the KAICIID Quarterly Progress and Annual Reports, and information generated through external sources such as independent client surveys or the reports of partners. Similarly, outcome evaluations support outcome monitoring. They are, for example, a source of lessons that can be applied in the development of conceptual and methodological innovations for use in refining the monitoring function. Such innovations might include devising realistic results and strategies, developing appropriate indicators for future projects, or demonstrating the effectiveness of certain types of monitoring tools for certain types of interventions within the broader fields of IRD/ICD.

IV. IMPORTANCE OF PARTNERSHIPS

No development change is ever achieved in isolation, which is why KAICIID works closely with its partners when monitoring and evaluating outcomes. KAICIID partners include other inter-governmental organisations, including UN agencies, governments, donor agencies, governmental and non-governmental organizations and other entities with which KAICIID forms substantive relationships in the pursuit of common outcomes. Ideally, when formulating interventions to achieve certain outcomes,

Programme Managers should consider how to encourage the participation of partners. This requires knowing what strengths each partner brings to the table.

For monitoring and evaluation, Programme Managers may draw on partners in a number of ways, such as:

■ Involving partners and other stakeholders in the selection of indicators and targets, in data collection and analysis, as participants in field visits or as members of an evaluation team;
■ Using already-established data sources and statistics of key partner agencies, which helps reduce the costs of data collection;
■ Working with partners to analyze outcome progress and determine how best to enhance their collective strategy.

Programme Managers may engage various types of partners in a variety of activities associated with monitoring and evaluation. The potential roles of these partners are described in Box 1.

V.   SIGNIFICANCE OF "SOFT" ASSISTANCE

"Soft" assistance is a term that includes policy advice and dialogue, advocacy and brokerage/coordination services. It is "soft" as compared to the "hard" or concrete contributions to development that are identifiable as a building or a study or a training programme. In the past, this kind of assistance was often overlooked in the planning, assessment and documentation of programming and performance. It is now recognized as an important input for the achievement of results, a shift in emphasis brought about by the use of results-based management approach.

BOX 1. THE POTENTIAL ROLES OF PARTNERS IN MONITORING AND EVALUATION

Government coordinating authority and other central ministries (e.g. planning or finance) usually have overall responsibility for monitoring and evaluating development activities as described in the United Nations Development Assistance Framework (UNDAF). They are in a good position to coordinate the design and support for monitoring and evaluation activities, particularly the annual review, and to take action based on the findings of evaluations.

UN agencies provide baseline socio-economic information on populations and beneficiary groups in locations where KAICIID is newly arrived or has a small presence. UN agencies share objectives in the Common Country Assessment (CCA) and UNDAF. They provide technical support for evaluations and monitoring, and may also provide information about the status of outcomes.

Executing agents (the institutions designated to manage a project) are in charge of project management and the delivery of outputs. Such institutions provide critical technical information on the outcome and development situation, the effectiveness of the implementation strategy, and how outputs are being delivered.

Target beneficiaries provide information about the relevance and the quality of outputs or services through stakeholder meetings and consultations. They also provide technical support during evaluations.

National statistical offices are key providers of data as well as expertise in data collection and analysis.

Universities, research centres and consulting firms are potential suppliers of monitoring and evaluation skills and also have the capacity to offer training in a range of skills and evaluative tehniques. They also have background in substantive areas that can inform outcome analysis.

Civil society may play a major role in using the information and findings gained through monitoring and evaluation by promoting informed debate on public policies. Civil society may also provide useful perceptions regarding the status of outcomes.

Development assistance agencies may develop capacity for monitoring and evaluation through the provision of technical assistance including advice, expertise, organisation of seminars, training, identification of qualified consultants, and the preparation of guidance material including case study examples. Such agencies also provide information on the outcome and outputs, and exercise policy influence.

"Soft" assistance includes:

1. Policy advice and dialogue

Policy advice and dialogue are central to KAICIID's effort to help the focus countries and institutions in general make development gains towards peace — as outlined in the Strategic Plan. This introduces another shift in how KAICIID views its activities: KAICIID is moving from project-driven policy to policy-driven projects. In terms of assessment, it should be noted that policy advice and policy dialogue are related but distinct. Assessing policy **advice** requires looking at how information and analysis on policy options is provided to stakeholders, and then considering its impact from a dialogical and developmental perspective. In contrast, assessing policy **dialogue** requires examining how the exchange of information on policy options is facilitated among stakeholders, and considering the consequences for enhancing peace-building initiatives.
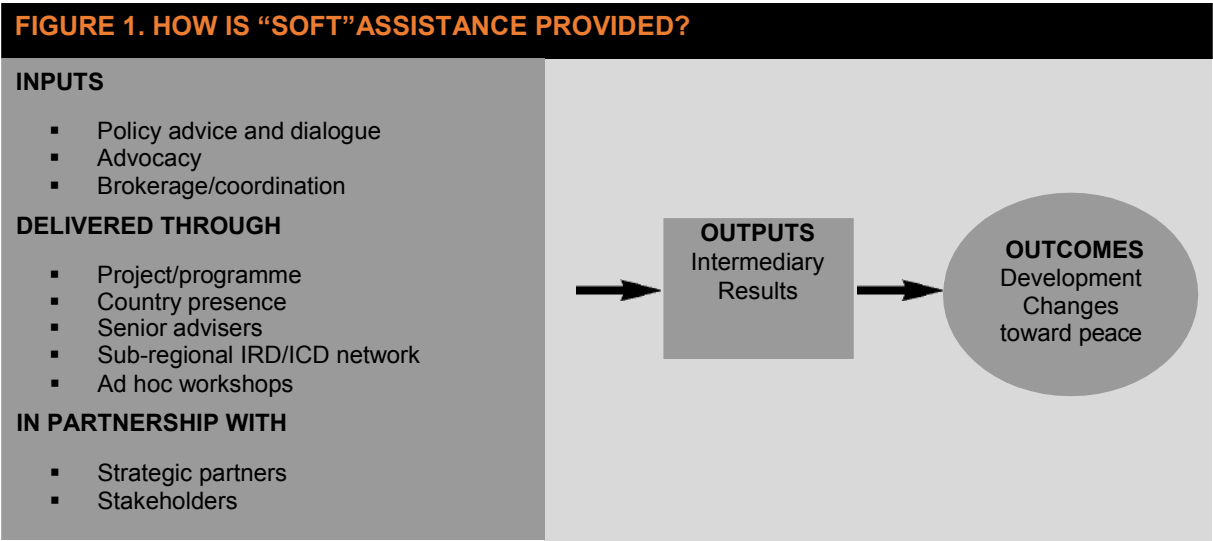
2. Advocacy

Advocacy involves speaking on behalf of or recommending something or someone. The role of KAICIID in advocacy is to promote the IRD and ICD agenda at the global, regional and national level through various capacity development initiatives. Assessing advocacy could, for example, look at how policy change at the national level is affected by the recommendations of KAICIID's High Level Meeting initiatives or key reports that provide analysis and recommendations on policy and institutional reforms, including detailed analysis of cross-sectoral institutional issues specifically relevant to peacebuilding and/or peaceful coexistence.

3. Brokerage/Coordination

The actions associated with brokerage and coordination are so linked that the terms are sometimes used interchangeably to refer to a variety of activities known as "brokerage/coordination". Brokerage/coordination entails acting as an impartial intermediary or an agent who negotiates and makes arrangements, sometimes in sensitive areas, to achieve harmonious and effective results. As a form of "soft" assistance, it may be of a political, information or partnership nature, each of which is assessed differently.

- Political brokerage/coordination pertains to KAICIID's role as an impartial facilitator that promotes dialogue between parties and interests that are in dispute or open conflict. Assessment is particularly important in conflict and transitional situations.
- Information brokerage/coordination is concerned with the sharing of lessons learned, information and knowledge (including on good practices) with partners and stakeholders.
- Partnership brokerage/coordination refers to the facilitation of working relationships between and among international and national partners. Assessments focus on collaborative efforts and,

FIGURE 1. HOW IS "SOFT" ASSISTANCE PROVIDED?

INPUTS
- Policy advice and dialogue
- Advocacy
- Brokerage/coordination

DELIVERED THROUGH
- Project/programme
- Country presence
- Senior advisers
- Sub-regional IRD/ICD network
- Ad hoc workshops

IN PARTNERSHIP WITH
- Strategic partners
- Stakeholders

OUTPUTS
Intermediary Results

OUTCOMES
Development Changes toward peace

in some cases, joint programming and resource mobilization around specific programmes or events, for instance, aid coordination towards certain services, including dialogue platforms or centres, in conflict or politically sensitive areas.

"Soft" assistance is provided as inputs to a system, as illustrated in Figure 1. This basic system incorporates the different forms of "soft" assistance, the methods of delivery, and its contribution to outputs and outcomes. These contributions are also made through partnerships.

Why should "soft" assistance be monitored and evaluated?

- "Soft" assistance has potential for impacting institutional change and promoting development and peace by affecting the national policy environment. National policies and regulations must be conducive to an enabling environment in which development and peace can flourish. Policy advice, advocacy and brokerage represent critical tools with which KAICIID can promote its IRD/ICD agenda.
- "Soft" assistance is flexible, dynamic and highly responsive. "Soft" assistance interventions represent an additional service that KAICIID can provide to national and international partners in different contexts. Such assistance requires little or no formal structure in terms of incorporation into a programme or results-based management framework, yet it can often produce significant development gains. It can also be delivered rapidly, meeting organizational demands in real time.
- Today's emphasis on results (outcomes) demands monitoring and evaluation that moves beyond project implementation to meet a challenging objective: assessing progress towards outcomes and performance in areas that are not easily quantifiable.
- Identifying the results of KAICIID "soft" assistance interventions will tell a more complete story of achievements and better demonstrate the role and impact of KAICIID efforts.
- Assessing "soft" assistance will become more important as KAICIID places more emphasis on broad and strategic evaluations. "Soft" assistance figures prominently in these kinds of evaluations (e.g. outcome, thematic or mid-term programmatic evaluations).
- Assessing the quality of "soft" assistance interventions will help KAICIID understand what works and why, and what does not work and why— thereby supporting the achievement of outcomes representing sought-after institutional changes for peacebuilding.

B.   Implications for the Centre

The Centre is affected by the shift to results-based management in many areas, especially in monitoring and evaluation. Change is taking place on a number of levels: first, the monitoring and evaluation tools and processes that the Centre uses are changing; second, the roles and responsibilities of KAICIID and programme staff are changing; and third, Programme Managers are facing a number of new challenges.

I.   CHANGES IN TOOLS AND PROCESSES

Monitoring and evaluation that is results-based requires specific kinds of tools and processes. For example, the Centre needs to use flexible monitoring instruments (project reports, workplans, field visits, stakeholder meetings) on a periodic basis to support performance measurement. These tools help to determine which interventions are contributing to results and which strategies contribute to success. Tools and processes have been adjusted in many ways, as listed in Table 3 for "before" the introduction of RBM and now (See Chapter 4 on the monitoring process).

TABLE 3. SOME KEY CHANGES TO MONITORING AND EVALUATION		TOOLS USED FOR PROGRAMMING,
TOOL	**BEFORE**	**NOW**
Evaluation	No programmatic evaluation (as opposed to evaluation of training) was deemed mandatory or undertaken. There was no evaluation policy in place to guide the organisation on such issues.	There is now a Monitoring and Evaluation Policy Framework to inform programming. While project evaluations are not mandatory (i.e. optional), individual programme evaluations of institutions/networks (e.g. the 'Fellows', 'DKH' or 'WOSM' programmes) and focus country programmes (e.g. Myanmar or Nigeria) are highly encouraged as they are focused on intended outcomes. In addition, the Centre is expected to undertake Mid-term and Terminal Programme evaluation (i.e. the organsiation as a whole) at least once during a given programme cycle. Individual programme/outcome evaluations are expected to feed into the organsation-wide Mid-term and Terminal evaluations. While individual programmatic outcome level evaluation is to be managed by Programme Department, all processes will need to be vetted by the M&E Adviser. In line with the Monitoring and Evaluation Policy Framework adequate resources are expected to be set aside for both individual programme/outcome evaluations as well as the Mid-term and terminal evaluations within a given programme cycle.
Evaluation Plan	Evaluation plan was not deemed necessary in view of the above.	Evaluation plan is prepared by the Programme Department with support from the M&E Adviser; a tracking system is being put in place on the implementation of evaluation recommendations. In future, this will link to the results-based monitoring system. Analysis and feedback by the management of the Centre serves as basis for evaluation compliance.
Reporting process	By and large this was ad hoc; in some years quarterly reports were produced for a while and then discontinued; reporting timeframes and formats varied considerably.	Revised to become shorter and more results-oriented. The Quarterly Progress Report (QPR) is completed quarterly by each programme portfolio; these are subsequently consolidated for the Annual Review and programmatic feedback in the Annual Report. Analysis and Learning are both key elements in the new QPR format where highlighted lessons learned are to be shared with knowledge network.
Annual Review	Very bulky Annual Reports generated from the Annual Review process, but had very weak evidence base to substantiate "results".	Now a much more strengthened management dialogue at the Centre aimed at assessing progress towards results (outcomes and outputs).This requires strong stakeholder participation, and serves as a basis for the Annual Review/Annual Report.

The new practices above are expected to bring some important elements together: the substantive feedback from the Quarterly Reports, the individual programmatic assessment (outcome evaluation), assessment of multiple outcomes at the level of the KAICIID Programme as a whole (i.e. the Mid-Term and Terminal Programme Evaluations) and overall progress of the Centre's work that is captured in the Annual Report. With results-based management, it is even more important to closely integrate monitoring and evaluating into the programming cycle. This enables the organization to design quality interventions and apply what it has learned from past successes and failures. This means that monitoring and evaluation need to permeate the programming cycle from beginning to end.

II. ROLES AND RESPONSIBILITIES

The roles and responsibilities of KAICIID staff are more clearly defined in the current results-based approach to monitoring and evaluation, as outlined in Table 4, and current Terms of Reference of the Senior Leadership Team and the relevant programme staff can be recalibrated accordingly.

TABLE 4. COUNTRY-LEVEL ROLES AND RESPONSIBILITIES FOR MONITORING AND EVALUATION		
WHO? Actors, roles & responsibilities	**WHAT? Information needed**	**WHY? For what use**
KAICIID Senior Leadership Team **Main responsibilities:** ■ Collaboration with national and international partners to determine the focus and intended results of KAICIID assistance to an institution or country ■ Identification and management of partnerships ■ Support assessment of the overall performance of KAICIID assistance to an institution or country (progress towards and achievement of results) ■ Strategic and cost-effective use of KAICIID resources	■ Changes in development conditions ■ Progress, problems and trends in the achievement of results ■ Patterns and issues in the volume and efficiency of resource use	■ To adjust KAICIID assistance in view of changing development conditions, if required ■ To position KAICIID strategically within the framework of IRD/ICD development cooperation with institutions at different levels ■ To forge strong coalitions for change through advocacy and policy dialogue ■ To resolve key bottlenecks to implementation in order to improve the chances of achieving results (outcomes) ■ To link results with resources ■ To pro-actively support results-based monitoring and evaluation
KAICIID Programme Chiefs and Senior Programme Managers **Main**		

responsibilities: ■ Manage and quality assure KAICIID portfolio of programmes and projects in a thematic area – and in other words, KAICIID's contribution to outcomes	■ Demonstrate progress towards the achievement of outcomes ■ Ensure high quality reporting ■ Manage and indicate progress of the partnership strategies for outcomes ■ Rate and manage efficiency of resource use	■ To analyze progress towards and actual achievement of outcomes ■ To assess the efficacy of partnership strategies and take related actions (e.g. better coordination with partners) ■ To monitor the effectiveness of imple- mentation strategies in tackling the constraints to the achievement of results (outcomes) and take related actions ■ To ensure effective use of resources, deploying them to maximize the possibility of achieving results (i.e. outputs AND outcomes) ■
Programme Managers/ Country Experts **Main responsibilities:** ■ Management of KAICIID - assisted programmes and projectsrto help produce outputs	■ ■ The outcome towards which the project is working ■ Progress towards and achievement of outputs ■ Problems and issues related to implementation ■ Practical programme and project-level collaboration with and monitoring of partners' contribution Resource management	■ To ground the programme/ project in the larger context ■ To take steps towards achieving output targets ■ To ensure effective collaboration with partners ■ To interface with beneficiaries ■ To ensure efficient use of resources

III. PRACTICAL CHALLENGES FOR PROGRAMME CHEIFS AND SENIOR PROGRAMME MANAGERS

The Programme Chiefs and Senior Programme Managers in particular are expected to play an important role in monitoring and highlighting the results of programmes, and placing this information in the context of the results framework and the Strategic Plan.

In other words, they provide an important input to the process of capturing outputs and outcomes. In the past, they focused on monitoring and evaluating project imple- mentation processes. Today they are expected to direct their attention to analyzing and reporting on results—or, more

BOX 2. AS PROGRAMME CHIEF OR SENIOR PROGRAMME MANAGER, WHAT DO I NEED TO DO DIFFERENTLY?

■ Focus on results rather than implementation
■ Clarify expectations for implementation tasks, set major benchmarks and then let go
■ Plan from the outset how, what and when to monitor and evaluate
■ Develop and use indicators in programmes
■ Analyze the situation, keeping track of changes and their implications
■ In reports, suggest action for decision-making
■ Actively learn from mistakes and successes
■ Share success and failure stories with other staff
■ Work more closely with external partners
■ Work with project staff to explain links to outcome
■ Contribute to the team concerned with achieving outcomes

specifically, the contribution of project outputs, soft interventions and strategic partnerships to outcomes. More than ever, they are required to work rigorously at the level of programme/project formulation and workplanning in order to ensure that programmes/projects meet targets, and apply tools to that effect. Box 2 lists some current responsibilities.

As illustrated in Figure 2, Programme Managers have two inter-linked levels of responsibility for monitoring and evaluation. First, they must capture medium-level results (progress towards outcomes) for the QPR and Annual Review. Second, they must enhance project delivery of outputs through, for example, workplanning, field visits, support to effective decision-making and analysis of the most effective and efficient implementation strategy.

FIGURE 2. MONITORING AND EVALUATION RESPONSIBILITIES OF PROGRAMME CHIEFS AND SENIOR PROGRAMME MANAGERS

MONITORING AND EVALUATION RESPONSIBILITIES

Progress towards institution and/or country-level outcomes

Enhanced delivery of project outputs
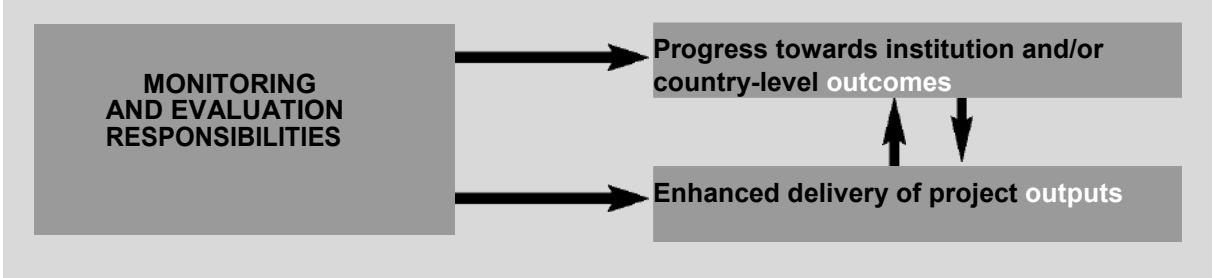
PART II. HOW TO CONDUCT MONITORING AND EVALUATION

Chapter 3.   Planning for Monitoring and Evaluation

This chapter describes how to develop a comprehensive, logical planning framework for monitoring and evaluation related to the Centre's Programmes, the Strategic Plan, the results framework, project-level and other activities. It provides guidance on how to develop a monitoring and evaluation plan, as well as criteria for selecting and planning evaluations. The objective of this chapter is to help users plan for monitoring and evaluation actions in a coherent manner, depending on the strategic focus on the Centre and the intended results.
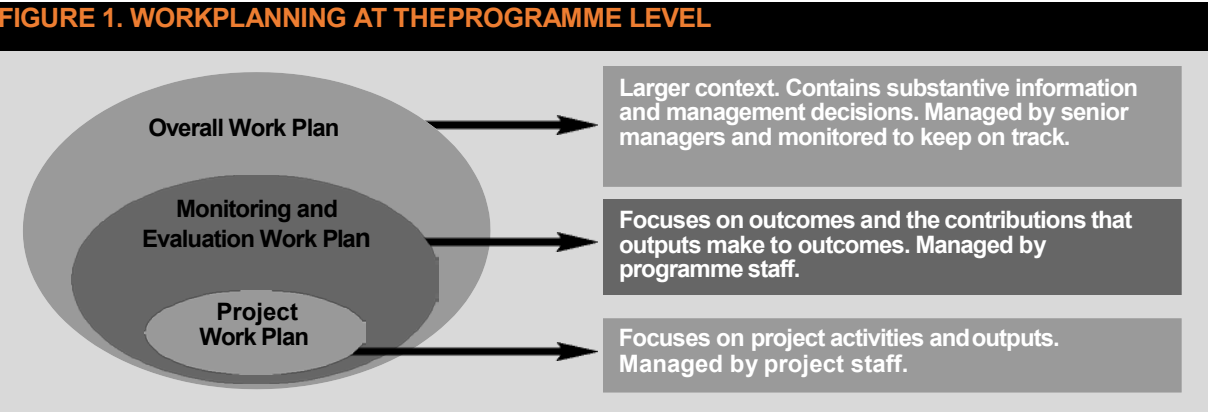
This chapter covers:

A.   Key principles for planning
   i.   Overall workplanning
   ii.   Minimum requirements
   iii.   Planning at the Programme level

B.   The planning process
   i.   Planning for monitoring
   ii.   Planning for evaluation
   iii.   Project workplanning

A.   Key Principles for Planning

I.   OVERALL WORKPLANNING

A **work plan** is an annual or multi-year summary of tasks, timeframes and responsibilities. It is used as a monitoring tool to ensure the production of outputs and progress towards outcomes. Work plans describe the activities to be conducted as well as the expected outputs and outcomes. The overall process of workplanning is a comprehensive tool that helps people translate information or ideas into operational terms on an annual basis. Monitoring and evaluation are integral parts of the Centre's overall work plan, which encompasses many additional areas. A programme work plan, as illustrated in Figure 1, contains three inter-related elements:

FIGURE 1. WORKPLANNING AT THE PROGRAMME LEVEL

Overall Work Plan → Larger context. Contains substantive information and management decisions. Managed by senior managers and monitored to keep on track.

