UNDP

Handbook on Monitoring and Evaluating for Results

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Foreword

The growing demand for development effectiveness is largely based on the realization that producing good "deliverables" is not enough. Efficient or well-managed projects and outputs will lose their relevance if they yield no discernible improvement in development conditions and ultimately in peoples' lives. The United Nations Development Programme is therefore increasing its focus on results and how it can better contribute to them.

To support this strategic shift toward results, UNDP needs a strong and coherent monitoring and evaluation framework that promotes learning and performance measurement. The framework must be simple and user-friendly enough for all staff—project, programme and country office and headquarters—to use it in flexible ways that ultimately enhance the development effectiveness of the organization as a whole. The monitoring and evaluation framework contained in this *Handbook* is therefore 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 framework, which places a premium on coherent and long-range planning around results; partnering for development 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 the new framework and update it as it evolves, it is important to underscore that its introduction represents a key step forward for UNDP. 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. Furthermore, they are designed to help UNDP and its partners in development meet the challenge of choosing the right results, testing the accuracy of our development hypotheses and demonstrating how and why change happens where it matters most—in improving the lives of the poor.

Zéphirin Diabré
Associate Administrator
June 2002

Preface

Since 1999, UNDP has pursued a major programme of reform and renewal with a central objective: to demonstrate how and where the organization is making a measurable contribution to the elimination of poverty. This effort depends on 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.[1] For UNDP, this shift to a "culture of performance" calls for all programming instruments—including monitoring and evaluation—to be aligned with the RBM methodology.

In the future, the success of UNDP will be measured by its contributions to the achievement of outcomes (the development changes that UNDP works towards through, among other things, its projects, programmes and partnerships). It is more evident than ever that development effectiveness rests on strengthening institutions, improving policy frameworks and forging strategic partnerships.

Monitoring and evaluation activities in UNDP 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 publication, *The Handbook on Monitoring and Evaluating for Results*, addresses the monitoring and evaluation of development results. It is intended to support country offices in aligning their monitoring and evaluation systems with RBM methodology—specifically in tracking and measuring the performance of UNDP interventions and strategies and their contributions to outcomes.[2] It aims to provide simple, flexible and forward-looking tools.

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[1] Throughout the publication, the terms "results-oriented" and "a results-based approach" are used in a general way to refer to the methodology of "results-based management."

[2] The *Handbook* specifically addresses the monitoring and evaluation of development results. It does not cover monitoring of management actions. Nevertheless, where monitoring and evaluation actions at country level also concern management action, this is mentioned.

While its primary audience is country office staff, the *Handbook* also will be of interest to others within UNDP who use information gained through monitoring and evaluation to report on results, improve interventions and make programme and policy decisions. It also will be of use to staff concerned with policy change and reform. Outside of UNDP, it may be relevant to other United Nations agencies, governmental and non-governmental organizations (NGOs), members of the academic community and independent evaluators engaged by UNDP. The publication is expected to contribute to the capacity for results-oriented development within UNDP and its national partners.

In addition to the printed version of this *Handbook*, the document is available in its entirety on the Evaluation Office's website (http://www.undp.org/eo/). The website contains frequently asked questions (