Monitoring and Evaluation Work Plan → Focuses on outcomes and the contributions that outputs make to outcomes. Managed by programme staff.

Project Work Plan → Focuses on project activities and outputs. Managed by project staff.

- The overall work plan, which contains substantive information and management actions and is overseen by the Centre's management;
- The monitoring and evaluation work plan, which is focused on outputs and outcomes and overseen by programme staff; and
- The project work plan, which is focused on activities and outputs and overseen by project staff.

At the country level also, workplanning has to reflect the shift to results-based management by placing greater emphasis on the planning of monitoring and evaluation. For results-oriented monitoring and evaluation, KAICIID offices must plan for the specific needs of the office, partners, project or outcome— and not mechanically follow prescriptive procedures.

II.   MINIMUM REQUIREMENTS

Programmes in general may integrate their results-oriented monitoring and evaluation planning into existing systems and structures in any number of ways. Nevertheless, as a minimum for planning, programme staff should:

1.   Plan monitoring and evaluation simultaneously: Evaluation is an important monitoring tool and monitoring is an important input to evaluation. Because they are so inter- related, it is recommended that programme managers plan monitoring and evaluation processes together at the same time.

2.   Capture results (outcome and outputs): Meaningful information about outcomes and outputs needs to be captured, regardless of the unit of analysis used by a monitoring and evaluation plan (e.g. outcomes, outputs, projects, activities, themes, areas).

3.   Develop an evaluation plan: An evaluation plan covers outcomes for the entire Programme Cycle period. All programmes should prepare a mandatory evaluation plan within the first quarter of each Country Programme cycle. This is a key element in performance assessment.

4.   Base planning on a strategic choice: Planning is not primarily about scheduling (the timing and selection of tools); it is about determining the best approach depending on the needs, available resources and the nature of what is being monitored or evaluated.

III.   PLANNING AT THE PROGRAMME LEVEL

Planning of monitoring and evaluation begins as early as the formulation stage of the Programme. It is kept up-to-date continuously, which may be annually or periodically depending on local needs and as plans become more concrete and programmes evolve. Such planning leads to strategic and selective decisions about what to evaluate, when and why. In other words, it takes into account how the evaluation will be used to improve programming and policy. In addition, the findings may recommend actions that affect either the overall programme work plan, the project work plan or the work of the Programme Manager.

At the design and approval stage of the Programme —the document that encapsulates Centre's Programme in a given institutional context or country—the Centre with partners will:

- Decide on the **strategies** for monitoring and evaluation and describe these arrangements. Define a general approach for how monitoring and evaluation will be carried out. Indicate the outcomes to be evaluated (or the process that will be used to make this decision). Also indicate how outcomes, programmes and projects will be monitored in general terms. Note: This step often yields an opportunity to reach agreement on monitoring and evaluation with the main partners, which may include government in the case of a Country Programme (e.g. Myanmar or Iraq) through a consultative process.

- Plan **outcome evaluations**. Actually select specific outcomes (results or development changes) to evaluate and the timing of these evaluations. (See the following section on planning such evaluations.)

- Plan **outcome monitoring** and set up systems for this. The assessment of progress towards outcomes is based on the continuous collection of data and information. This may involve using existing mechanisms or establishing consultation groups on outcomes, determining how indicator data will be collected, discussing the focus of such monitoring and so on. (See the section on planning monitoring below and Chapter 4.)

- Once the Programme strategy (i.e. document) is approved and implementation of the Programme starts, plan detailed programme/project monitoring for Year 1. This should go beyond the planned monitoring for the related outcome. In other words, programme/project monitoring should address implementation issues and production of outputs, as well as progress towards outcomes, whereas the outcome monitoring plan would focus at a higher level.

B.   The Planning Process

I.   PLANNING FOR MONITORING

Discussions about how and when to monitor the progress of activities take place early on and continue at regular intervals. Planning for monitoring generally takes place at the Programme design stage, the programme/project design stage and yearly thereafter. A plan for monitoring may focus on programmes and projects as well as the resulting development changes (outcomes).

Programmes, projects and new activities are developed or initiated during every programming cycle. At this time, plans for their monitoring and evaluation are drawn up. These plans are designed to fit into the framework for monitoring and evaluation that already exists in the Programme. KAICIID Programme Managers are responsible for designing monitoring arrangements that are appropriate for the nature of the outcome, programme and project. A few examples of different kinds of **monitoring arrangements** are provided below:

- If the outcome being monitored is the enhancement of an institution (e.g. dialogue centre) at the community or provincial level, a more participatory approach may be required;

- If the outcome involves a high degree of policy advice, the monitoring plan should include a means of following the policy formulation process within the institutional and/or country context;

- If the outcome involves a high degree of advocacy, monitoring might need to capture changes in perceptions (as revealed through client surveys or focus groups) rather than physical changes (as revealed through field visits to project sites);

- If the outcome is at the regional or global level, monitoring may require more frequent reporting because the countries and/or institutions involved are spread out geographically.

When planning monitoring to assess progress towards outcomes **(outcome monitoring)**, programme managers are encouraged to take the following steps:

1.   Assess needs: This is done by assessing the nature of the outcome and/or the programmes and projects that are expected to contribute to outcome. What information is needed to assess that outcome? What elements are most important to keep track of? What would indicate progress or success?

2.   Assess current monitoring: To assess current monitoring (or proposed monitoring for new projects), look at the monitoring tools being used in all of the projects and programmes intended to contribute to a given outcome. Are these tools providing the necessary information? Do they involve the key partners? Is monitoring focusing on key issues for efficiency? Are there possibilities for greater efficiency and coordination? This will help to identify gaps in the analysis as compared with the needs for this information.

3.   Review monitoring scope or tools: Is there a need for additional or specific monitoring scope or tools to suit the programme or project? For example, large or complex programmes may require more details about implementation, downstream projects may require additional participation by beneficiaries, and innovative pilot projects may generate specific lessons learned that should be captured through monitoring.

4.   Adapt and/or design monitoring mechanisms: The mechanisms used should provide sufficient analysis on outcomes and close the gap, if any, between the available and the required information. For example, if steering mechanisms are being used to monitor, be sure to include partners working in the same outcome area. Or, if an outcome involves a large number of partners, add tools such as stakeholder meetings (See Chapter 4 on selecting the right monitoring tools).

No specific format is required for a monitoring plan. In practical terms, such planning can be reflected in programme results framework, in programme/project work plans, in the individual work plans of Programme Managers and in plans for coordination mechanisms. Nevertheless, for effective outcome monitoring, it might be worthwhile to produce one document that describes the totality of monitoring efforts.

II.   PLANNING FOR EVALUATION

Evaluation is important for learning, validation of results and decision-making. The Centre will be expected to conduct a limited number of outcome evaluations during the programming cycle and/or Strategic Plan period, and to develop an evaluation plan for these and any other evaluations of projects, programmes or themes that the Centre wishes to conduct (See Chapter 5 on evaluations).

Evaluation planning is linked to the Strategic Plan Programming Cycle. It is always important to remember this. Within the first quarter of each Strategic Plan period, Programme Managers should prepare and submit an evaluation plan to the M&E Adviser to review the plan (See Annex C for format). It should highlight the number and type of proposed evaluations, their respective timeframes and budget. A system for Evaluation Planning and Tracking is being developed overtime to: (a) plan for the conduct of evaluations; (b) record and analyze lessons learned and findings from evaluations; and (c) monitor the progress of evaluation recommendations. The system is expected to integrate information from the Centre's evaluation plans and evaluations for overall organization-wide learning and accountability, and thereby contribute to further institutionalization of RBM. The evaluation plan should be kept up to date continuously, annually or periodically depending on specific needs, becoming in essence a "rolling" plan. For example, if the Centre plans its first outcome evaluation three years into the Strategic Plan Period, it may not need to revisit the evaluation plan for two years—that is, until the year prior to the evaluation. Any revision of the plan over the course of the cycle should be presented first by the relevant Programme manager to i) the Programme Director; and ii) the M&E Adviser for review and endorsement prior to the final endorsement by the DG. Sometimes revision is required when circumstances change, such as a loss or gain in financial resources or when there is change in the institutional or national context.

An evaluation plan is based on strategic and selective decisions by the Centre's senior management about what to evaluate and when, taking into account the principles and recommendations highlighted in the Monitoring and Evaluation Policy Framework. The plan is then used to ensure that evaluation activities are on track. When preparing for an evaluation, it can be helpful to think in terms of "backwards planning". This means looking at the scheduled dates for an evaluation, estimating the time needed to

prepare and conduct the evaluation, and then working backwards to anticipate by when the preparation process needs to begin.

When planning outcome evaluations in particular, Programme Managers in consultation with the Programme Director may pick and choose which outcomes to evaluate, covering at least the mandatory minimum number of outcomes that must be evaluated over the entire Strategic Plan period that can subsequently feed into the Mid-Term or Terminal programme evaluations. The following criteria may be used to select outcome evaluations.

Criteria for outcome selection:

1.   Purpose of the outcome evaluation: Outcome evaluations may fill a number of different needs, such as providing early information about the appropriateness of KAICIID's partnership strategy, identifying impediments to the outcome, suggesting mid-course adjustments and gathering lessons learned for the current or next programming cycle. Senior Management and Programme Managers should review the intended Strategic Plan outcomes and reflect on which outcome an evaluation would be most useful for, why and when the evaluation would yield the most relevant information. For example, an early evaluation might be called for if a programme outcome includes a great deal of policy advice and advocacy that the Centre is relatively inexperienced in providing. Such an early evaluation (even within the first year) could look at design and implementation strategy issues. In a different situation, a mid-term outcome evaluation might be called for if a need arose for a mid-course adjustment and verification of early outputs. (See Chapter 5 for more on the purposes of and options for outcome evaluations.)

2.   The level of KAICIID resources invested in the outcome: When selecting an outcome for evaluation, look for one in which the organization has invested significant resources. Avoid selecting only those outcomes that have very modest resources behind them.

3.   The likelihood of future interventions in the same thematic area: An outcome evaluation is an important means of generating recommendations to guide future work. It enables the Centre to take stock of whether the outputs have contributed to the outcome and whether the organization has crafted an effective partnership strategy. When selecting an outcome for evaluation, look for one in area that the organization will continue to support.

4.   Anticipated problems: Evaluations can help prevent problems and provide an independent perspective on problems. When selecting an outcome for evaluation, look for those with problems or where complications are likely to arise because the outcome is within a sensitive area with a number of partners.

5.   Need for lessons learned: What kinds of lessons are needed to help guide activities in a given country, region or institution? An outcome evaluation in one thematic area is not only relevant to that area but also may reveal generic lessons for other thematic areas. Programme Managers should select outcomes for evaluation that yield lessons for use across the organization. For example, an outcome evaluation looking at the design and implementation of policy or regulatory frameworks— a relatively new area for KAICIID —will provide much-needed insight into an area in which the organization has had little experience.

6.   Timing: The Programme Department determines the timing of evaluations based on its expected workload in any given year. It also strives for an equitable spread of evaluations throughout the overall Programme, both in terms of timing and of scope for a mixture of early and late, light and heavy exercises depending upon need. An example of how the Programme Department might undertake evaluation planning is provided in Box 1

BOX 1. OUTCOME EVALUATION PLANNING

As an example, at the beginning of the Strategic Plan period, the Programme Department submits an evaluation plan for three outcome evaluations that it plans to undertake over the next five years. The Programme Department selects these three outcomes based on their prominence in terms of substance, the resources going towards them and the areas of likely future assistance. The Programme Department also selects a mixture of types of outcome evaluations based upon what the Centre and stakeholders want to get out of the exercises.

Based upon the expected timetables of the various projects, programmes and activities associated with the three outcomes, the evaluation plan submitted to the Senior Management in the first quarter of the Strategic Plan period envisages a relatively light outcome exercise centered around Outcome #1 at the end of Year 1, the more robust evaluation of Outcome #2 in the middle of Year 3 and the full evaluation of Outcome #3 at the end of Year 4.
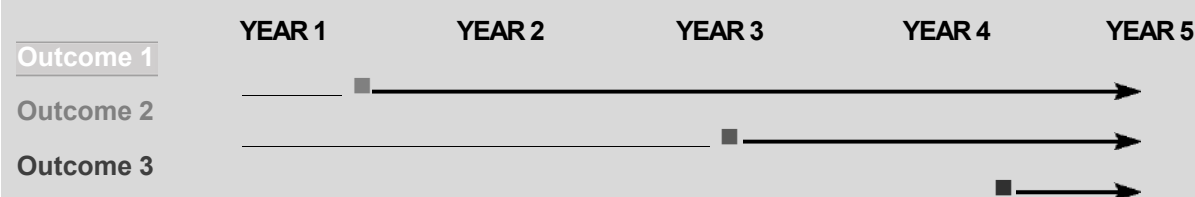
Guiding Principles, Norms and Standards

The international capacity development and evaluation communities have developed a number of guiding principles and good-practice norms and standards – in addition to evaluation independence - to ensure that evaluations meet quality requirements. The following principles/norms/standards form part of this evaluation policy framework:

(a) Utility: Evaluation should be planned and conducted with a view to serve the information needs of its intended users, be they stakeholders internal or external to the Centre. Evaluation recommendations should flow logically from findings, be actionable and be presented in a clear and timely manner with the intention of incorporating results into learning and decision-making processes.

(b) Accuracy and credibility: Evaluation should be conducted with the necessary professional expertise and be based on the principle of impartiality. Evaluation should use appropriate data collection and analysis which produce accurate, valid and reliable information. Findings should be open to reporting strengths and weaknesses as well as successes and failures.

(c) Feasibility: Evaluation should be as practical, politically viable and cost effective as possible, and should take into consideration time and financial and human resource requirements.

(d) Consultation, access to information and transparency: Evaluation should be conducted in a transparent manner with stakeholder consultation and access to relevant information. To the extent feasible, stakeholders should be engaged and contribute to the evaluation process by providing views, and such views should be reflected in evaluation findings in an impartial and balanced way. Consultants and others undertaking independent evaluation should have unrestricted access to information of the concerned programme, project or undertaking subject to evaluation, including project documents; terms of reference; training material; beneficiary views; results of decentralized evaluations, if relevant; and financial statements and reports, unless such information is considered by the Centre to be sensitive or confidential.

(e) Propriety: Evaluation should be undertaken in a legal and ethical manner with regard to the rights and welfare of those involved in and affected by assessments. Stakeholders invited to contribute to evaluation processes should be made aware of the purposes for and potential consequences of evaluation, and the Centre should seek their consent prior to them taking part in any evaluation exercise.

(f) Conflict Sensitivity: It is now a key pillar of development policy and intervention strategies among most organisations working in crises areas. It has now become clear that efforts to address conflict

issues directly or prevent violence can also do harm by failing to account for the inadvertent impacts of interventions, and other decisions on the conflict. In other words, a programme on "conflict prevention and peacebuilding efforts" is not necessarily exempt from being conflict-sensitive. As such evaluations taking place before, during or after a violent conflict should be sensitive to conflict. The evaluation process itself should be conflict sensitive and an evaluation of the evaluators; a self- review or an introductory statement to the evaluation report may explain what measures were or were not taken to ensure the conflict sensitivity of the evaluation itself. In a separate step, the evaluators will also assess whether or not the evaluation target has been sufficiently conflict sensitive.

(g) Recognising unique context of interreligious peacebuilding: Interreligious peacebuilding efforts generally take place in complex, rapidly changing circumstances where plans and political priorities among major stakeholders change regularly, where information is scarce and where little is predictable. As a result, qualitative and deductive methods of measuring results, which involve close engagement of stakeholders, are likely to be more appropriate than methods that seek to be 'scientifically rigiourous'. Here the elaboration of 'context specificity' is also critical. As peacebuilding efforts address diverse political contexts and countries at different phases in their transition from conflict to peace, the evaluation methodology for measuring progress must be particularly sensitive to security issues. It should encompass a range of security indicators, such as violations of a cease-fire agreement, numbers of disarmed ex-combatants, and weapons collected, among other issues.

Once the outcome is selected for evaluation, there is a need to identify the projects and programmes that may contribute to the outcome. These projects and programmes are noted in the evaluation plan. This gives notice to the concerned programmes and projects and allows them to take account of the outcome evaluation in their monitoring and workplanning. It also helps the Programme Manager in outcome monitoring, and ensures that the project's contributions are included within the scope of the evaluation.

Another aspect of planning for evaluation is that of **evaluation compliance**. Compliance is based on the outcome evaluations that the Centre commits to undertaking during a given programme cycle. The Senior Management uses the evaluation plan submitted by the Programme Department as the basis for assessing compliance. Beyond the outcome evaluations, other evaluations that the Centre elects to undertake will not figure into compliance issues. The M&E Adviser located within the Executive Management of the organization is responsible for monitoring evaluation compliance and systematically analyzing information generated to promote learning and accountability.

III.   PROJECT WORKPLANNING

The project work plan is a tool used to set targets for the delivery of outputs and to develop a strategy for maximizing the contribution of the project and associated activities to the attainment of the goals of the programme. The workplanning process helps build consensus between project management and other stakeholders on the best strategy for generating results.

When taking a results-based approach to workplanning, it is important to review the work plan regularly. The focus should be on the broad goals of the programme's results framework rather than a more limited focus on the project's objectives. This work plan serves as a mechanism to link inputs, budget, activities, outputs and outcomes. As lessons are learned, a more flexible approach to implementing the project may be needed to accommodate constant adjustments.

The Programme Manager uses project work plans as the basis for monitoring the progress of project implementation. Project work plans enable Programme Managers and other stakeholders to agree on

results and to ensure that these results conform and contribute to the results and targets in the results framework. They also can be used as the basis for discussion about activities to produce outputs, inputs and budget lines. Critical milestones for activities and outputs in the work plan can serve as early warning indications that progress is off-target. The Project Manager should include the project's key monitoring and evaluation actions in the work plan, noting in particular how the production of outputs will be monitored. The plan may also include how to supervise contractors, how to collect data and information, and specific monitoring events such as stakeholder meetings.

Chapter 4. The Monitoring Process

Why do we have to monitor and evaluate our work? The focus of monitoring and evaluation is to enhance the effectiveness of KAICIID's work by establishing a clear link between **past, present and future interventions and results.** Monitoring and evaluation can help an organization to extract, from past and ongoing activities, relevant information that can subsequently be used as the basis for programmatic fine-tuning, reorientation and planning. Without monitoring and evaluation, we would not be able to judge if we are getting where we want to go, whether we can credibly claim progress and success or how to improve on our efforts.

Monitoring is arguably the most important responsibility of any Programme Manager. She or he monitors the progress of project activities towards the intended outcomes, and selects different monitoring approaches to do so. This chapter provides guidance on the successful monitoring of results, which includes a mix of reporting and analysis, verification of progress towards results and participation.

Monitoring is based on adequate planning, discussed in Chapter 3. Monitoring also serves as the basis for evaluation, discussed in Chapter 5. Formats for select monitoring tools are presented in the Annexes.

This chapter covers:

A.   **Key principles for planning**
     i.   **Conducting good monitoring**
     ii.   **Scope of monitoring**
     iii.   **Responsibility for monitoring**
     iv.   **Selecting the right monitoring tools**

B.   **The building blocks: Monitoring tools and mechanisms**
     i.   **Field visits/missions**
     ii.   **Quarterly progress reports (QPR)**
     iii.   **Outcome groups and outcome mapping**
     iv.   **Annual review**

A.   Key Principles for Monitoring

Under RBM, "good monitoring" means that monitoring is continuous, involves partners, and is focused on progress towards outcomes. Such monitoring provides the basis for results-oriented reporting and for evaluations. Good monitoring requires finding the right mix of tools and being able to balance the analysis of reports, reviews and validation, and participation. Good monitoring is **not** demonstrated by merely producing reports in a prescribed format at set intervals.

Programme Managers are expected to follow good practices when it comes to both the **scope and conduct** of monitoring and evaluation. Within a set of key principles, Programme Managers largely determine the tools, formats, timing and schedules that will produce the kind of input the management team needs in order to manage for results. To determine if they are observing good monitoring and evaluation practices, they should be assessed through reviews, management indicators and programme/project audits.

I.   CONDUCTING GOOD MONITORING

The credibility of findings and assessments depends to a large extent on the manner in which monitoring and evaluation is conducted. Good principles (also called "minimum standards") for monitoring are as follows:

■   Good monitoring focuses on **results and follow-up**. It looks for "what is going well" and "what is not progressing" in terms of progress towards intended results. It then records this in reports, makes recommendations and follows-up with decisions and action.

■   Good monitoring depends to a large measure on **good design**. If a programme or project is poorly designed or based on faulty assumptions, even the best monitoring is unlikely to ensure its success. Particularly important is the design of a realistic results chain of outcome, outputs and activities. Programme Managers should avoid using monitoring for correcting recurring problems that need permanent solutions.

■   Good monitoring requires **regular visits** by the Programme Manager who focuses on results and follow-up to verify and validate progress. In addition, the Programme Manager must organize visits and/or bilateral meetings dedicated to assessing progress, looking at the big picture and analyzing problem areas. The Programme Manager ensures continuous documentation of the achievements and challenges as they occur and does not wait until the last moment to try to remember what happened.

■   **Regular analysis of reports** such as the Quarterly Progress Report (QPR) is another minimum standard for good monitoring. Such reports, prepared by the Programme Managers for the audience of the Centre and other partners, serve as a basis for analysis by the Programme Managers.

■   Monitoring also benefits from the use of **participatory** monitoring mechanisms to ensure commitment, ownership, follow-up and feedback on performance. This is indispensable for outcome monitoring where progress cannot be assessed without some knowledge of what partners are doing. Participatory mechanisms include outcome groups, stakeholder meetings, steering committees and focus group interviews.

■   Good monitoring finds ways to objectively assess progress and performance based on clear criteria and indicators. To better assess progress towards outcomes, Programme Managers must make an effort to improve their **performance measurement system** by developing **indicators and baselines**.

■   **Assessing the relevance, performance and success** of KAICIID's interventions also enhances monitoring. The Centre periodically asks critical questions about the continued relevance of the support to the activity, and strives to judge performance and success—or lack thereof—based on empirical evidence. The findings are used for decision-making on programming and support.

■   Finally, as part of good monitoring, the Programme Manager is seen to actively generate **lessons learned,** ensure learning through all monitoring tools, adapt strategies accordingly and avoid repeating mistakes from the past. The use of electronic media for memory and sharing lessons is also considered a minimum standard.

II.   SCOPE OF MONITORING

Monitoring aims to identify progress towards results. Using the information gained through monitoring, the Programme Manager must analyze and take action on the programme and project activities that are contributing to the intended results — results that are within the strategic areas of support in the Strategic Plan and the Programme Resutls Framework.. Programme Managers also monitor and document the

contributions of soft interventions and strategic partnerships. These tasks all form part of **outcome monitoring,** as defined in Chapter 2.

All monitoring and evaluation efforts should address, as a minimum:

■ **Progress towards outcomes:** This entails periodically analyzing the extent to which intended outcomes have actually been achieved or are being achieved;

■ **Factors contributing to or impeding achievement of the outcome**: This necessitates monitoring the institutional and/or country context and the economic, sociological, political and other developments simultaneously taking place;

■ **KAICIID contributions to the outcomes through outputs**: These outputs may be generated by programmes, projects, policy advice, advocacy and other activities. Their monitoring and evaluation entails analyzing whether or not outputs are in the process of being produced as planned and whether or not the outputs are contributing to the outcome;

■ **The partnership strategy**: This requires the design of partnership strategies to be analyzed as well as the formation and functioning of partnerships. This helps to ensure that partners who are concerned with an outcome have a common appreciation of problems and needs, and that they share a synchronized strategy.

Programme Managers may add additional elements where needed for management or analysis, while keeping a realistic scope in view of available capacities, as discussed in Box 1 on implementation.

Monitoring does more than look at what programmes/projects deliver. Its scope includes assessing the progress, partnerships and soft assistance in relation to outcomes as well as providing managers with information that will be used as a basis for making decisions and taking action. Under RBM, monitoring becomes even more important as a tool for decision-making and learning and is indispensable in providing information and data for evaluations.

BOX 1. IS IMPLEMENTATION ALSO MONITORED?

The implementation of activities is no longer monitored as closely as it could be, largely because greater efforts are being directed towards the monitoring of outcomes and outputs. Today it is often a trade-off: less detail regarding implementation for more emphasis on results. Each Director and/or Programme Manager is expected to strike the appropriate balance when monitoring implementation—accurate but not "bogged down" in details. For example, less emphasis would be placed on detailed implementation tasks such as "has the document been delivered" or "has the project assistant been paid".

Regular interactions between the Programme Manager and project staff should provide sufficient detail regarding implementation problems, activities, inputs and resource expenditures. Such interactions are the responsibility of the institution designated to manage the project (the executing agent). In cases where close monitoring by the Centre is required to ensure accountability, it is still possible to reduce the level of detail in the monitoring by introducing ex-post check-ups, tight workplanning with benchmarks and other measures.

It is worth noting that problems associated with implementation—such as weak management and lack of accountability—cannot be effectively solved by monitoring. These problems can best be avoided through capacity assessments, good programme/project design and early agreement on standards for management.

Adequate **budgetary resources** should be allocated for monitoring. The Centre may charge the project budget directly for the cost of monitoring visits related to informing the designated institution. The project budget may also cover the participation of national partners in monitoring visits, when agreed by the senior management.

III.   RESPONSIBILITY FOR MONITORING

The responsibilities for monitoring are different at each programming level, where the focus is on higher-level results at each higher level of programming. The senior management focus is on the Strategic Plan, Annual Review and overall performance; Programme Managers focus on the results framework and outcomes and project staff focus on the project documents and outputs.

KAICIID Senior Management

Senior management are closely involved in the strategic choice of monitoring mechanisms. The role of senior management is to ensure that the programme developed contributes as best as possible to the attainment of the goals of the Strategic Plan. This is accomplished in partnership with key national stakeholders. Senior management actively leads the annual review process, develops advocacy and partnership strategies, promotes better monitoring for results and fosters a learning environment. In general, the management sets the framework for managing for results, prioritization in workplanning and partnerships. Together with partners, the management also ensures that periodic assessments review whether or not the approach followed is the best way to produce the intended outcomes. At this level, the focus is on all of KAICIID programming. The annual review is the main vehicle for such monitoring. It draws out general lessons learned and distills trends in assistance, overall performance and problem areas—whether they are related to specific outcomes or they cut across results.

KAICIID Programme Management

Programme Managers are responsible for the overall monitoring of progress towards outcomes as well as the programme's contribution in terms of strategic outputs. At this level, monitoring is the main responsibility of the KAICIID Programme Manager. He or she ensures that monitoring and reporting at different programming levels and from different sources are brought together to provide complete information on progress towards outcomes. An outcome monitoring plan may facilitate this work (See Chapter 3 on planning monitoring).

Programme Managers are now expected to take on a greater role in advocacy and partnership building than they did in the past. For the QPRs, Programme Managers bring together an analysis of several projects and activities along with data based on an extensive review, and then help generate lessons learned around outcomes. Programme Managers may also add value to project work and provide soft assistance to exercise a positive influence on the outputs. They are expected to play a strong role in programme design in order to ensure alignment with strategic priorities. Programme Managers help develop accountability mechanisms and, through them, monitors periodically to ensure that KAICIID resources are being used appropriately.

Programme Managers monitor outcomes periodically, as the development situation changes. Since progress towards outcomes cannot be assessed by project reports and indicators alone, they continuously scan the environment, keep abreast of evolving perceptions of key stakeholders and the contributions of partners, analyze newspapers and reports received from other development partners, use evaluations to provide feedback on progress and, ideally, conduct client surveys to find out if perceptions of progress hold true.

Project Management

The project management, which may sometimes include or refer to a national partner, is responsible for delivering the outputs of the project, its actual implementation, input management and sound administrative management. It also monitors implementation tasks carried out by other contractors. The project management develops the project work plan and the annual project report, which provide critical

information and lessons learned regarding the effectiveness of the implementation strategy and the delivery of outputs. Project management may also contribute to the implementation of a partnership strategy developed by the Centre. The institution managing the project ensures the interface between the desired results and the expectations of the target beneficiaries, thus promoting a sense of ownership.

Monitoring of project activities may also be done by the Programme Manager. In addition to outcomes, the QPR provides specific attention to outputs, and is analyzed by all relevant staff. The project staff are expected to ensure detailed monitoring of all "deliverables" as well as implementation tasks. Since project staff members are often experts in their fields, monitoring at project level may also entail some assessment of outcome status and thus provide input to outcome level reporting.

IV. SELECTING THE RIGHT MONITORING TOOLS

The monitoring approaches and tools described here may be applied to projects, programmes, outcomes and any activity that can be monitored. Steering committees, for example, normally have been established for projects, yet they can also be established to monitor an outcome with which a number of projects are associated.

Programme Managers work within a framework focused on progress towards outcomes and KAICIID's contribution to them. Within that framework, Programme Managers must determine the correct mix of monitoring tools and approaches for each project, programme or outcome, ensuring that the monitoring contains an appropriate balance between:

■ Reporting/analysis, which entails obtaining and analyzing documentation from the project that provides information on progress;
■ Validation, which entails checking or verifying whether or not the reported progress is accurate;
■ Participation, which entails obtaining feedback from partners and beneficiaries on progress and proposed actions.

TABLE 1. SELECTING THE RIGHT MIX OF MONITORING MECHANISMS		
Reporting and Analysis	Validation	Participation
■ Quarterly Progress Report (QPR) ■ Trip, Activity and Annual Reports ■ Work plans ■ Project/programme delivery reports ■ Substantive project documentation	■ Field visits ■ Spot-check visits ■ External assessments/ monitoring ■ Client survey evaluations	■ Outcome groups ■ Steering committees/ mechanisms ■ Stakeholder meetings ■ Focus group meetings ■ Annual review
Learning takes place through all monitoring tools or mechanisms		

Table 1 lists a variety of monitoring mechanisms, divided into three categories according to their predominant characteristic. The main purpose of field visits is validation by direct observation, for example, although they may also be considered participatory if they involve feedback from beneficiaries or stakeholders. Different groups of people will use different tools—or use them differently. It is not realistic to expect that any one monitoring tool or mechanism will satisfy all needs. Monitoring of outcomes may require a different mix of tools than the tools traditionally used at project level. Instruments such as project visits or bi-lateral meetings may be insufficient because the scope of the project is too narrow or the range of partners involved is too limited. Instead, more useful tools may include reviews by outcome groups, analysis and surveys (See Annex E for a depiction of how a flexible menu of monitoring tools may be used).

B.   The Building Blocks: Monitoring Tools and Mechanisms

A variety of formal and informal monitoring tools and mechanisms are available for use by Programme Managers, including field visits, quarterly and annual progress reports, outcome groups and annual reviews. Their formats and approaches are adaptable to local needs, provided the minimum content is reflected—***namely progress towards outcome and partnerships.*** Programme Managers are expected to use tools and mechanisms such as the four key examples described below (Additional choices are listed in Table 1 above and in Annex E).

I.   FIELD VISITS

Field visits to institutions and/or countries are frequently used as a monitoring mechanism. It is common policy to conduct regular field visits. Consideration should be given to the timing of the visit, its purpose in terms of monitoring, and what to look for in order to measure progress. Ideally, a representative from the KAICIID should visit each programme and project contributing to strategic results in the results framework at least once a year. Field visits may be undertaken by the Programme Manager, the Senior Adviser and/or a Task Force from the Centre (particularly when dealing with a complex outcome). The members of the Senior Leadership Team are specifically encouraged to undertake field visits from time to time.

Timing: A field visit may be planned for any time of the year. If undertaken in the first half of the year, it may be oriented towards the validation of results. If undertaken in the latter part of the year, the field visit should provide the latest information on progress towards results reporting utilizing the Activity Report template, which is both action and results-oriented and ideally submitted within two weeks of return to the Centre.

Purpose: Field visits serve the purpose of validation. They validate the results reported by programmes and projects that are essential for achieving intended outcomes. They involve an assessment of progress, results and problems and may also include visits to partner organisations.

Visits are increasingly joint efforts of several partners and may involve clusters of programmes and projects within an outcome. A Programme Manager, for example, may undertake a series of visits to projects that are contributing to one particular outcome. Several partners might also join together to visit all KAICIID activities within a specific geographical area. Such joint efforts are often an efficient way to obtain a comprehensive overview of progress.

Focus: What should we look at during a field visit? The emphasis is on observing the progress being made towards the attainment of results (outcome and outputs) that are contributing to the goals of the Strategic Plan and the results chain highlighted in the programme results framework. The Programme Manager should also look at the contribution of soft interventions, the development of strategic partnerships and assess progress towards outputs and outcome. In a change from past practice, detailed implementation issues should no longer be the main focus of field visits.

II.   THE QUARTERLY PROGRESS REPORT

The Quarterly Progress Report (QPR) serves as the basis for assessing the performance of programmes and projects in terms of their contributions to intended outcomes through outputs and

partnership work. As a self-assessment report by project management to the Centre, the QPR requires a strong preparatory process for quality assurance. It can be readily used to spur dialogue with partners – even if it is used internally within the Centre. They collectively contribute feed into the annual review and the production of the Annual Report.

Timing: The QPR should be prepared every 3 months, with the final review period coinciding with the fiscal year of KAICIID (January-December).

Purpose: The QPR provides a self-assessment by the programme management and is part of the Programme Manager's review of the programme's performance. The QPR should provide an accurate update on programme/project results, identify major constraints, lessons learned and propose future directions. The QPR provides input into the Centre's reporting process and the Annual Report. It analyzes the underlying factors contributing to any lack of progress so that programme/project management can learn from experience and improve performance.

Preparation: The QPR is prepared by the programme or senior programme manager—who is responsible for the day-to-day management of the programme, under the guidance of Programme Chiefs and the Director of the Programme Department. The programme manager directly liases with the project management to convey key concerns as input to the report. The QPR is a kind of performance report that is not expected to be a participatory or consensus-building tool. The Programme Manager rates the progress of both outputs and outcome in the QPR.

Use of the QPR: The QPR is part of KAICIID's central oversight and monitoring and programme management, and the building block of the annual review and the Annual Report. Once the report has been produced each quarter, the next step is to hold consultations, both internally and externally with partners. Depending on its content and approach, the QPR may be used for:

■   Performance Assessment: The assessment of programme/project performance is mainly through the QPR. The Programme Manager reviews the QPR for accuracy in reporting and to determine whether or not the highlighted problems seem complete, and may ask for additional information if the achievements reported do no seem clear. Once cleared, the QPR feeds directly into the annual review. When using mechanisms such as outcome groups or steering committees to review programme/project performance, the QPR may also provide a basis for joint decision making with key partners on recommendations for future courses of action.

■   Learning: The QPR provides information on what went right or what went wrong, and why. This should feed into the annual review, learning and practitioners IRD/ICD networks, repositories of knowledge and evaluations. It is recommended that the QPR for the final quarter also focus on planning for sustainability, where relevant (i.e. exit strategy). If deemed necessary by the senior management in certain contexts, the QPRs may also be used to share results and problems with beneficiaries, partners and stakeholders and to solicit their feedback.

■   Decision-making: The management may use the QPR for planning future actions and implementation strategies, tracking progress in achieving outputs, outcomes, and approaching "soft interventions", and developing partnerships and alliances. The QPR allows KAICIID (and indirectly partners) to seek solutions to the major constraints to achievement of results. The Programme Manager highlights issues and brings them to the attention of the senior management for action or input to discussion on results achieved, key problems and next steps.

Content and Format of the QPR (see Annexes for the actual format): The QPR is intended to be relatively brief (with character limitations to ensure brevity) and contains the basic minimum elements required for the assessment of results, major problems and proposed actions. These elements include:

■　　An analysis of programme/project performance over the reporting period, including outputs produced and, where possible, information on the status of the outcome;
■　　Constraints in progress towards results, and reasons behind the constraints;
■　　Major constraints to achievement of results and scoring of progress;
■　　Lessons learned;
■　　Clear recommendations for the future approach to addressing the main problems contributing to lack of progress.

III.　　OUTCOME GROUPS AND OUTCOME MAPPING

An important way of monitoring is the use of coordination mechanisms that bring together partners for discussion and analysis. This is generally known as the use of "*outcome groups*" within Results Based Management. Outcome groups have proven to be critical for undertaking "*outcome mapping*", which is a methodology for planning, monitoring and evaluating development initiatives in order to bring about sustainable institutional change.

The Centre needs to employ mechanisms that involve partners and allow for periodic discussion and analysis around outcomes. For ease of reference, coordination mechanisms that monitor outcomes are referred to as "outcome groups". Such groups focus on the monitoring of outcomes and the contribution of outputs to outcomes; they do not address general information exchange or project details. Ideally, outcome groups should use existing mechanisms such as established programme steering committees, IRD/ICD networks, thematic groups or sectoral coordination groups. If regular mechanisms do not exist, the Centre may bring key partners together at periodic meetings. Individual projects should be included in outcome group discussions because they need to have a vision of the outcome to which their outputs are ultimately contributing.

Purpose: Outcome groups ensure continuous outcome assessment, which serves as a basis for the Strategic Plan, the results framework and enhances progress towards results. They also promote partnerships. Bringing together different projects concerned with a single shared outcome may help ensure synergy and reinforce a common strategy among KAICIID projects and partners towards higher, outcome level results.

Participation: Participants in outcome groups include KAICIID Programme Managers, Project Staff, where relevant the Country Experts, and the Programme Director. Outcome groups could also involve government and civil society counterparts at the technical level. External partners should also participate at least once a year, but may not wish to attend all meetings.

Focus: What do outcome groups look at? The outcome group assesses the status of strategic outputs and related initiatives by partners—all of which contribute to an intended outcome. It does so by examining information from projects, institutional and/or national reports, donor reports and other sources. By bringing partners together, it helps define the strategic approach towards the outcome and assists in its formulation. A central task is to agree on a monitoring plan for the outcome and oversee its implementation. It also serves as the focal team for outcome evaluations. An outcome group should be a vehicle for documenting and disseminating lessons learned. When partners are involved, the outcome group may be part of the annual review, where the main consultations on the given outcome take place.

This may help alert the Centre to problems or issues that might be common across results or areas. Outcome groups should not increase transaction costs by looking at all project details.

Organization: The onus is on the Centre to coordinate and organize outcome groups. The Programme Manager is primarily responsible for ensuring that there is consultation and analysis to support the monitoring of outcomes. For practical reasons, it may be possible for the Centre to use existing fora, if available. Where possible it may also be able to cluster outcome groups so as to ensure synergies and address cross-cutting thematic areas or issues. See Table 2 below for more information.

Documentation: The progress towards outcomes reported in the review process with the outcome group feeds into the Annual Review and the Annual Report. To ensure follow-up on other aspects discussed in the review, the Centre should prepare brief records of decisions, conclusions and lessons learned during the outcome group consultations and share them with local partners and other relevant parties or networks. This promotes learning and helps Programme Managers to monitor the future implementation of agreements resulting from the outcome group review process.

Key issues to consider with outcome groups:

■ Focus more on information sharing and analysis (rather than planning);
■ Involve key allies and/or government to generate interest; seize the opportunity to engage all relevant partners.
■ Aim for consensus-building; identify areas of conflict – use facilitators where relevant.
■ Meet and consult individually and then bring "adversaries" together.
■ Use the outcome group review to improve progress towards intended outcome.
■ Avoid one large meeting that might be too unwieldy; instead, use existing mechanisms such as thematic groups or hold outcome or project meetings. Concentrate on the most key outcomes.
■ Avoid overloading partners with many separate meetings.
■ A more focused policy level meeting with all parties at the end would allow for the "big picture" for negotiations and/or assessments.

Outcome Mapping

At the planning stage of a programmatic intervention, the process of outcome mapping within the outcome group helps to identify the actors to be targeted, the changes the intervention hopes to see and the strategies to achieve these. For ongoing monitoring, outcome mapping provides a set of tools to design and gather information on the results of the change process, measured in terms of the changes in behaviour, actions or relationships that can be influenced by the team or programme. Outcome mapping can also be part of an evaluation approach, where it helps to unpack an initiative's theory of change, provides a framework to collect data on immediate, basic changes that lead to longer, more transformative change, and allows for the plausible assessment of the initiative's contribution to results.

Outcome mapping provides a set of tools that can be used stand-alone or in combination with other planning, monitoring and evaluation systems to:

➢ identify individuals, groups or organisations with whom you will work directly to influence behavioural/ institutional change;
➢ plan and monitor behavioural/institutional change and the strategies to support those changes;
➢ monitor internal practices of the programme or project to remain effective; and
➢ create an evaluation framework to examine more precisely a particular issue.

It is an effective methodology that can be adapted to a wide range of contexts. It enhances programme understanding of change processes, improves the efficiency of achieving results and promotes realistic

and accountable reporting. However, it is important to bear in mind that the methodology requires skilled facilitation as well as dedicated budget and time, which requires support from higher levels within an organisation. It also often requires a "mind shift" of personal and organisational paradigms or theories of social change.

Key issues to consider with outcome mapping:

Outcome mapping involves a number of steps under three main components, namely ***design stage***, ***outcome monitoring*** and ***evaluation planning***.

Design stage

The Design stage is based on a few key steps that are normally developed in a sequential order – usually during the strategic planning of a programmatic intervention:

- Outcome vision – this has to be identified and fully internalised by the programme team as it describes the behavioural/institutional changes that the Centre hopes to contribute to; based on the vision, the outcome statement spells out how the programme will contribute to the vision, the specific aspects of the vision on which the programme is going to focus.
- Substantive *engagement of the outcome group* around the vision and the envisaged result – i.e. the key institutional partners, who are those individuals, groups, or organisations with whom the programme interacts directly and with whom it anticipates opportunities for influence.
- *Agreement on outcome indicators* that are to be used to assess the desired changes in the behaviour, relationships, activities, actions (professional practices) of the wide range of partners represented in the outcome group. It is the ideal behavioural change of each type of partner for it to contribute to the programme outcome. Outcome indicators should try to capture as much as possible a gradual progression of changed behaviour among the partners leading to the ideal outcome challenge. They are a core element in outcome mapping and the strength rests in their utility as a set of desired changes which indicate progression towards the ideal outcome challenge and articulate the complexity of the change process. They represent the information which can be gathered in order to monitor partner achievements. Therefore, as progress markers, outcome indicators are central in the monitoring process; they can be adjusted during the implementation process to include unintended results.
- *Agreement on specific strategies* that may include a mix of different types of strategies used by the implementing team and partners to contribute to and support the achievement of the desired outcome level changes. Outcome mapping encourages the programme to identify strategies which are aimed directly at the most relevant partner institutions and those aimed at the environment in which such partner institutions operate.
- *Agreement on organisational practices or approaches* that basically explain how the outcome group as the wider implementing team is going to operate and organise itself to fulfil its mission. It is based on the idea that supporting change among institutional partners requires that the programme team itself is able to change and adapt as well, i.e., not only by being efficient and effective (operational capacities) but also by being relevant (adaptive capacities).

Outcome monitoring

The monitoring stage involves the following steps:

- *Monitoring priorities* provide a process for establishing the areas of the programme to be monitored.
- *Outcome journals* are a tool for collecting data about the indictors or progress markers over time and analysing the activities of a programme.
- *Performance journals* are used for collecting information or data about actual organisational practices, lessons learned, emerging risks (if any) and unanticipated developments with reference to progamme implementation.

The evaluation stage

This involves a single step:

- Evaluation plan provides a process and a tool for designing an outcome evaluation using outcome mapping.

The particular way that outcome mapping uses these steps, and the process it suggests for developing them, make them very effective at getting to the core of what an initiative towards an outcome is really about and what the programme's core contributions are. The outcome mapping process – i.e. the outcome challenge and indicators, together with the outcome journals and other tools – allows users to capture unintended changes in behaviour of crucial actors external to the programme, as the programme is running. They can also be used in a retrospective evaluation, to re-construct a process of change to bring up intended and unintended (positive and negative) outcomes.

Outcome mapping suggests a participatory approach to developing outcome challenges and progress markers together with select institutional partners. This process is very effective at illuminating different perspectives of the initiative and the underlying values of different stakeholders. While outcome mapping does not depend on any particular data collection method or option, it does suggest the use of journals for collecting qualitative data, which is absolutely essential. Outcome journals are used to collect data about behavioural changes observed among a wide range of institutional partners.

With the use of indicators – which are key progress markers – the process towards a specific outcome can be analysed independently from the intervention itself. If the journals are used well then ongoing monitoring will result in a record of incremental change that may or may not have been influenced by the initiative. This can then be used to reconstruct pathways of change. Likewise, a retrospective assessment based on the outcome mapping approach will generate alternative and complimentary explanations.

Outcome mapping is explicit about the fact that change occurs as a result of many actors and factors. It is designed for the purpose of understanding an initiative's contribution to change in the context of other factors outside of its control and each step in the outcome mapping process builds on this idea. Last, but not least, outcome mapping provides a process for continuous reflection among key actors involved in the initiative. By building in participation from the start, the outcome mapping process with in the outcome group maximises the chances that findings will result in actual changes on the ground.

IV. ANNUAL REVIEW

The annual review connects reporting, feedback, evaluation and learning to assess performance as a basis for the Annual Report. It is essential that the Annual Report is prepared from analysis based on consultations with partners. The Annual Review is held towards the end of the year (October to December) in order to feed into the Annual Report preparation.

Purpose: The Annual Review is a management dialogue at the organizational level to assess progress towards results (outputs and outcomes) that can be used for building a consensus and a mutual understanding between KAICIID and its partners around common outcomes (results). It involves an assessment by programme managers with partners of the results framework outcomes and their contribution to goals at the Strategic Plan as a basis for the Annual Report. The discussions are meant to guide the planning of KAICIID's capacity development support around IRD/ICD over the next 12

months. The Annual Report should be the key vehicle for learning by determining overall and general lessons learned and reviewing recommendations of outcome evaluations.

Participation: The entire organization is involved in the review to varying degrees, especially the KAICIID Senior Management, and in particular the Programme Department. Also involved are key partners, including government representatives where relevant, and project management.

Organization: The scope of the review must be balanced between its complexity and added value. It would depend on how well the Centre has involved partners in the issues during the year; for example, many of the Annual Review issues would already have been covered if outcome monitoring with partners has been regular, leading to a simpler Annual Review. A focused approach is recommended so that the key issues and/or outcomes are addressed.

Documentation: There is no formal documentation required for the AR, as it may take different approaches. The preparatory work is based on internal discussions to review performance based on the QPRs, the results framework, the Strategic Plan, management issues, evaluations and other relevant information on programme/project performance and progress towards outcomes.

Chapter 5.   The Evaluation Process

How does the Centre prepare for and manage an evaluation? And how does an evaluation team go about conducting an evaluation? This chapter introduces outcome evaluation methodology and provides suggestions on improving project evaluations. It also helps users to manage an evaluation process and set standards for quality results-oriented evaluations.

This chapter covers:

A.   Preparing for an evaluation

     i.   Purpose and timing
     ii.   Involving partners and stakeholders
     iii.   Revisiting the outcome
     iv.   Defining the scope
     v.   Drafting the terms of reference
     vi.   Budgeting
     vii.   Organizing the relevant documentation
     viii.   Forming the evaluation focal team within the Centre
     ix.   Selecting the evaluation team

B.   Managing an evaluation

     i.   Collecting and analyzing data
     ii.   Backstopping and feedback
     iii.   Reporting
     iv.   Following up

C.   Joint evaluations

A.   Preparing for an evaluation

Preparing for any evaluation requires an investment of time and thought. More preparation time and reflection in advance is generally required for an outcome evaluation than for a project evaluation.

I.   PURPOSE AND TIMING

Deciding precisely why and when to conduct an outcome evaluation is a process that begins early in the programming cycle. As discussed in Chapter 3, evaluation plans are made on the basis of a certain (and varying) number of outcomes that the Centre may choose to evaluate in a given Strategic Plan (SP) cycle. A variety of outcome evaluations—each with different purposes, scopes and timing—will take place during the SP cycle. The Centre therefore should strive to identify, at least generally, the purpose and timing of its evaluations in a comprehensive and coherent manner—and do so as early as possible.

The timing of an outcome evaluation should be directly linked to its purpose (as noted in Chapter 3). If, for example, the outcome evaluation is expected to contribute to learning and a change in the type of outputs or the partnership strategy, it should be conducted early enough to allow this change in programming. This means that if KAICIID began working towards an outcome in year one of the SP cycle, an evaluation of that outcome might be most strategically placed at the end of year three because

enough time has elapsed to have something to evaluate, yet enough time remains to apply lessons learned from the evaluation.

On the other hand, an evaluation might be most strategically placed at the beginning of the last year of the Strategic Plan period if KAICIID wants to extract lessons learned regarding the quality of outputs and partnership strategy employed towards an outcome and how each did or did not contribute to its achievement. The same principle holds true for project evaluations (if the Centre chooses to conduct them): the purpose of an evaluation should dictate its timing and scope. More information on the timing, purpose and duration of outcome evaluations is provided in Table 1 (See also Annex A).

TABLE 1. POSSIBLE TIMING, PURPOSE AND DURATION OF OUTCOME EVALUATIONS		
TIMING	EXAMPLES OF PURPOSES	DURATION
Early in the SP cycle: Years 1–2	To check early strategy for a particularly ambitious outcome	Shorter-term
Middle of the SP cycle: Years 2–3	To prompt mid-course adjustments in output production	Medium-Term
End of the SP cycle: Years 3–4	To learn lessons for the next Strategic Plan formulation	Longer-term

II.   INVOLVING PARTNERS AND STAKEHOLDERS

An emphasis on results places an even greater emphasis on the involvement of partners (those with whom KAICIID is actively engaged in pursuing results) and stakeholders (those with a role and/or interest in the results) in evaluation exercises of all kinds. In particular, **key partners**, such as those listed in Box 1, should be involved in every step of an outcome evaluation by being included in outcome group discussed earlier. Likewise, stakeholders affected by an evaluation should also be involved, even if they are not directly involved in the programme or outcome. Stakeholders might be involved, for example, through a stakeholder meeting to discuss the initial findings of the evaluation team. Often, but not always, partners and stake- holders will include the same actors and agencies. Indeed,

BOX 1. KEY PARTNERS AND STAKEHOLDERS

National authorities

Religious representatives and institutions

Civil society organizations

National and international NGOs

UN agencies and other Inter-governmental organisations

Private sector

Bilateral and multilateral donors

Academic institutions

partners, stakeholders and "beneficiaries" often are coterminous, having the same interests. This is not always the case, however, so it is important to distinguish between the three terms since, in a given context, one actor might be a partner, another a "beneficiary" and yet another a stakeholder. In a project to strengthen religious institutions' advocacy power with national authorities, for example, the latter may be a stakeholder; a donor government agency may be both partner and stakeholder; and religious institutions may be partners, stakeholders and "beneficiaries."

The level to which different partners and stakeholders are involved at different steps in the process will vary. Some need only be informed of the process, while it would be important for others to be involved in a decision-making capacity. Because evaluation has important capacity development and learning dimensions, decisions about who is involved and to what degree will impact upon the results. In general the greater the level of involvement the more likely it is that evaluative knowledge will be used. It is important to note that greater participation of partners or stakeholders or both often implies greater costs and sometimes can lead to a reduction in efficiency. Nevertheless, by strategically involving stakeholders and partners, participatory evaluation can positively influence the degree of ownership of the evaluation results and sustainability.

Tips for involving partners and stakeholders in the entire evaluation process include the following:

- Make a preliminary selection of partners and stakeholders to contact in the early stages of evaluation planning (i.e., when selecting the outcome, defining the scope, deciding on timing and so on);
- Share the TORs and CVs of suitable candidates for the evaluation team and obtain feedback from stakeholders and partners, who can play a valuable role in defining the scope of the outcome evaluation;
- Introduce team members to partners and stakeholders;
- Invite partners and stakeholders to workshops with the evaluation team (i.e., when they form the evaluation questions, present the evaluation report, etc.);
- Organize a joint analysis with partners of relevant documentation for the evaluation and make the analysis available for future examination by the evaluation team;
- Organize joint field missions with partners when relevant;
- Organize a meeting with partners and stakeholders after the first draft of the evaluation report is produced to discuss the findings with them;
- Follow-up with partners and stakeholders to help ensure that the lessons learned and recommendations of the evaluation are internalized.

III.   REVISITING THE OUTCOME

One of the first steps in planning is to revisit the outcome selected for evaluation. This is done as a check to verify that the outcome is still relevant and to re-identify explicitly the key outputs, projects, programmes, activities and partners' interventions that may have contributed to the outcome. This information should be readily available to the programme manager from regular monitoring reports, from the QPRs and from the evaluation plan prepared that details the projects and programmes that are directed towards a given outcome. Ideally, revisiting the outcome should occur at least six months in advance of evaluation itself.

IV.   DEFINING THE SCOPE

Typically, the scope of a project evaluation is self-defined within the project document. The scope of an outcome evaluation will be larger than that of a project evaluation in most cases. The senior management, the programme staff, key partners and, if possible, the evaluation team leader, should all participate in defining the scope of the outcome evaluation.

At a minimum, the scope of an outcome evaluation should incorporate the following four categories of analysis, either fully or in part.

Categories of analysis:

1.   **Outcome status:** Whether or not the outcome has been achieved and, if not, whether there has been progress made towards its achievement;

2. **Underlying factors**: An analysis of the underlying factors beyond KAICIID's control that influence the outcome;

3. **KAICIID contribution:** Whether or not KAICIID's outputs and other interventions can be credibly linked to achievement of the outcome, including the outputs, programmes, projects and soft and hard assistance that contributed to the outcome), see Box 2;

4. **Partnership strategy:** Whether KAICIID's partnership strategy has been appropriate and effective.

<div style="border:1px solid black">

BOX 2. MEASUREMENT, ATTRIBUTION AND CREDIBLE LINKAGES

Outcome evaluations demonstrate a credible linkage between the whole spectrum of work undertaken by KAICIID within a programme in partnership with others and the achievement of or progress towards outcomes.

Example: An outcome may be defined in terms of the "mainstreaming of IRD within religious institutions and network", which is reflected in the results framework showing how the Centre is assisting or supporting the IRD mainstreaming process that might include (1) facilitating the discussion process on legal aspects that religious institutions need to address;, (2) review to extract experiences on mainstreaming efforts, and (3) promoting IRD capacity development. The outputs have made a clear contribution to a more effective mainstreaming process, and can be claimed to be conducive to the achievement of the outcome. In contrast, credit could not be claimed by KAICIID for the approval of the legal aspects or their effective implementation, which is beyond KAICIID's mandate.

</div>

The Centre may wish to emphasize one category of analysis over the others, influencing the scope of the evaluation. In Table 2, the dimension of "scope" is added to the list presented in Table 1 to illustrate ways in which the timing, purpose, duration and scope of an outcome evaluation interact.

In addition to the four categories of analysis that should be within the scope of an evaluation, an outcome evaluation might also address:

■ Identification of innovative methodologies to approach and support IRD in a sustainable way;

■ National level capacities developed through KAICIID assistance (capacity building is a component of most of KAICIID support);

■ Level of participation of stakeholders in the achievement of the outcome, i.e. to ascertain whether the assistance provided by KAICIID was of a participatory nature (Were the civil society and representatives of grassroots groups consulted in the design of an IRD approach or policy, for example?);

■ Identification of direct and indirect beneficiaries and their perceptions of how they have benefited from the KAICIID assistance;

■ Implementation and/or management issues if they are suspected of being problematic, including the timeliness of outputs, the degree of stakeholder and partner involvement in the completion of the outputs, and how processes were managed/carried out (Were the processes transparent and participatory, for example?).

Together, the outcome selected along with the timing, purpose, duration and scope of the evaluation will dictate much of the substance of the outcome evaluation's terms of reference.

V.   DRAFTING THE TERMS OF REFERENCE

At a minimum, it is expected that terms of reference for all evaluations will contain the following information:

■   **Introduction**: A brief description of what is to be evaluated (outcome, programme, project, series of interventions by several partners, etc.);

■   **Objectives:** Why the evaluation is being undertaken and a list of the main stakeholders and partners;

■   **Scope:** What issues, subjects, areas and timeframe the evaluation will cover;

■   **Products expected from the evaluation:** What products the evaluation is expected to generate (e.g. findings, recommendations, lessons learned, rating on performance, an "action item" list);

■   **Methodology or evaluation approach:** The methodology suggested to the evaluation team;

■   **Evaluation team:** Composition and areas of expertise;

■   **Implementation arrangements:** Who will manage the evaluation and how it is organized.

The terms of reference should retain enough **flexibility** for the evaluation team to determine the best approach to collecting and analyzing data. The TOR, for example, might suggest a combined approach of questionnaires, field visits and interviews—but the evaluation team should be able to revise this approach as it sees fit.

The terms of reference involves strategic choices about what to focus on, and therefore should be reviewed by key stakeholders in an evaluation and, in the case of outcome evaluation, should involve partners in the drafting process. (See Annex A for specific information on the terms of reference for outcome evaluation).

TABLE 2. VARIATIONS IN TIMING, PURPOSE AND DURATION AND SCOPE OF OUTCOME EVALUATIONS		
TIMING	**EXAMPLES OF PURPOSES**	**DURATION**
Early in the SP cycle: Years 1–2	**Purpose:** To check early strategy for a particularly ambitious outcome Scope (i.e., which reflects, to varying degrees of emphasis, the 4 categories of analysis): ■ Status of outcome and its relevance ■ Factors affecting outcome ■ Strategic positioning of KAICIID ■ Partnership strategy and formulation	Shorter-Term
Middle of the SP cycle: Years 2–3	**Purpose:** To prompt mid-course adjustments in output production Scope: ■ Relevance of outcome (and possibly status/ factors affecting) ■ Strategic positioning of KAICIID ■ Partnership strategy and formulation ■ Production of outputs (possibly with partners)	Medium-Term

End of the SP cycle: Years 4–5	**Purpose:** To learn lessons for next SP formulation Scope: ■ Status of outcome and factors affecting it ■ Relevance of outcome/outputs ■ Strategic positioning of KAICIID ■ Production of outputs ■ Partnership strategy, formulation and performance	Longer-Term

VI.   BUDGETING

Budgeting for an evaluation depends upon the complexity of the project or outcome to be evaluated and the purpose of the exercise. These factors dictate the timeframe and the number of evaluators needed. For projects, evaluation resources are allocated from the monitoring and evaluation lines of the project budget. Similarly, outcome evaluations draw on the respective monitoring and evaluation allocations of the projects and programmes that contribute to that outcome.

When budgeting for an outcome evaluation, programme managers and senior management should consider the following factors:

■   The **scope, complexity and time commitments** of the evaluation: An outcome evaluation conducted early in the SP period is apt to be less complex and entail a smaller scope and time commitment than would a "heavier" exercise conducted at the end of the SP period. The greater the complexity and scope of an evaluation, the longer time and more detailed work will be required of the evaluation team, thus increasing evaluators' fees. The duration of an outcome evaluation will be determined by its purpose, with earlier, shorter-term exercises costing less than later, longer-term exercises. Table 3 presents the types of costs associated with outcome evaluations and how they may differ depending upon the scope and timing of the exercise.

■   **The need to minimize time and expense**: It is recommended that Centre provides the evaluation TORs to all short-listed candidates for the evaluation team leader position, so that the team leader may provide feedback on the methodology and timing of the mission. This can help minimize the time spent on preparation. Another way to minimize time is to hire firms rather than individuals, in cases where firms charge a flat rate for the entire evaluation rather than daily rates for additional, unexpected time. Programme managers are also encouraged to take advantage of national evaluative expertise and use national experts on outcome evaluation missions, to the extent possible, which should help reduce the cost of the evaluation.

■   **The use of field visits and interviews**: Outcome evaluations may require evaluators to speak with a range of partners, stakeholders and beneficiaries about perceptions of progress towards results or the production of KAICIID outputs. Field visits and interviews may be quite brief for outcome evaluations conducted earlier in the SP period. Later exercises require evaluators speak with a wider variety of stakeholders and partners, thereby influencing travel, DSA and consultancy costs.

- **The use of national consultants**: National consultants may be employed to complement the work of the evaluators. Outcome evaluations may require analysis of documentation prior to the arrival of the evaluation team in country. This can be efficiently accomplished by hiring national consultants to review the data. Beforehand, staff of the KAICIID country office should spend some time acquiring the materials, reviewing them and making a "first cut" to select the most relevant documentation.

- **The areas of expertise needed among the evaluators**: Because a multi-disciplinary approach is needed for outcome evaluations, the evaluation team will need to include at least one evaluator (national or international) with RBM knowledge. In addition, one evaluator (national or international) should also have in-depth knowledge of the outcome to be evaluated. As these criteria could increase the consultancy costs for the mission, efforts should be made to identify candidates whose competencies reflect both RBM and subject specialization.

TABLE 3. SAMPLE COMPARISON OF TIME AND RESOURCE REQUIREMENTS FOR OUTCOME EVALUATIONS			
TIME REQUIRED FOR:	**EARLY IN SP YEARS 1-2**	**MIDDLE OF SP YEARS 2-3**	**END OF SP YEARS 4-5**
Initial visit of team leader	1-2 days	3-4 days	10 days
Desk reviews	4 days	1 1/2 weeks	2 weeks
Evaluation mission ▪ Drafting evaluation report ▪ Debriefing	1.5 – 2 weeks, including 4 days to 1 week 2 days	3 weeks, including 1 week 3 days	4 weeks, including 2 weeks 1 week
Preparation of final report	1/2 to 1 week	11/2 to 2 weeks	2 weeks
TOTAL	**3 TO 4 WEEKS**	**6 TO 7 WEEKS**	**9 TO 10 WEEKS**
BREAKDOWN OF THE RESOURCES REQUIRED FOR:			
National consultant —research	1 for 1 week	1 for 2 weeks	1 for 3-4 weeks
International expert —mission	1 for 1 to 2 weeks	1 for 2 to 3 weeks	1 for 4-6 weeks
For the Focus Countries: KAICIID Country Expert — mission	A week's engagement with limited financial implication	2 weeks' engagement with limited financial implication	3 – 4 weeks' engagement with limited financial implication
Travel costs	Travel and DSA for national and international consultants/experts	Travel and DSA for national and international consultants/experts	Travel and DSA for national and international consultants/experts

VII.   ORGANIZING THE RELEVANT DOCUMENTATION

Once the scope of an evaluation has been defined, the programme has to gather the basic documentation and provide it to the evaluation team. Preliminary deskwork may be carried out to gather information on activities and outputs of partners, previous KAICIID-related assistance and the current situation of the outcome itself. Such work may be agreed in the TOR or suggested by the evaluation team.

The following sources of information would be most useful for an outcome evaluation team:

■ **Programme Document:** This addresses the key outcomes that KAICIID had planned to achieve in a three- to five-year time period. It also provides background information and KAICIID's perspective on the specific IRD approaches being used to reach the intended outcome.

■ **The Annual Reviews and Annual Reports**: These comprehensively present the projects and programmes being implemented by the Centre as well as the projects clustered under the outcome in question and should, ideally, identify all of the projects, programmes, sub-programmes and soft assistance that contribute to the outcome. Also included is information on key outputs, the strategic partners, partnership strategy, how much progress has been reported in previous years, the quality of outcome indicators, the need for further work and baseline information.

■ **The Results Framework of the Programme:** This includes indicators and corresponding, targets and baselines and other relevant information regarding the outcome and outputs.

■ **Monitoring and evaluation reports:** These include evaluation reports on related subjects, QPRs, field visit reports and other outcome and key programme or project documentation produced overtime.

■ **Reports of Related Regional and Sub-Regional Projects and Programmes**: These reports indicate the extent to which these projects and programmes have complemented contributions by KAICIID and its partners to progress towards the outcome.

■ **Reports on Progress of Partners' Interventions:** Progress made by partners in the same outcome and information about how they have strategized their partnership with KAICIID may be found in these reports.

■ **Data from Official Sources:** Information on progress towards outcomes may be obtained from sources in the government, private sector organizations, academia and international and national research institutes.

■ **Research Papers:** Topics related to the outcome being evaluated may have been addressed in research papers from governments, NGOs, international peacebuilding institutions, academia and other sources.

The above sources are expected to yield information about the four categories of analysis (outcome status, underlying factors, KAICIID contribution, partnership strategy) in an outcome evaluation.

VIII.   FORMING THE EVALUATION FOCAL TEAM

For outcome evaluations, it is recommended that the senior management of the Centre along with the Monitoring and Evaluation Adviser form a small evaluation focal team (EFT) within the Programme Department, as described in Box 3. This team assumes primary responsibility for the organization of an outcome evaluation, and works actively to support the work of the independent outcome evaluation team.

Working as an evaluation focal team is more efficient than one person working alone because outcome evaluations touch upon a broad range of issues. With the KAICIID emphasis on results, a small team needs to be involved in the process. This is in contrast to project evaluations, where the Project Manager took charge of planning and ensuring that the exercise was undertaken within the framework of the TOR.

Ideally, preparations for an outcome evaluation are linked to the process of outcome monitoring, and not separate from it. The same programme staff should be involved in monitoring progress towards a given outcome and also in preparing for the evaluation. These staff members, along with partners in an outcome group (where one exists), are responsible for the preparation.

The EFT serves a useful function in connecting the evaluation team with the programme,, the senior management and the partners. In addition, the EFT is responsible for substantive and logistical arrangements, such as drafting terms of reference for the evaluation team, identifying suitable candidates (individuals or firms) for the evaluation team, hiring the evaluation team, ensuring a participatory evaluation process, contacting partners, backstopping the evaluation team and commenting on the evaluation draft report.

The EFT ensures a high level of participation within the Centre and among partners at all stages of the evaluation process. Participation helps keep all interested parties informed of the evaluation progress and helps ensure the credibility and quality of the exercise. Some of the most relevant input to the evaluation process may come from the following parties:

- Senior management: Senior management gives direction and vision to the evaluation; provides information on the strategic positioning of the Centre, soft assistance and the Strategic Plan priorities; and contributes first-hand information on planned or potential assistance (e.g. preliminary discussions with high-level authorities on specific issues).

BOX 3. FORMING THE EVALUATION FOCAL TEAM

The Centre should set up an evaluation focal team (EFT) within the Programme Department as soon as a given outcome is selected for evaluation during the planning stage. Establishing an EFT from the start offers several benefits. First, it introduces a team approach within the Centre to handle the work entailed in tracking various issues connected with the evaluation. At the same time, it widens learning and cross fertilization of knowledge within the Centre. Second, it has the potential to provide a team to monitor the outcome automatically during the period leading up to the beginning of the evaluation, thereby increasing the connection between outcome monitoring and outcome evaluation.

It is the EFT that can best ascertain the continued relevance of the outcome as already stated/identified for evaluation. For example, it is possible that changes in the circumstances could make it necessary to change the envisaged timing, scope and nature (that is, from light/forward looking to mid-term/ course adjusting or late/backwards looking, or vice versa) of the evaluation in order to enhance the value of evaluative exercise. A well-considered team approach is more effective in making decisions on such issues than is an individual approach.

- Programme staff: Programme staff enriches discussions through the exchange of information on related or complementary initiatives in other thematic areas, key outputs from projects and programmes, key ongoing soft assistance and linkages with cross-cutting issues and risk management.

- Partners: Various kinds of partners can enhance understanding of simultaneous support towards the same outcome and help to assess KAICIID's partnership strategy.

IX.   SELECTING THE EVALUATION TEAM

Beyond the Centre's EFT is the official team of experts who will conduct the evaluation. The choice of the evaluators is an important factor in the effectiveness of evaluations. Evaluators can be internal, from within KAICIID, or external. External evaluation firms or individual evaluators may be national or international, or a combination of both (See Annex B for a comparison of advantages and disadvantages of hir- ing firms or individuals as evaluators). All external members of a team must be independent—with absolutely no connections to the design, formulation or implementation of the KAICIID or partner outcomes, programmes, projects or activities in question. The team must not include government civil servants of KAICIID focus countries who are directly or indirectly related to the activities and their results. Failure to observe this requirement could compromise the credibility and independence of the exercise.

Areas of expertise to be considered in the team composition include the following:

- Technical knowledge and experience in KAICIID's thematic areas, with specifics depending on the specific focus of the evaluation;
- Knowledge of the national situation and context;
- Results-based management expertise;
- Capacity building expertise;
- Familiarity with policymaking processes (design, adoption, implementation) as the evaluation has to touch upon policy advice and policy dialogue issues.

Expertise in RBM is increasingly important as evaluations begin to mainstream RBM principles and methodology. Evaluators need to know how to establish a link between the progress of KAICIID's assistance and the role it plays in bringing about institutional change through IRD/ICD.

B.   Managing an Evaluation

This brief overview of the tasks involved in managing an evaluation touches on data collection and analysis, backstopping and feedback, reporting and follow-up. Such responsibilities belong to the KAICIID programme staff—usually the Programme Manager, outcome group or evaluation focal team. Detailed guidance for outcome evaluators can be sought from the Monitoring and Evaluation Adviser.

I.   COLLECTING AND ANALYZING DATA

Most of the primary data collection and analysis for an outcome evaluation is the responsibility of the programme manager with support from the EFT, which decides the method(s) to use in the collection and analysis of information. Both **qualitative and quantitative methods** are used. The methods respond to different objectives and use different instruments and methodologies yet are highly complementary. Preparing for an evaluation normally requires a combination of both types of methods.

Qualitative methods can be used to inform the questions posed by the evaluators through interviews and surveys, as well as to analyze the social, economic and political context within which the Centre's interventions take place.

Quantitative methods can be used to inform the qualitative data collection strategies by, for example, applying statistical analysis to control for socio-economic conditions of different study areas. See examples of both approaches in Table 4.

TABLE 4. EXAMPLES OF A MIXTURE OF APPROACHES IN AN OUTCOME EVALUATION		
OUTCOME	**QUANTITATIVE ANALYSIS**	**QUALITATIVE ANALYSIS**
Improvement of legislative capacity for peacebuilding	Data on the number of laws passed by the parliament—when, on what subjects and whether they were sponsored by the government with active support from religious leaders and institutions.	Analysis of how many of those laws were technically complex and/or addressed significant peacebuilding priorities; how many were technically proficient (were well written and constitutional); and how participatory and transparent the process was from the perspectives of religious leaders and institutions.
Increased transparency in the public sector to overcome corruption	Data on the number of corruption cases prioritized/presented by religious leaders and institutions for adjudication and the number to reach a final decision.	Analysis of how the process was carried out and how citizens perceived it and the role of religious leaders and institutions.

II.   BACKSTOPPING AND FEEDBACK

The programme manager and/or the EFT is responsible for liaising with partners, backstopping and providing technical feedback to the evaluation team. The EFT or other staff should be in constant liaison with the evaluation team. These well-informed staff members push the evaluation team to justify its conclusions and back them up with evidence, and help deepen and clarify the evaluation team's discussions.

The EFT is the main group with which the evaluation team interacts. It answers questions, facilitates interactions and provides information. The EFT also provides feedback on the draft report and organizes a stakeholder and partner meeting to discuss the evaluation team's findings.

III.   REPORTING

The seeds for the conclusions and recommendations of the evaluation report are found in the evaluation's terms of reference (TOR). The TOR for an outcome evaluation, for example, will include the outcome to be studied and why it was selected, the scope of the mission, and the strategy for collecting and analyzing data. The outcome evaluation report also would be expected to include these elements. The evaluation team is bound by the TOR to ensure that the selected issues are adequately addressed in the report, although some flexibility will allow the team to add issues that it feels are particularly pertinent. Generally, the team leader drafts a table of contents at the earliest stage of the evaluation, based on KAICIID's requirements, the TOR and discussions with interested parties and partners.

The draft table of contents serves as a convenient framework around which to organize information as the work proceeds. The table of contents helps focus the fieldwork that is required to collect missing information, verify information and draw and discuss conclusions and recommendations.

Once the first draft of the evaluation report is submitted, the EFT or relevant KAICIID staff (e.g. focal point for the evaluation, programme staff and/or senior management), should analyze and provide comments. After comments are incorporated, the final draft version should be circulated among partners to obtain their valuable feedback. The evaluation team leader is responsible for incorporating comments into the final version of the report, and then for submitting it to the senior management of the Centre. Depending upon the complexity of the evaluation findings, the Centre should consider organizing a half-day stakeholders meeting at which to make a presentation to the partners and stakeholders. This helps ensure that there is a common understanding of the evaluation findings and facilitates feedback on the draft report.

IV.   FOLLOWING UP

The evaluation process does not end with the submission and acceptance of the evaluation report. Rather, the findings, conclusions, recommendations and lessons learned need to be internalized and acted upon. Therefore, the final step in managing and conducting any evaluation is to follow up on the evaluation report and implementation of change. This step is closely linked to the knowledge and learning processes, which are discussed in more detail in Chapter 7.

C.   Joint Evaluations

Joint evaluations may be conducted within the context of any kind of evaluation and in partnership between KAICIID and the governments within the Council of Parties or other partners. Joint evaluations will be covered in more depth in a companion series to this Guideline. In general, however, the suggested steps in planning and conducting a joint evaluation (whether an outcome evaluation or a project evaluation) are as follows:

1. **Agree on the scope**: The scope should be defined jointly by the organizers of the evaluation within the Centre with substantive support from the M&E Adviser. Priority areas of concern as well as mutual interests—which are not necessarily the same—should be clearly identified. Practical issues that should be clarified include the focus of the evaluation (a project or an outcome), the issues to be covered and the time frame of the exercise.

2. **Divide the labour:** The senior management of KAICIID should agree on a decision-making arrangement among the actors and determine how the labor will be divided among them. This involves determining who will take the lead role in each of the subsequent steps in the evaluation; in other words, appointing Task Managers. One partner, for example, might be tasked with taking the lead in drafting the TOR, another in recruiting the team and another in making the logistical arrangements for the mission. Field visits may entail various parties gathering data in different locales simultaneously.

   Different institutions take different approaches to evaluation, requiring the ability to adapt and to allow for some additional time to accomodate delays due to such differences. Even within the same country, different donors may have different administrative, political, financial and methodological practices, which may delay the process. Be clear on respective responsibilities

during the field visit(s), and be attentive to detail. Specify, for example, who is responsible for funding the transportation of the experts from one site to another? Who will keep track of the "individuals met" list so that there is a well-documented account at the conclusion of the exercise? Who will collect the documents during the field visit and how will those documents be distributed to the other experts during subsequent analysis?

3. **Select the funding modality:** A number of funding modalities are available for joint evaluations. KAICIID prefers that the partner(s) contribute financial support for the evaluation into a pool of funds (akin to a trust fund) that is administered by KAICIID and that covers all costs related to the exercise. A second option is for the partner(s) to finance certain components of the evaluation while KAICIID covers others (akin to parallel financing). While this is sometimes necessary due to the financial rules of partners, it does require additional time and administrative processing.

4. **Draft the terms of reference:** In general, it is more efficient and effective for all of the partners in a joint evaluation to discuss and agree upon the scope of the evaluation—and then for one party take the lead in drafting the terms of reference. After a draft is produced, it should be discussed and agreed upon by the partner institutions. The optimal type of TOR is one that satisfies the interests of all parties concerned. This is not always possible, however, given the range of motivations for undertaking an evaluation, such as identifying lessons learned, establishing an empirical basis for substantive reorientation or funding revision, satisfying political constituencies or fulfilling institutional requirements that are particular to large projects. Consideration should be given to creating a common agenda reflecting priorities that balance ownership with what is feasible.

5. **Select the experts:** There are several ways to approach the selection of experts for a joint evaluation. One option is to task one of the partners with recruiting the evaluation team, in consultation with the other partners. Another option is for each of the partners to contribute its own experts. In some cases, the approach taken to the selection of experts may need to correspond to the funding modality used. For example, if parallel financing is used, each partner might need to bring its own expert to the team. In cases where each party brings its own evaluators to the team, evaluators may have difficulty in reporting to one actor while serving as a member of a joint team. To resolve this issue, the evaluation managers from all of the institutions involved should make clear to evaluators that the independence of the team will be respected and expected.

   At least one face-to-face planning session with all of the experts involved should be held prior to the field visit(s). In other words, do not combine initial introductions among the experts with a data gathering exercise. In some cases, the experts should meet with respective stakeholders in order to gain an overview of the project or outcome context before conducting field visits. This is true especially in situations in which experts are selected by both KAICIID and the counterpart(s).

6. **Conduct the evaluation:** Experts recruited separately by KAICIID and the counterpart(s) should undertake field missions together, to the extent possible. For example, a group of two evaluators—one selected by KAICIID and one by a partner organization —may pair off to optimize their time in a given country or institution. Also, the participation on the evaluation team of a representative of KAICIID and/or the counterpart(s) may enhance the opportunity for capacity development among KAICIID staff. This may be useful particularly during the fact-finding phase, on a purely observer basis, but it is likely to be a sensitive arrangement that requires careful communication with all parties to the evaluation.

7. **Prepare the report:** Only the evaluation team should be involved in analyzing the findings and drafting the joint evaluation report. This does not necessarily mean that everyone on the team will agree on how the findings and recommendations should be portrayed, especially when the

evaluation team is composed of representatives from different institutions. Drafting the report may therefore entail some process of negotiation among the team members. After a draft is produced, the report should be shared with KAICIID and the partner institution(s) for comments. The report can then follow normal vetting and finalization procedures.

8. **Follow-up and implement recommendations:** The findings and recommendations of all evaluations must be followed up. In joint evaluations, however, this can be particularly challenging, given that the internalization of the findings and implementation of the recommendations need to be done at the level of individual institutions and at the level of the partnership between them. Partners therefore need to agree on what to do individually and collectively, and decide upon a follow-up mechanism that monitors the status of the changes being implemented.

PART III. MONITORING AND EVALUATING PERFORMANCE

Chapter 6. Performance Measurement

This chapter covers methods used in performance measurement. It introduces the use of indicators, including use of baseline data, setting targets, data collection systems and quantitative and qualitative analysis. The chapter should help users to apply indicators in ways that enhance the ability to judge progress towards results and performance when monitoring and evaluating KAICIID-supported assistance. However, indicators of performance for individual staff members for corporate planning within KAICIID are outside the scope of this Guideline.

This chapter covers:

A.   **Programme performance measurement**

    i.   **Key steps in selecting indicators**
    ii.   **Indicator planning**

B.   **Using indicators**
    i.   **Involving stakeholders**
    ii.   **Using indicators for monitoring**

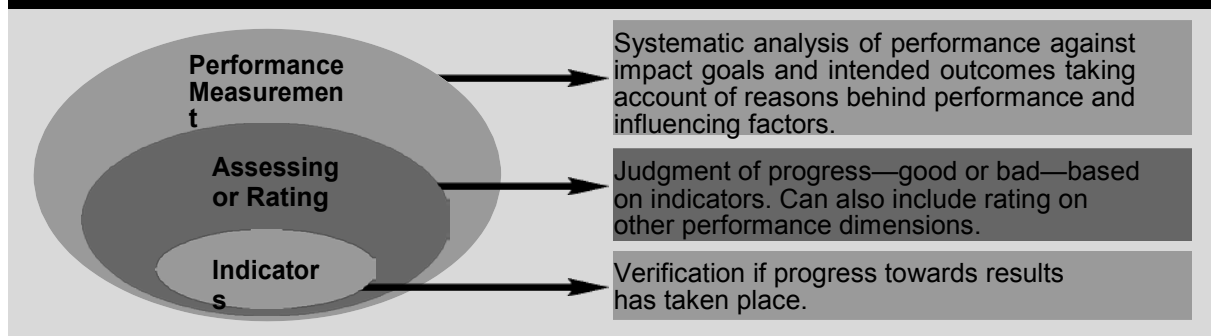## A.   Programme Performance Measurement

Indicators are part of performance measurement but they are not the only part. To assess performance, it is necessary to know about more than actual achievements. Also required is information about how they were achieved, factors that influenced this positively or negatively, whether the achievements were exceptionally good or bad, who was mainly responsible and so on.

Traditionally, it has been easier to measure financial or administrative performance, such as efficiency. Results-based management today lays the basis for substantive accountability and performance assessment or effectiveness. The QPR, outcome and project level evaluations and the Annual Report provide the means to assess performance of KAICIID interventions. Figure 1 illustrates the linkages between performance measurement, rating and indicators as elements of programme performance assessment.

I.   KEY STEPS IN SELECTING INDICATORS

Much of the following information is particularly relevant to the Programme Director and the Programme Managers, who tend to be more focused on output level indicators for which baselines, targets and information gathering are fairly clear-cut. However, under RBM they are also expected to increasingly focus their attention towards more complex indicators with corresponding baselines, targets and information gathering that reflect progress towards outcomes. Some key steps for KAICIID managers in working with indicators are outlined below.

FIGURE 1. DIMENSIONS OF PROGRAMME PERFORMANCE ASSESSMENT

FIGURE 1. DIMENSIONS OF PROGRAMME PERFORMANCE ASSESSMENT

Performance Measurement → Systematic analysis of performance against impact goals and intended outcomes taking account of reasons behind performance and influencing factors.

Assessing or Rating → Judgment of progress—good or bad—based on indicators. Can also include rating on other performance dimensions.

Indicators → Verification if progress towards results has taken place.

Set baseline data and target: An outcome indicator has two components: a baseline and a target. The **baseline** is the situation before a programme or activity begins; it is the starting point for results monitoring. The **target** is what the situation is expected to be at the end of a programme or activity. (Output indicators rarely require a baseline since outputs are being newly produced and the baseline is that they do not exist.). Without a baseline, an indicator, however good, is quite meaningless.

■	If wider access to IRD capacity is the intended result, for example, the number and type of organsiations providing IRD skills with reference to a given community or context may provide a good indicator. Monitoring of results may start with a baseline of 5 percent access to such capacity in 2018 and a target of 80 percent access in 2022.

Between the baseline and the target there may be several **milestones** that correspond to expected performance at periodic intervals.

Baseline data provides information that can be used when designing and implementing interventions. It also provides an important set of data against which success (or at least change) can be compared, thereby making it possible to measure progress towards a result. The verification of results depends upon having an idea of change over time. It requires a clear understanding of the development problem to be addressed—before beginning any intervention. A thorough analysis of the key factors influencing a given peacebuilding context complements the development of baseline data and target setting.

What to do when no baseline is identified? A baseline may exist even when none was specified at the time a programme or project was formulated. In many cases, it may be possible to find estimates of approximately where the baseline was when the programme started through the programme formulation process or annual review exercises and national and international institutional sources.

■	For example, implementation for the setting up of an IRD platform in country x has begun but no baseline data can be found. It still may be possible to obtain a measure of change over time. Ask different categories of people in the area or community concerned: "Compared to three years ago do you now feel more or less involved in local decision-making?" A clear tendency among respondents either towards "more" or towards "less" provides an indication of whether or not change has occurred. However, baselines need not always be based on primary research; they can be based on secondary data published by partner organisations.

Sometimes it is not possible to ascertain any sense of change. In this case, establish a measure of the current situation so that an assessment of change may take place in the future. Refer to the programme/project document for more information about context and issues to be resolved.

Use proxy indicators when necessary: Cost, complexity and/or the timeliness of data collection may prevent a result from being measured directly. In this case, proxy indicators may reveal performance

trends and make programme managers aware of potential problems or areas of success. This is often the case for outcomes in policy dialogue and other governance related results that are difficult to measure.

- ■ For example, the outcome "fair and efficient administration of justice" is often measured by surveying public confidence in the justice system. Although high public confidence does not prove that the system actually is fair, there is very likely a correlation. In another example, in an intervention aimed at promoting peace by giving "voice" to religious leaders, the inclusion of the relevant religious leaders in the review of local or national policies may serve as a proxy indicator of that improvement.

Use disaggregated data: Good indicators are based on basic disaggregated data specifying location, gender, income level and social group. This is also necessary for good programme/project management. Such information, sometimes in the form of estimates, may be drawn from governmental and non-governmental administrative reports and surveys. Regular quality assessments using qualitative and participatory approaches may be used to corroborate, clarify and improve the quality of data from such administrative sources.

- ■ For the outcome "Improved understanding of, and capacity to engage in, IRD/ICD among international organizations working for peace and reconciliation", for example, the indicator "proportion of budget allocated for IRD/ICD work" may demonstrate an increased overall distribution of resources towards IRD/ICD among such organisations.

Involve stakeholders: Participation should be encouraged in the selection of both output and outcome indicators. Participation tends to promote ownership of, and responsibility for, the planned results and agreement on their achievement. A preliminary list of output indicators should be selected at the project formulation stage, with the direct involvement of the institution designated to manage the project and with other stakeholders. As much as possible partners should be involved in the selection of outcome indicators through the programme formulation processes. It is important that partners agree on which indicators to use for monitoring and on respective responsibilities for data collection and analysis. This establishes a foundation for any future changes in the implementation strategy should the indicators show that progress is not on track.

Distinguish between quantitative and qualitative indicators: Both quantitative and qualitative indicators should be selected based on the nature of the particular aspects of the intended result. Efficiency lends itself easily to quantitative indicators, for example. Measuring dynamic sustainability of peacebuilding initiatives, in contrast, necessitates qualitative assessment of attitudes and behaviours because they involve people's adaptability to a changing environment. Methodologies such as beneficiary assessment, focus group discussion, and structured interviews may be used to convert qualitative indicators into quantitative indicators.

Try to limit the number of indicators: Too many indicators usually prove to be counter- productive. From the available information, develop a few credible and well-analyzed indicators that substantively capture positive changes in the development situation. The programme needs to select from among a variety of indicators since several projects may contribute to one strategic outcome. Be selective by striking a good balance between what should be and what can be measured. Narrow the list using the SMART principles and additional criteria to sharpen indicators. See Table 1 for a range of criteria for selecting indicators.

Ensure timeliness: The usefulness of an indicator depends on timeliness and clear actions so that an indicator target date corresponds to the expected progress of the assistance. If changes take place, such as the modification of outputs or outcomes, new sets of indicators would need to be established to reflect the actual targets.

II.   INDICATOR PLANNING

A critical test of an indicator is its practicality in monitoring results—that is, how easy it is to obtain and analyze data for the indicator. Obtaining "valid" and "representative" data can become a large, complex and costly undertaking. Asking everybody's opinion through a survey is rarely possible, for example, and it would be easier to obtain a smaller but representative sample of respondents. Indicators should therefore be as simple and few as possible, while demonstrating some measure of progress or magnitude of change. **It will be difficult to understand or analyze the indicators if they are too complex**.

TABLE 1. HOW TO SELECT INDICATORS									
INTENDED RESULTS	**PERFORMANCE INDICATORS**	**CLASSIFICATION OF INDICATORS**						**TOTAL SCORE**	**SELECTED**
		A	B	C	D	E	F		
Impact	If any -								
Outcome 1	Indicator 1 Indicator 2…	[Rate 1 per satisfied criteria]							
Output 1	Indicator 1 Indicator 2…								

Select the 2 to 3 indicators with best score

A = the meaning of the indicator is clear
B = data are easily available

C = the effort to collect the data is within the power of the project management and does not require experts for analysis

D = the indicator is sufficiently representative for the total of the intended results (outcome or output)

E = the indicator is tangible and can be observed

F = the indicator is difficult to qualify but so important that it should be considered (proxy indicator)

Responsibility for data collection and analysis belongs primarily to the programme manager, who consults when necessary with the senior management and the project management. For outcomes, the programme manager's responsibilities are:

■   To ensure that baseline or situational data for outcomes is available at the programme
         formulation stage. This will allow time-series data to be compared with the baseline data to

assess progress in achieving the desired outcomes. If necessary, use existing and/or secondary data sources from partner organisations. Ideally, the majority of outcomes should be identified at the Strategic Plan and/or Programme Strategy formulation stage. Some, however, may assume a slightly different formulation in specific programmes and projects. Some outcomes may also feature slightly different and/or additional indicators based on new information. The priority is to ensure that adequate baseline or situational data is available at the time the outcome and the indicators are selected, regardless of their specificities.

■ To ensure that data collection and analysis is planned for the outcome. A sample table to aid planning is illustrated in Table 2. Rely on existing national and international sources rather than collection by the Centre or the programme/project, to the extent possible. For the outcome "responsiveness of national policies to peacebuilding issues", for example, the indicator "government policy statements and plans include targets from the improvement in the status of minority religious groups" is certainly measurable. However, someone would have to collect all the plans and then go through them to see if targets are set. This would have to be planned in advance.

■ To ensure that efforts are made to obtain information from all relevant stakeholders on outcomes. This might be accomplished through surveys, structured and semi-structured interviews, focus group discussion and general consultations with members of the community and stakeholders directly linked to the outcome.

For **outputs,** the programme manager's responsibilities are:

■ To ensure that data is collected through the projects themselves and that the project management is aware of its responsibilities. Data should also be collected from various administrative sources, including international and national systems.

An **outcome monitoring plan** drawn up by the programme management helps to ensure that the programme continuously collects information on the outcome and periodically analyzes it to chart progress, as discussed in Chapter 3. An outcome monitoring plan should include information on the outcome indicators so that (a) indicators are not selected unless data is likely to be available and (b) data will be available for the indicators that are selected.

It is recommended that an outcome monitoring plan identifies the following:

■ Outcome to which the indicators apply;

■ Outcome indicator(s);

■ Data source(s);

■ Method and frequency of collection and analysis.

The plan may also identify who will be responsible for data collection and analysis and who will use the resulting information. Table 2 provides a sample format that suggests how indicators might fit into an outcome monitoring plan.

TABLE 2. HOW INDICATORS MIGHT FIT INTO AN OUTCOME MONITORING PLAN16						
OUTCOME	OUTCOME INDICATOR(S)	DATA SOURCE(S)	METHOD OF DATA COLLECTION/ ANALYSIS	FREQUENCY OF DATA COLLECTION/ ANALYSIS	WHO IS RESPONSIBLE	WHO WILL USE THE INFORMATION

Key generic principles and issues to be addressed when programme managers plan data collection and analysis using indicators are listed in Box 1. Simpler indicators, as noted above, are easier to understand and analyze.

When planning data collection and analysis using indicators, programme managers may realize that data are not immediately available. In such cases, they should plan to collect data through alternative instruments and/or approaches, such as:

BOX 1. KEY PRINCIPLES FOR DATA COLLECTION AND ANALYSIS USING INDICATORS

Rationale

Build a conceptual framework into which ideas can be placed, giving definition, orientation and direction to available information and to your own ideas about the programme/project. This means a credible chain of results in terms of outcome, outputs and partnerships.

Statement of purpose or problem

What is it that you plan to investigate? Define problems and issues, look for signals that have clear meaning, establish agreements with beneficiaries and partners. This involves the definition of the precise peacebuilding issue at the strategic level.

Questions to be answered

When the data collection is finished, what are the major questions to which reasonable answers can be expected? What evidence can be used to verify the level of achievement of the indicator?

Statement of outcome

Spell out the particular outcome you will monitor, set targets that are realistic and keep in mind data sources and monitoring responsibilities.

Design and procedure

State who will be the subjects of your interviews, surveys and focus group discussions and describe how respondents will be selected. Explain the conditions under which the data will be collected, what measuring instruments or data-gathering instruments will be used, and how the data will be analyzed and interpreted. Look for data that is easily available and avoid major data collection.

Assumptions

What assumptions have you made about the nature of the issues you are investigating, about your methods and measurements, or about the relations of the investigation to other relevant issues or situations?

Limitations

What limitations exist in your methods or approach to internal and external validity?

Delimitations

On what basis have you narrowed the scope of data collection and analysis? Did you focus only on the selected aspects of the problems or outcome, certain areas of interest or a limited range of subjects?

Definition of terms

List and define the principal terms you will use, particularly where terms have different meanings to different people. Emphasis should be placed on operational and/or behavioural definitions.

- ■ Awareness/attitude surveys and questionnaires;
- ■ Expert panels;
- ■ Key informant interviews;
- ■ Focus groups;
- ■ Mapping techniques.

Attitude surveys allow for some quantification of qualitative change. For example, the proportion of people who perceive of local government management as sufficiently "participatory" for minority religious groups has gone up from 40 percent to 65 percent over a certain period of time. This statistic provides some measure of the degree of qualitative change.

B. Using Indicators

I. INVOLVING STAKEHOLDERS

The programme manager in direct consultation with the M&E Adviser and the Centre's senior management—should establish mechanisms for sharing information generated from indicators with primary stakeholders. This is particularly true for outcome indicators. This ensures that the analysis of progress is locally relevant using local knowledge, while fostering "ownership" and building group decision-making skills. It is worth noting, however, that stakeholder or partner participation in the analysis of the indicator data may significantly alter the interpretation of that data.

Participatory observation and in-depth participatory reviews with implementation partners and beneficiaries are integral to verification of results—which is a reliable form of assessment. More "top down" and less participatory approaches to assessment may be used to achieve analytical rigor, independence, technical quality, uniformity and comparability. Ultimately, of course, the information gained through the analysis of indicators feeds into evaluations. This data helps assess progress towards outputs and outcomes, and includes a measure of stakeholder satisfaction with results.

II. USING INDICATORS FOR MONITORING

Results-oriented monitoring of development performance involves looking at results at the level of outputs, outcomes and, eventually, impact. Table 3 shows how indicators are used for each type of result and who is the primary (and not necessarily the only) user of the indicator.

| TABLE 3. INDICATORS AND THE MONITORING OF RESULTS			
TYPE OF RESULT	**WHAT IS MEASURED**	**INDICATORS**	**PRIMARY LEVEL OF USE**
Output	Effort, or goods and services generated by projects and programmes	Implementation of activities	Project Management
Outcome	Effectiveness, or results in terms of access,usage and stakeholder satisfaction from goods and services generated by projects, programmes, partners and soft assistance	Use of outputs and sustained production of benefits	Programme Management
Impact	Effectiveness, or results in terms of the combined effect of a combination of out-come activities that improve development conditions at a national level	Use of outcomes and sustained positive development change	Senior CO Management

Indicators are used periodically to validate partners' perceptions of progress and achievement, to keep projects and programmes on track and to provide early warning signals of problems in progress. Indicators only **indicate**; they do not **explain**. Any interpretation of indicators is done through qualitative analysis. As indicated in Figure 2, qualitative analysis is needed to interpret what the indicators say about progress towards results.

For output indicators, the programme manager uses day-to-day monitoring to verify progress, as well as field visits and reports and/or information received from the project management. The QPR is sufficiently frequent to allow early action in case there are delays or problems in the production of outputs.

For outcome indicators, annual monitoring is more appropriate and is accomplished through input from the outcome group, discussions at the partnership strategy level and the Annual Review. Since outcomes are less tangible than outputs, indicators are indispensable for an informed analysis of progress.

For impact indicators (also called situational indicators), discussion may take place annually if information is available but is often done less frequently. Discussions may be scheduled on the occasion of the new Strategic Plan preparation, and towards the end of the current Strategic Plan period.

FIGURE 2. PROGRESS TOWARDS RESULTS
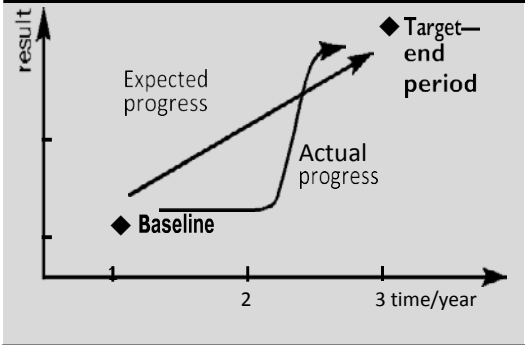
Note: Progress is rarely linear. In this example, if one were to look at the indicator at the beginning of year 2, it would reveal that no progress has been made against expectations. Later, if one were to look at the indicator again at the end of year 2, it would reveal substantial progress even beyond expectations. Analysis is required to explain why progress was slow for the first year but picked up dramatically during Year 2.

PART IV. USE OF MONITORING AND EVALUATION INFORMATION

Chapter 7. Knowledge and Learning: Use of Evaluative Evidence

Knowledge and Learning: Use of Evaluative Evidence

The chapter is intended to help users effectively apply monitoring and evaluation information for improvements in performance, decision-making and learning. It addresses the use of evaluative evidence and monitoring and evaluation information. It describes how to ensure effective feedback on monitoring and evaluation results, touches on evaluative evidence and discusses lessons learned.

A.   Introduction

B.   Knowledge and learning from experience
  i.   Definitions
  ii.   RBM and knowledge management

C.   Feedback from monitoring and evaluation
  i.   The feedback process
  ii.   Information tools and methods
  iii.   Applying the recommendations from feedback
  iv.   Publication of evaluative evidence and feedback material

A.   Introduction

Knowledge gained through monitoring and evaluation is at the core of KAICIID's organizational learning process. Monitoring and evaluation provide information and facts that, when accepted and internalized, become knowledge that promotes learning. Learning must therefore be incorporated into the overall programming cycle through an effective feedback system. Information must be disseminated and available to potential users in order to become applied knowledge.

KAICIID uses and applies learning from monitoring and evaluation to improve the overall performance and quality of results of ongoing and future programmes and strategies. Learning is particularly significant for KAICIID support to the policy reform process around IRD/ICD, which is often sensitive and contains uncertainties. To ensure the relevance of learning, evaluative evidence should demonstrate "real time" capability. An immediate advantage is that conclusions can be field-checked with respondents within weeks, providing important opportunities for eliminating erroneous interpretations, increasing respondents' sense of ownership of their distilled experiences and providing evaluative results to interested stakeholders when it is likely to be most useful. Giving real-time results to stakeholders means getting it right from the start. The publication of outdated results or irrelevant recommendations should decrease once dissemination of real-time information becomes normal practice.

Learning complements performance measurement by lending a qualitative edge to assessments. Even when the indicators associated with results are not good or clear, it is possible to learn from the process and to use this knowledge to improve it. Learning is also a key tool for management and, as such, the strategy for the application of evaluative knowledge is an important means of advancing towards outcomes. Outcomes are a more ambitious and complex endeavor than the simple supply of inputs and production of outputs. This is why a premium is now being placed on KAICIID's ability to learn what works—in terms of outcome relevance, partnership strategy, output design and indicators—and feed this back into ongoing and future outcome assistance. Outcomes present more variables around which learning can and must take place.

Evaluations should be seen not as an event but as part of an exercise whereby different stakeholders are able to participate in the continuous process of generating and applying evaluative knowledge. Managers must decide who participates in this process and to what extent they will be involved (informed, consulted, actively involved, equal partners or as the key decision-makers). These are strategic decisions for managers that have a direct bearing on the learning and the ownership of results. In line with the KAICIID Monitoring and Evaluation Policy Framework, this Guideline is intended to support knowledge generation, promote learning and guide action. Taken together, they are an important means of capacity development and sustainability of results.

Monitoring and evaluation contribute to the organizational and global body of knowledge about what works, what does not work and why. They also indicate under what conditions in different focus areas lessons learned should be shared at a global level, through communities of practice or monitoring and evaluation groups, for example. This requires that programme staff record and share the lessons they have acquired with others, following such actions as listed in Box 1. Learning also requires that managers are open to change and fully understand the need for change.

With the focus on outcomes, the learning that occurs through monitoring and evaluation has great potential for application at the organizational level and for policy and operational purposes. Lessons learned for an outcome that is pursued by the Centre are more likely to be replicable beyond that particular programme than would be more context-specific, project-related lessons. Outcome evaluations may help bring together development partners. In this way, learning from evaluative knowledge becomes wider than simply organizational learning and also encompasses IRD/ICD and development learning. It helps to test systematically the validity, relevance and progress of the intervention hypotheses. To maximize learning, the Centre should plan and organize evaluations to ensure that they cover the most crucial outcomes, that they are timely and that they generate sufficient information on lessons learned.

Effective monitoring can detect early signs of potential problem areas and success areas. Programme managers must act on the findings, applying the lessons learned to modify the programme or project. This learning by doing serves the immediate needs of the programme or project, and it also may provide feedback for future programming.

BOX 1. CHECKLIST FOR LEARNING

- **Record and share lessons learned**
- **Keep an open mind**
- **Plan evaluations strategically**
- **Involve stakeholders strategically**
- **Provide real-time information**
- **Link knowledge to users**
- **Apply what has been learned**
- **Monitor how new knowledge is applied**

B. Knowledge and Learning from Experience

I. DEFINITIONS

KAICIID needs to use information and evaluative evidence effectively in order to manage IRD/ICD processes and to achieve results. Success is based on the premise that development practitioners learn from what worked—and did not work—in order to ensure better progress towards results and better results. Learning has been described as a continuous, dynamic process of investigation where the key elements are experience, knowledge, access and relevance. It requires a culture of inquiry and investigation, rather than one of response and reporting. This is more easily accomplished when people are given the chance to observe, engage in, and invent or discover strategies for dealing with particular types of problems or issues.

Knowledge is content- and context-specific information capable of bringing change or more effective actions at a wider level that can contribute to new learning and knowledge. The management of knowledge involves creating, sharing and leveraging knowledge that not only requires establishing systems and processes to gather, organize, package and disseminate information on time to the right decision makers, but also conducting assessments of the processes. Information gained from the processes may be described as feedback.

Evaluative evidence helps us to use information generated from experience to influence the way in which appropriate policies and programmes are developed, or the way in which programmes are managed. Evaluative evidence refers to information or data indicating qualitative and quantitative values of development processes, outcomes and impact, derived from multiple sources of information and compiled in an evaluation exercise. Evaluative evidence is based on:

- ■ The explanation of causal links in interventions and their effect;
- ■ Analysis from close-up, detailed observation of the development context by the investigator(s), which is part of empirical evidence;
- ■ Analysis from research and review and other documents (secondary sources) relevant to the IRD/ICD and development contexts;
- ■ The attempt to avoid any preconceptions in the assessment.

Evaluative evidence does not, however, always include direct, detailed observations as a source of evidence. Good evaluations are empirically based. Empirical evidence is verifiable information based on observation or experience rather than conjecture, theory or logic. Empirical evidence is designed to reflect:

- ■ Validity of conceptual ideas or issues;
- ■ Consistency in trends or patterns;
- ■ Factors contributing to actual outcome(s) and impacts.

II. RBM AND KNOWLEDGE MANAGEMENT

While monitoring helps to provide initial lessons specific to the outcome, programme or project, evaluation is aimed at extracting lessons from experience in such a way that both generic and specific issues are identified and alternative solutions are developed. Implicit in RBM is continuous planning/ implementation/monitoring/evaluation for managing results and learning from experience. This requires more interaction among stakeholders and institutions around results. It also requires the use of

communication and reporting mechanisms to reflect learning and facilitate the flow of knowledge, information and resources.

KAICIID's knowledge management strategy points towards a number of emerging principles to enhance learning, as noted in Box 2.18 These principles imply the optimal use of monitoring and evaluation tools to establish reference points that help management to achieve effectiveness at two levels. One level is that of development effectiveness, which encompasses the results (outputs, outcomes and impact) of assistance. The other level is that of organizational effectiveness, which refers to the organizational standards of performance.

C. Knowledge and Learning from Experience

The major challenge in monitoring is to gather, store and use information that serves different levels of assessment. Monitoring should be multifunctional so that information generated at one level is useful at the next. Monitoring should also go beyond checking whether events are taking place as planned. The quality of the two-way flow of information at the country level between the project staff and the programme staff must be regularly investigated. The

BOX 2. KEY PRINCIPLES OF LEARNING
■ Help others actively interpret—rather than record—information so they can construct new knowledge for themselves;
■ Use timely, effective and innovative information management strategies;
■ Derive performance standards and learning from the various units/constituencies/ communities of practice with which KAICIID works to make KAICIID assessments more participatory, contextually determined and independent;
■ Situate abstract tasks in authentic contexts so that the relevance of the task is apparent and others can embed new knowledge;
■ Extend to others the opportunity to work at problem solving by actively sharing skills and expertise with one another; i.e."face- to-face" interaction without unnecessar y dependence on information technology;
■ Unbind knowledge from a single specific context in order to maximize knowledge transfer;
■ Enable others to recognize and respect what they already know as well as the knowledge that exists within their community;
■ Provide others with many examples of a new concept as well as an understanding of how essential features of the concept are reflected in a range of settings;
■ Strengthen own and others' ability to judge when new knowledge should be used.

same is true for the flow of information within the Centre among programme staff engaged in managing different programmes and monitoring the outputs produced by projects and their effect on outcomes. This can be achieved through periodic interviews using the outcome groups, review of annual and other programme and project reports, and independent observation of events. The monitoring process should be committed to improving the lateral linkages among programme and project staff, including feedback processes, for learning purposes. Analysis of the existing or possible linkages across programmes and projects should be as critical, objective and exhaustive as possible. Managers, including at the senior level, must be involved in the entire monitoring process.

Evaluation is a process-oriented exercise that requires establishing common baseline data for making comparisons. The problem is knowing from the outset every factor that is relevant and how all factors affect each other. Before any evaluation, take the following steps:

■　　　　**Agree on the priority issues demanding information**. Secure agreement on those issues that most urgently require information to make the most of the resources available for information management, which tend to be limited and complex. A high degree of consultation is required during the agreement process since stakeholders may have widely differing views on priorities. A draft list of priority issues could be prepared and distributed to stakeholders for comment. Alternatively, a workshop or other discussion forum could be held specifically to reach

consensus. Reconciling different viewpoints by negotiating a consensus on priority issues can help build ties between stakeholders and facilitate cooperation.

■ **Determine the information needs of decision-making groups**. The key to effective use of information is to focus only on essential information. Ask decision makers to articulate their needs directly before embarking on a review of databases and different sources of information. A thorough assessment of information needs is a critical initial step.

One of the most efficient ways of arriving at transferable information (lessons) is through outcome evaluations, the sharing of which can facilitate learning across different programmes, countries or geographical locations.

Focusing on outcomes means that KAICIID deals with partners—government and inter-governmental agencies,

bilateral donors, non-governmental organizations, religious institutions and networks — whose activities, like KAICIID's, depend for their success upon the performance of other agencies under separate control. These agencies often accumulate a large stock of qualitative information that might change how development results are viewed if it were fully taken into account. As partners, they may be engaged to assist and facilitate the monitoring and evaluation process but not to direct or prescribe what should be done. This involvement of partners is likely to foster greater exchanges for learning and knowledge building.

Without reliable and regular feedback, monitoring and evaluation cannot serve their purposes. In particular, emphasis must be given to drawing lessons that have the potential for broader application—lessons that are useful not only to a particular programme or project but also to broader development contexts. While learning depends on having systematically organized feedback (e.g., evaluation results, pilot studies, data for monitoring output and outcome indicators and indigenous and esoteric knowledge), the information that programmes must organize and manage to meet their own needs must respond to specific requirements that are complex and often transcend conventional sectoral divisions. In such cases, partners from government and research institutions might be consulted to analyze emerging monitoring and evaluation issues (e.g., methodologies for data collection, analysis, policy dialogues and advocacy) so as to identify gaps and duplication.

I. THE FEEDBACK PROCESS

The feedback process for programmes when undertaking monitoring and evaluation follows some basic steps:

1. Ensure a Focus on Results

■ Elaborate projects and programmes based on intended outcomes;
■ Establish what evidence is being sought, what variations can be anticipated, and what should be done if such variations occur (i.e., what would constitute supportive or contrary evidence for any given project or programme);
■ Define monitoring priorities oriented to outputs and outcomes and have reference points or standards against which judgments can be made about feedback;
■ Select knowledge and information indicators based on the Centre's priorities, use and user;
■ Be cost-effective in regards to the level of resources applied and identify key evaluation resource requirements in future programming;

- Incorporate a timescale covering future changes in programming;
- Agree on the system to collect and analyze data, and allocate responsibility and costs;
- Scan qualitative information to improve the application of certain monitoring and evaluation techniques such as field-checking of assumptions, better framing of questions or issues, and more astute choice of assessment areas;
- Monitor learning processes, including the use of feedback and knowledge products.

2. Ask Questions

- Constantly inquire, through feedback mechanisms, about why events appear to have happened or to be happening in projects and programmes;
- Identify the extent of the effect that projects or programmes are having as compared to other factors influencing a development situation;
- Specify where, when and how information will be interpreted, communicated and disseminated, including consultations as inputs to routine processes.

3. Share Knowledge

- Document, analyze and review comparative experiences in programme design, partnerships, monitoring and evaluation activities;
- Operate at different organizational levels (operational activities, strategic choices, corporate vision/priority) to support knowledge-management strategy;
- Share knowledge and learning with communities of practice, using KAICIID's global networks (e.g. Fellows);
- Determine knowledge and information sources, including the type of evaluative evidence they provide and the frequency of their availability.

4. Target Strategically

- Generate information that is appropriate for different users and timely in relation to decision-making and accountability requirements;
- Design, in consultation with users, appropriate formats and train staff to use them;
- Seek views of all key stakeholders, including programme beneficiaries.

5. Seek Empirical Evidence

- Cross-check and ensure quality of evaluative evidence to produce valid and relevant feedback.

The key steps in the monitoring and evaluation feedback process, as outlined in Box 3, should use the principles outlined above to "close the loop" of using feedback to make better decisions. Feedback should be action-oriented and designed in a way that it can help decision-making in programmes or projects as well as in evaluation. Lessons from evaluations must be available before and at the formulation stage of new projects, programmes and outcomes.

BOX 3. THE MONITORING AND EVALUATION FEEDBACK

- Extracting lessons from experience
- Transforming lessons into knowledge
- Providing access to feedback
- Assessing the relevance of feedback
- Using the feedback

In general, lessons from evaluations should be available when new outcomes are being formulated or projects or programmes identified, designed and appraised. At the same time, feedback on the success or failure of new or innovative types of assistance (e.g., policy advice, advocacy, capacity development) may be helpful in formulating new programmes, projects or outcomes.

In undertaking these steps, programme managers and partners should guard against the tendency to assess only activities, expenditures and outputs. For example, do not only look at internal management factors such as the costs and timing of inputs and outputs. Monitoring and evaluation have to provide information about results and identify possible unintended processes and their implications.

II.   INFORMATION TOOLS AND METHODS

As noted above, information from monitoring provides the basis for making decisions and taking action. As such, it supports immediate decision-making needs more than it contributes to long-term knowledge building. In contrast, information from evaluation exercises supports the learning function more than it assists in immediate decision-making. Evaluative feedback takes the form of lessons learned about what works or does not work under certain conditions.

For both monitoring and evaluation, information needs to be pursued from the perspective of how it will be used. It is important first to answer the following questions about how information is currently obtained, used and shared:

- What is the specific objective of information gathering, sharing and use?
- Who are the main decision-making/influencing groups who decide how information will be gathered, shared and used within the context of a project, programme or outcome?
- How do these groups currently gather, share and use information?
- Under what constraints do they work?
- Does a mechanism (or policy) exist in the project, programme or outcome within which decisions are being made about information?
- What information is needed to improve the project, programme or outcome?
- How, when and to whom should this information be delivered?

These questions should help identify what kind of feedback is needed to promote effective decisions about projects, programmes or outcomes on the part of both programme and senior staff. All monitoring and evaluation activities aim to ensure the relevance of information; to use information in a targeted, timely and efficient manner; and to tap the existing knowledge of key stakeholders. The application of certain monitoring and evaluation techniques can be greatly improved by qualitative information through, for example, field checking of assumptions, better framing of questions or issues and more astute choice of assessment areas.

A wealth of information is available within KAICIID and the larger international development community, containing lessons on the design, implementation, monitoring and evaluation of technical cooperation programmes and projects all over the world. Some of the most important sources for such information are *evaluation databases and search engines and national databases*; the latter tend to be wide-ranging and are usually divided sectorally by government and national research institutes. Use them, for example, to obtain information about outcomes, to find indicators and to learn lessons. In addition, there are the *global IRD/ICD networks* and communities of practice; the role of these *networks and communities of practice* is important in scope and effectiveness, providing a valuable source of information for monitoring and evaluation. They can be effectively used to:

- Promote dialogue between various stakeholders through meetings, workshops, correspondence, newsletters and other forms of exchange;
- Assess the capabilities and needs of stakeholders in terms of information, knowledge and specific expertise;

- Enable stakeholders to contribute to information and knowledge management (i.e. support prioritization of IRD/ICD issues, selection of consultants, development of knowledge products and adoption of standards for accessing new information, among other functions).

Global networks function as multi-stakeholder information systems, offering well-produced information generated by respected, wide-ranging groups or development practitioners, some of which are specifically focused on monitoring and evaluation processes. Some of these networks also provide support to decision- making. Communities of practice in particular, whether existing within global networks or independent of them, can be particularly useful if developed around outcomes. Communities of practice can be developed around outcomes to facilitate information exchange between the Centre's different programmes, as well as between countries and institutions and major stakeholders in order to share information that will help maximize progress towards intended outcomes.

KAICIID's Dialogue Knowledge Hub (DKH) is a virtual platform where the interested public, stakeholders, policy and religious communities can access electronic resources on IRD/ICD. The tools, such as interactive maps, e-learning products and online databases, are designed to promote, disseminate, educate, train support and network IRD/ICD stakeholders globally. As such, there is a need to systematically connect monitoring and evaluative information and knowledge with the DKH which offers many different entry points to both theoretical knowledge and practical information about real world implementation. The DKH remains largely driven by stakeholder participation.

Questionnaires: Questionnaires use a highly structured method of information/data collection for both monitoring and evaluation in which targeted respondents are requested to "fill in the blanks" on a form or to reveal specific information or opinions on narrow options. Their limited nature and tight formulations make questionnaires valuable data-gathering tools. They also are useful as a preliminary screening method to help determine which institutions or functions should be examined in more depth, perhaps through interviews.

III.   APPLYING THE RECOMMENDATIONS FROM FEEDBACK

Part of the feedback obtained through monitoring and evaluation will be in the form of recommendations for action. Different types of recommendations from monitoring and evaluation processes should be analyzed separately. This is accomplished by answering a number of questions about the type and consequences of recommendations. The questions address both substantive and implementation recommendations. Feasibilities and priorities based on the answers to these questions must then be set for the short, medium and long terms. The following list of questions concerns the type of recommendation (substantive or implementation) and its consequences.

Questions about the consequences of **substantive recommendations** from monitoring and evaluation:

- Who or what will be directly or indirectly affected by the recommendation(s) in terms of planned outputs and outcomes?
- How do the recommendations differ from previous ones?
- What are the key reasons and approaches used to substantiate the recommendation(s)?
- How do the recommendations compare with similar outcomes, projects, programmes or activities in other institutions or other countries?
- How do recommendations contribute to overall intended outputs and outcome(s)?
- Is there a "fit" between intended outcome(s) and actual outcome(s)?

- How do recommendations link with regional and global programme objectives?
- How does the Centre's senior management intend to respond to, and follow up on implementation of, the recommendations?

Questions about the consequences of **implementation recommendations** from monitoring and evaluation:

- What will be the positive or negative effects in terms of key target groups or stakeholders?
- What can be done to improve the positive effects and compensate for the negative effects?
- What actions are required and by whom?
- What is the time frame?
- Who has the authority to implement the action?
- What are the financial implications?
- What are the political implications?
- What human resources are needed?
- Are special approaches, including training, or new types of partnership required?
- What monitoring or follow-up is required?

Analysis of the above questions will help identify a number of concrete actions through which recommendations may be judged, improved and implemented. While some of these actions will be implemented in the short term, others—especially those requiring political decisions, affecting institutional structure(s) or requiring extensive financial resources—will only be implemented in the medium or long term.

A management response to the substantive and implementation issues raised is important for all monitoring and evaluation recommendations. For outcome and programme level evaluations in particular, the management response should identify what recommendations are accepted or not accepted and why, and how the accepted recommendations will be implemented and monitored.

Training sessions and workshops for KAICIID staff are also an effective means of disseminating feedback. These substantive lessons from experience are useful in various stages of programme or project management, including evaluation. Training should focus on such areas as how to improve the quality of KAICIID programmes and projects. Training also should develop skills in methodological innovations such as participatory evaluation, the selection of indicators, and use and presentation of information and knowledge in areas not traditionally captured, such as "soft" assistance.

IV.   PUBLICATION OF EVALUATIVE EVIDENCE AND FEEDBACK MATERIAL

Publication of evaluation results should follow a clear format in order to treat the evidence fairly, to produce compelling analytic conclusions and to rule out ambiguity. Information may be presented through various analytic techniques. The main point, however, is to make information from evaluations and monitoring user friendly, easily accessible and advantageous to the user. The characteristics of a good knowledge product, including a good publication, are listed in Box 6.

Keeping these characteristics in mind even before the start of actual analysis or the preparation of a publication will help organize the evidence in an orderly fashion. The assessments from evaluation should be documented and distributed to stakeholders for feedback. This will help identify information needs. A number of suggestions for improving evaluation feedback are listed in Box 5. Once a position

on information needs has been agreed, the products and services required to meet them can be designed.

The dissemination of evaluation results is as important as their publication. Only an efficient system of dissemination will ensure that the target recipients receive the evaluation feedback that is relevant to their specific needs.

Communicating all that has been learned poses a challenge. The underlying issue is how to capture lessons from experience that are **transferable;** that is, those lessons that have a broader application as compared to those that are relevant only to a single programme or project. This challenge can be addressed through the institutionalization of learning from monitoring and evaluation feedback. Institutionalization of the learning process can be achieved in part by better incorporating learning into

existing tools and processes, such as the project and programme document drafting, the QPR and the Annual Review process. Examples of how evaluative learning may be integrated within KAICIID as an institution are provided in Box 6.

BOX 6. INSTITUTIONALIZATION OF LEARNING

PROGRAMME/PROJECT DOCUMENT: Programme/Project documents should provide a reference (and hypertext links) to the findings of relevant reviews or evaluations in the situation analysis section. The Centre should ensure compliance with this requirement.

PROGRAMME/PROJECT DOCUMENT REVISIONS: When budget or other revisions are made to the project document, the lessons associated with the purpose of the budget change should also be stated.

QPR/ANNUAL REPORT: In its submission of the Annual Report, the Centre should consolidate and highlight issues from the narrative sections of the QPRs on key lessons learned on each outcome—including the section on strategic issues and agreed actions. One of the major sources of such lessons learned is an evidence based Annual Review leading to the Annual Report.

Conclusion

The monitoring and evaluation framework contained in this Guideline is not "cast in stone" but rather is expected to evolve and improve as colleagues gain experience with it. Some of the elements call for changes in mindset and behavior of staff, and therefore the organization should fully expect to continue to learn from the new framework over the next few years.

The framework presented in this Guideline represents innovative change in terms of simplification of results-based monitoring and evaluation methodologies. In particular, an attempt has been made to move from procedure-based and detail-oriented requirements for monitoring and evaluation to a system that allows for a more rigorous focus on results, learning and the actual application of knowledge gained from monitoring and evaluation.

Glossary

A

Accountability: Responsibility for the justification of expenditures, decisions or results of the discharge of authority and official duties, including duties delegated to a subordinate unit or individual. In regard to Programme and Project Managers, the responsibility to provide evidence to stakeholders that a programme or project is effective and conforms with planned results, legal and fiscal requirements. In organizations that promote learning, accountability may also be measured by the extent to which managers use monitoring and evaluation findings. Accountability is also an obligation to provide a true and fair view of performance and the results of operations. It relates to the obligations of development partners to act accordingly to clearly defined responsibilities, roles and performance expectations and to ensure credible monitoring, evaluation and reporting.

Activities: Actions in the context of programming which are both necessary and sufficient, and through which inputs (financial, human, technical and material resources) are mobilized to produce specific outputs or contribute to the outcome. Activities may also be referred to as "development interventions".

Advocacy: Pleading for, speaking on behalf of or recommending something or someone. KAICIID's advocacy role is one of promoting IRD towards peace-building and peaceful coexisitence at the global, regional and national level. Advocacy is a part of "soft" assistance.

Attribution: The causal link between observed (or expected) changes and a specific intervention in view of the effects of other interventions or confounding factors. With regard to attribution for the achievement of outcomes, evaluations aim to demonstrate a credible linkage between KAICIID's outputs and efforts in partnership with others and development change (outcome).

Audit: An examination or review that assesses and reports on the extent to which a condition, process or performance conforms to predetermined standards or criteria, policy and procedures. It must be an independent, objective assurance and consulting activity that is designed to add value and improve an organization's operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to assess and improve the effectiveness of risk management, control and governance processes.

B

Baseline data: Data that describe the situation to be addressed by a programme or project and that serve as the starting point for measuring the performance of that programme or project. A baseline study would be the analysis describing the situation prior to receiving assistance. This is used to determine the results and accomplishments of an activity and serves as an important reference for evaluation.

Benchmark: Reference point or standard against which progress or achievements may be compared, e.g., what has been achieved in the past, what other comparable organizations such as development partners are achieving, what was targeted or budgeted for, what could reasonably have been achieved under the circumstances. It also refers to an intermediate target to measure progress in a given period.

Beneficiaries: Individuals and/or institutions whose situation is supposed to improve (the target group), and others whose situation may improve. Also refers to a limited group among the stakeholders who will directly or indirectly benefit from the project.

Best practices: Planning and/or operational practices that have proven successful in particular circumstances. Best practices are used to demonstrate what works and what does not and to accumulate and apply knowledge about how and why they work in different situations and contexts. See also "lesson learned".

Bias: Refers to statistical bias. Bias is an inaccurate representation that produces systematic error in a research finding. Bias may result in overestimating or under- estimating characteristics or trends. It may result from incomplete information or invalid data collection methods and may be intentional or unintentional.

Brokerage: Acting as an impartial intermediary between stakeholders, beneficiaries and development and other actors, sometimes in sensitive areas. Brokerage takes many forms, e.g., political, information and partnership. Part of "soft" assistance.

C

Capacity development: The process by which individuals, groups, organizations and countries develop, enhance and organize their systems, resources and knowledge— all reflected in their abilities (individually and collectively) to perform functions, solve problems and set and achieve objectives. Capacity development is also referred to as capacity building or strengthening.

Cost-effectiveness: The relation between the costs (inputs) and results produced by a project. A project is more cost-effective when it achieves its results at the lowest possible cost compared with alternative projects with the same intended results.

D

Data: Specific quantitative and qualitative information or facts that are collected.

Development effectiveness: The extent to which an institution or intervention has brought about targeted change in a country, community, institution or the life of an individual beneficiary. Development effectiveness is influenced by various factors, beginning with the quality of the programme/project design and ending with the relevance and sustainability of desired results.

E

Effectiveness: The extent to which a development outcome is achieved through interventions. The extent to which a programme or project achieves its planned results (goals, purposes and outputs) and contributes to outcomes.

Efficiency: The optimal transformation of inputs into outputs.

Evaluation: A time-bound exercise that attempts to assess systematically and objectively the relevance, performance and success of ongoing and completed programmes and projects. Evaluation can also address outcomes or other development issues. Evaluation is undertaken selectively to answer specific questions to guide decision-makers and/or programme managers, and to provide information on whether underlying theories and assumptions used in programme development were valid, what worked and what did not work and why. Evaluation commonly aims to determine relevance, efficiency, effectiveness, impact and sustainability. Evaluation is a vehicle for extracting cross-cutting lessons from operating unit experiences and determining the need for modifications to the strategic results framework. Evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process. See also "project evaluation" and "outcome evaluation".

Evaluation scope: The focus of an evaluation in terms of questions to address, limitations, what to analyze and what not to analyze.

Evaluation team: Group of specialists responsible for the detailed planning and conduct of an evaluation. An evaluation team writes the evaluation report.

Evaluator: An individual involved in all stages of the evaluation process, from defining the terms of reference and collecting and analyzing data to making recommendations and taking corrective action or making improvements.

Ex-post evaluation: A type of summative evaluation of an intervention usually conducted two years or more after it has been completed. Its purpose is to study how well the intervention (programme or project) served its aims and to draw conclusions for similar interventions in the future.

F

Feedback: As a process, feedback consists of the organization and packaging in an appropriate form of relevant information from monitoring and evaluation activities, the dissemination of that information to target users and, most importantly, the use of the information as a basis for decision-making and the promotion of learning in an organization. Feedback as a product refers to information that is generated through monitoring and evaluation and transmitted to parties for whom it is relevant and useful. It may include findings, conclusions, recommendations and lessons from experience.

I

Impact: The overall and long-term effect of an intervention. Impact is the longer- term or ultimate result attributable to a development intervention—in contrast to output and outcome, which reflect more immediate results from the intervention. The concept of impact is close to "development effectiveness". Examples: higher standard of living, increased food security, increased earnings from exports, increased savings owing to a decrease in imports. See "results".

Impact evaluation: A type of evaluation that focuses on the broad, longer-term impact or results, whether intended or unintended, of a programme or outcome. For example, an impact evaluation could show that a decrease in a community's overall infant mortality rate was the direct result of a programme designed to provide high quality pre- and post-natal care and deliveries assisted by trained health care professionals. See also "country-level impact assessment".

Independent evaluation: An evaluation carried out by persons separate from those responsible for managing, making decisions on, or implementing the project. It could include groups within the donor organization. The credibility of an evaluation depends in part on how independently it has been carried out, i.e., on the extent of autonomy and the ability to access information, carry out investigations and report findings free of political influence or organizational pressure.

Indicator: Signal that reveals progress (or lack thereof) towards objectives; means of measuring what actually happens against what has been planned in terms of quantity, quality and timeliness. An indicator is a quantitative or qualitative variable that provides a simple and reliable basis for assessing achievement, change or performance.

Input: A means mobilized for the conduct of programme or project activities, i.e., financial, human and physical resources.

J

Joint evaluation: An evaluation to which different donor agencies and/or partners contribute. There are various degrees of "jointness" depending on the extent to which individual partners cooperate in the evaluation process, merge their evaluation resources and combine their evaluation reporting. Joint evaluation can help overcome attribution problems in assessing the effectiveness of programs and strategies, the degree to which efforts supported by different partners are complementary, the quality of aid coordination, and so on.

L

Lesson learned: Learning from experience that is applicable to a generic situation rather than to a specific circumstance. Example: A strong information center is essential to an institution dealing with research and development (R&D) as a channel for disseminating the results of its research programme to target groups and generating feedback from target groups on the usefulness of its R&D results.

Logical framework (logframe) approach: A methodology that logically relates the main elements in programme and project design and helps ensure that the intervention is likely to achieve measurable results. The "logframe matrix" can be used to summarize and ensure consistency among outcomes, outputs, activities and inputs, and to identify important risks or assumptions. It is also referred to as a results-oriented programme planning and management methodology. The approach helps to identify strategic elements (inputs, outputs, purposes, goal) of a programme, their causal relationships, and the external factors that may influence success or failure of the programme. The approach includes the establishment of performance indicators to be used for monitoring and evaluating achievement of programme aims.

M

Mid-term evaluation: A type of evaluation carried out during project or programme implementation. Its principal goal is to assess progress made, to draw initial conclusions for managing the programme or project and to make recommendations for the remaining period. It addresses operational issues of relevance and performance and extracts initial lessons learned. Sometimes referred to as an "ongoing" evaluation.

Monitoring: A continuing function that aims primarily to provide managers and main stakeholders with regular feedback and early indications of progress or lack thereof in the achievement of intended results. Monitoring tracks the actual performance or situation against what was planned or expected according to pre-determined standards. Monitoring generally involves collecting and analyzing data on implementation processes, strategies and results, and recommending corrective measures.

O

Outcome: Actual or intended change in development conditions that KAICIID inter- ventions are seeking to support. It describes a change in development conditions between the completion of outputs and the achievement of impact. Examples: increased rice yield, increased income for the farmers. See "results".

Outcome evaluation: Evaluation that covers a set of related projects, programmes and strategies intended to bring about a certain outcome. An outcome evaluation assesses "how" and "why" outcomes are or are not being achieved in a given country context, and the contribution of KAICIID outputs to the outcome. It can also help to clarify the underlying factors that explain the achievement or lack thereof of outcomes; highlight unintended consequences (both positive and negative) of interventions; and recommend actions to improve performance in future programming cycles and generate lessons learned.

Outcome monitoring: A process of collecting and analyzing data to measure the performance of a programme, project, partnership, policy reform process and/or "soft" assistance towards achievement of development outcomes at country level. A defined set of indicators is constructed to track regularly the key aspects of performance. Performance reflects effectiveness in converting inputs to outputs, outcomes and impacts.

Outputs: Tangible products (including services) of a programme or project that are necessary to achieve the objectives if a programme or project. Outputs relate to the completion (rather than the conduct) of activities and are the type of results over which managers have a high degree of influence. Example: agricultural extension services provided to rice farmers. See "results".

P

Participatory evaluation: The collective examination and assessment of a programme or project by the stakeholders and beneficiaries. Participatory evaluations are reflective, action-oriented and seek to build capacity. Participatory evaluations are primarily oriented to the information needs of the stakeholders rather than the donor who acts as a facilitator.

Partnership: Collaboration among institutions to achieve mutually shared and agreed upon objectives and goals that draws on individual strengths and maximizes synergies. Effective partnerships, where there is a clear understanding of the contribution of each partner to agreed outcomes, are central to achieving results.

Performance assessment: External assessment or self-assessment by programme units, comprising outcome, programme, project or individual monitoring, reviews, end-of-year reporting, end-of-project reporting, institutional assessments and/or special studies.

Performance indicator: A particular characteristic or dimension used to measure intended changes defined by an organizational unit's results framework. Performance indicators are used to observe progress and to measure actual results compared to expected results. They serve to answer "how" or "whether" a unit is progressing towards its objectives, rather than "why" or "why not" such progress is being made. Performance indicators are usually expressed in quantifiable terms, and should be objective and measurable (e.g., numeric values, percentages, scores, and indices).

Performance management: The generation of management demand for performance information and its use and application for continuous improvement. It includes "performance measurement".

Performance measurement: The collection, interpretation of, and reporting on data for performance indicators which measure how well programmes or projects deliver outputs and contribute to achievement of higher level aims (purposes and goals). Performance measures are most useful when used for comparisons over time or among units performing similar work. A system for assessing performance of development initiatives against stated goals. Also described as the process of objectively measuring how well an agency is meeting its stated goals or objectives.

Project evaluation: An evaluation of a project or a specific development interven- tion to attain designated objectives, in a determined time span, and following an established plan of action. The basis of evaluation should be built in to the project document. In the context of KAICIID, it also includes evaluations of programmes described in Programme Support Documents.

Proxy measure or indicator: A variable used to stand in for one that is difficult to measure directly.

R

Rating system: An instrument for forming and validating a judgment on the relevance, performance or success of a programme or project through the use of a scale with numeric, alphabetic and/or descriptive codes.

Recommendation: Proposal for action to be taken in a specific circumstance, including the parties responsible for that action. Example: As a strategy to ensure the acceptability of its research results by target users, the Agricultural Science and Technology Institute should establish a center for sharing of information between the target users and the Institute. Through a systematic information exchange

programme, the Institute should provide target users with information on new technologies being developed and obtain their views on how to improve such technologies.

Relevance: The degree to which the objectives of a programme or project remain valid and pertinent as originally planned or as subsequently modified owing to changing circumstances within the immediate context and external environment of that programme or project. For an outcome, the extent to which the outcome reflects key national priorities and receives support from key partners.

Reliability: Consistency and dependability of data collected through repeated use of a scientific instrument or data collection procedure under the same conditions.

Absolute reliability of evaluation data is hard to obtain. However, checklists and training of evaluators can improve both data reliability and validity. Sound reliability implies exhaustive data collection and the appropriateness of the evaluative questions asked.

Results: A broad term used to refer to the effects of a programme or project and/or activities. The terms "outputs", "outcomes" and "impact" describe more precisely the different types of results at different levels of the logframe hierarchy.

Results-Based Management (RBM): A management strategy or approach by which an organization ensures that its processes, products and services contribute to the achievement of clearly stated results. Results-based management provides a coherent framework for strategic planning and management by improving learning and accountability. It is also a broad management strategy aimed at achieving important changes in the way agencies operate, with improving performance and achieving results as the central orientation, by defining realistic expected results, monitoring progress towards the achievement of expected results, integrating lessons learned into management decisions and reporting on performance.

Results Framework: As a generic term, the results framework represents the development hypothesis including those results necessary to achieve a strategic objective and their causal relationships and underlying assumptions. The framework establishes an organizing basis for measuring, analyzing and reporting results of the operating unit. It is also useful as a management tool and therefore focuses on the key results that must be monitored to indicate progress. It is the document that describes the KAICIID results for an operating unit in terms of outcomes, outputs, partnerships and indicators with specified indicators, baselines and targets.

S

Secondary sources: Sources such as periodic progress reports, annual reports, memos, sectoral studies and baseline data. They serve as background and foundation material and resources for an evaluation.

Self-evaluation: An evaluation by those who are administering a programme or project in the field.

Soft assistance: Advocacy, policy advice/dialogue, and facilitation/brokerage of information, partnerships or political compromise. KAICIID policy advisors, programme staff and senior staff are the main conveyers of "soft" assistance either through projects and programmes, or independent of them in an ad hoc, on demand manner. "Soft" assistance tends to be delivered at the "upstream" level where national policies that affect human development outcomes are debated, formulated and implemented, although it can also be delivered "downstream" by project staff.

Stakeholders: People, groups or entities that have a role and interest in the objectives and implementation of a programme or project. They include the community whose situation the programme seeks to change; project field staff who implement activities; project and programme managers who oversee implementation; donors and other decision-makers who decide the course of action related to the programme; and supporters, critics and other persons who influence the programme environment. In participatory evaluation, stakeholders assume an increased role in the evaluation process as question-makers, evaluation planners, data gatherers and problem solvers.

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, adults).

Sustainability: Durability of positive programme or project results after the termination of the technical cooperation channeled through that programme or project; static sustainability—the continuous flow of the same benefits, set in motion by the completed programme or project, to the same target groups; dynamic sustainability— the use or adaptation of programme or project results to a different context or changing environment by the original target groups and/or other groups. For an outcome, it reflects whether the positive change in development situation will endure.

T

Target groups: The main beneficiaries of a programme or project that are expected to gain from the results of that programme or project; sectors of the population that a programme or project aims to reach in order to address their needs based on gender considerations and their socio-economic characteristics.

Terminal evaluation: Evaluation conducted after the intervention has been in place for some time or towards the end of a project or programme to measure outcomes, demonstrate the effectiveness and relevance of interventions and strategies, indicate early signs of impact, and recommend what interventions to promote or abandon.

Terms of reference: Definition of the work and the schedule that must be carried out by the evaluation team. The terms of reference (TOR) recalls the background and specifies the scope of the evaluation, states the main motives for an evaluation and the questions asked. It sums up available knowledge and outlines an evaluation method and describes the distribution of work, schedule and the responsibilities among the people participating in an evaluation process. It specifies the qualifications required from candidate teams or individuals as well as the criteria to be used to select an evaluation team.

Thematic evaluation: Evaluation of selected aspects or cross-cutting issues in different types of interventions. May involve a cluster evaluation of projects or programmes addressing a particular theme

that cut across sectors or geographical boundaries. Similar to a "strategic evaluation". Example: Evaluation of national execution, evaluation of collaboration with civil society.

U

United Nations Development Assistance Framework (UNDAF): A planning and resources framework for the country programmes and projects of agencies in the United Nations system. It is developed on the basis of the analysis of the common country assessment and provides significant levels of country specific data for development work in general.

V

Validity: The extent to which a measurement or test accurately measures what it is supposed to. Valid evaluations take into account all relevant factors, given the whole context of the evaluation, and weigh them appropriately in the process of formulating conclusions and recommendations.

W

Work plan: Annual or multi-year summary of tasks, timeframes and responsibilities. It is used as a monitoring tool to ensure the production of outputs and progress towards outcomes.

Annex A: Evaluation Terms of Reference (TOR)

The sample terms of reference below is designed for adaptation and use in BOTH project and outcome evaluations. Special content for outcome evaluations is noted.

1.   INTRODUCTION

A brief description of the context of the programme country, including its development needs and priorities. It also places the outcome, programme, project, group of projects and other elements to be evaluated within this context, and identifies the key stakeholders, partners and beneficiaries.

For an **outcome evaluation**, the following information should be included:

■   Brief description of the outcome (baseline of the outcome and current situation of the outcome);
■   Rationale for KAICIID's involvement in the outcome and why it is now being evaluated;
■   Brief description of KAICIID's main outputs and initiatives expected to have contributed to the outcome;
■   Key partners involved in the outcome;
■   Highlights of progress towards or achievement of outcome.

2.   OBJECTIVES OF THE EVALUATION

Brief description of how the need for the evaluation was identified, as well as the main stakeholders of the evaluation and a description of why the evaluation is being undertaken and why it is being undertaken now.

3.   SCOPE OF THE EVALUATION

Describes what to focus on (and implicitly what **not** to address).

For a **project evaluation**, the scope would be expected to include:

■   Geographic coverage of the project;
■   Timeframe of the project to be covered by the evaluation;
■   Issues pertaining to the relevance, performance and success of the project(s) covered by the evaluation.

For an **outcome evaluation**, the same areas should be included, tailored to outcomes. The scope would also be expected to include at least lessons learned, findings and recommendations in the following areas:

■   Whether the **outcome** has been achieved and, if it has not, whether there has been progress made towards its achievement;
■   An analysis of the underlying **factors** beyond KAICIID's control that influence the outcome (including the opportunities and threats affecting the achievement of the outcome);
■   Whether KAICIID's outputs and other interventions can be credibly linked to achievement of the outcome, including the **key outputs**, programmes, projects and assistance soft and hard that contributed to the outcome;
■   Whether KAICIID's **partnership strategy** has been appropriate and effective.

4. PRODUCTS EXPECTED FROM THE EVALUATION

A description of the products that the evaluation manager wants to obtain, e.g., an evaluation report with findings, recommendations, lessons learned, rating on performance, This also includes an "action item" list or a description of best practices in a certain area or in the appropriate niche for KAICIID interventions in a specific programme country.

For an **outcome evaluation**, the product might be a report that includes:

■   Strategies for continuing or concluding KAICIID assistance towards the outcome;
■   Recommendations for formulating future assistance in the outcome if warranted;
■   Lessons learned concerning best and worst practices in producing outputs, linking them to outcomes and using partnerships strategically;
■   A rating on progress towards outcomes and progress towards outputs;
■   A rating on the relevance of the outcome.

5. METHODOLOGY OR EVALUATION APPROACH

Suggesting key elements of the methodology to be used by the evaluation team.

For **project or outcome evaluations**, this section may include information about:

■   Documentation review (desk study);
■   Interviews;
■   Field visits;
■   Questionnaires;
■   Participatory techniques and other approaches for the gathering and analysis of data;
■   Participation of stakeholders and/or partners.

For an **outcome evaluation,** it is recommended that an additional brief description be included on outcome evaluation methodology, particularly its focus on development change and the role of partners.

6. EVALUATION TEAM

Details the number of evaluators and their areas of expertise, as well as their respective responsibilities. The Team Leader is always responsible for finalizing the report. Evaluators can be internal or external, national or international, individuals or firms. There can be significant advantages to using firms rather than individuals for evaluations. The table below details some of the advantages (and disadvantages) of each approach. (See following table.)

7. IMPLEMENTATION ARRANGEMENTS

Details on the following implementation arrangements:
■   Management arrangements, specifically the role of the KAICIID country office and partners.
■   A timeframe for the evaluation process, including the time breakdown for the following activities:

ADVANTAGES AND DISADVANTAGES OF HIRING EVALUATION FIRMS VERSUS INDIVIDUAL EVALUATORS		
	FIRMS	**INDIVIDUALS**
Advantages	1. Fees are agreed upon as a package that is unlikely to var y, unless there is a change in the TOR. 2. Members of the team are used to working together. 3. The firm assures the quality of the products. 4. A multidisciplinary approach is guaranteed. 5. Hiring procedures, although longer than for an individual, are usually easier. 6. A firm develops the methodology/ proposal for the evaluation.	1. Individuals may be highly qualified, with very specialized expertise and many years of experience. 2. The diverse backgrounds of the team members contribute to debate and discussion that could enrich the exercise. 3. May be less expensive.
Disadvantages	1. Usually tend to be more costly. 2. If the firm has been overexposed to the topic or the organization, it could compromise the credibility of the exercise. 3. Team members tend to have similar approaches/perspectives, thereby losing some of the richness of different positions. 4. Bidding procedures can be lengthy and cumbersome.	1. Identification of individual consultants is time consuming. 2. Forming a team of professionals that have not worked together could hamper cohesiveness and coherence in the work and increase the risk of conflicts that affect progress. 3. Any change in the schedule turns into an additional cost in fees,per diem and travel arrangements. 4. Logistics have to be provided by the country office.

- Desk review;
- Briefings of evaluators;
- Visits to the field, interviews, questionnaires;
- Debriefings;
- Preparation of report;
- Stakeholder meeting;
- Finalization of report;
- Consultations and follow-up.
- The resources required and logistical support needed. How many consultants and experts are needed and for how long? What kind of travel will be required? What kind of materials will be needed? While funding arrangements for the evaluation are considered at the planning stage, they are not to be reflected in the TOR itself.

For an **outcome evaluation,** the purpose (and timing) of the evaluation will dictate the time required by the various parties working on it. See Table 5 in Chapter 5 for a sample comparison of time and resource requirements for outcome evaluations. The Programme Manager tasked with managing the outcome evaluation, i.e., the outcome group or Evaluation Focal Team, should use these time estimates as a rule of thumb in budgeting for an outcome evaluation.

Annex B: Key References

ALNAP Evaluation, https://www.alnap.org/our-topics/evaluation

A Quick Guide to Monitoring, Evaluation, Accountability and Learning in Fragile Contexts, OXFAM 2013.

A guide to monitoring and evaluating policy influence, H Jones, ODI 2011.
https://www.odi.org/resources/docs/6453.pdf

Building Better Policies: The Nuts and Bolts of Monitoring and Evaluation Systems, Lopez-Acevedo, G; Krause, P; Mackay, K, World Bank 2012.

Callahan, S. Putting stories to work: Discover. In J.P. Girard & J.L. Girard (eds.), Knowledge management matters: Words of wisdom from leading practitioners (49-71). Macon, GA: Sagology, 2018.

Corney, P.J. When they leave their knowledge (and networks) leave with them. In J.P. Girard & J.L. Girard (eds.), Knowledge management matters: Words of wisdom from leading practitioners (91-111). Macon, GA: Sagology, 2018.

Designing for Results. Integrating Monitoring and Evaluation in Conflict Transformation Programs, Cheyanne Church and Mark M. Rogers, Search for Common Ground 2006.

Evaluating Humanitarian Innovation, ALNAP Working Paper 2017.

Evaluating Impacts of Peacebuilding. Interventions: approaches and methods, challenges and considerations, DFID, UK 2014.

Evaluation Manual IFAD 2015. https://www.ifad.org/web/ioe/evaluation/asset/39984268

Garfield, S. Communities manifesto. In J.P. Girard & J.L. Girard (eds.), Knowledge management matters: Words of wisdom from leading practitioners (113-127). Macon, GA: Sagology, 2018.

Guidance for Designing, Monitoring and Evaluating Peacebuilding Projects: Using Theories of Change, CARE 2012.

Guidelines for Outcome Evaluators. Monitoring and Evaluation Companion Series #1 UNDP 2002.

Guidelines for Project and Programme Evaluations. OECD/DAC, 2009.

Handbook on Impact Evaluation : Quantitative Methods and Practices, SR Khandker, World Bank ,2010 https://openknowledge.worldbank.org/handle/10986/2693

Handbook on Planning, Monitoring and Evaluating for Development results, UNDP 2009.

Looking Back, Moving Forward: Sida Evaluation Manual, SIDA, 2007.

Managing a Sustainable Results Based Management (RBM) System. GET Note. World Bank 2011, Washington, DC. http://hdl.handle.net/10986/10450

Michael Quinn Patton. Developmental Evaluation: Applying Complexity Concepts to Enhance Innovation and Use. Guilford Press, 2011.

Michael Quinn Patton. Getting to Maybe: How the World is Changed. (with Frances Westley and Brenda Zimmerman), Random House Canada, 2006.

Michael Quinn Patton. Utilization-Focused Evaluation checklist, Michael Quinn Patton, 2013. https://www.wmich.edu/sites/default/files/attachments/u350/2014/UFE_checklist_2013.pdf

Monitoring and Evaluation of Peacebuilding: The Role of New Media, Geneva Peacebuilding Platform, Paper #9, 2013.

Monitoring and Evaluation Policy Framework, KAICIID 2017.

Results Based Management. Concepts and Methodology, UNDP Technical Note, 2001.

Results Based Management Handbook, United Nations Development Group, 2011.

Senge, Peter et al., The Fifth Discipline Fieldbook: Strategies and Tools for Building a Learning Organization, New York,Doubleday, 1994.

United Nations Evaluation Group (UNEG) Norms and Standards for Evaluation, June 2016.

UNICEF, Monitoring and Evaluation, Programme Policy and Procedures Manual: Programme Operations, UNICEF, New York (Revised) 2017.

Annex C: Evaluation Plan Template

Evaluation Plan for: [identify programme or intervention]
Strategic Plan Cycle: [e.g. 2016 – 2019]
Date: [current]

Evaluation Title	Partners (if joint evaluation)	Evaluation Objectives	Evaluation Completion Date	List Key evaluation stakeholders	Amount of approved budget and/or sources of funding	Evaluation Status
Programme Outcome Evaluations						
	[state partner organisation(s)	[state programme outcome and key objectives]	[e.g. 4th Quarter 2019]	[e.g. national partners, community and national level religious leaders, CSOs etc.]	[state approved budget and, in case of joint evaluation, highlight sources of funding]	[state whether initiated, pending or done]
Project Evaluations						
Other Evaluations						
[e.g. Programme Mid Term Review or Evaluation						
[e.g. Comprehensive Programme Evaluation						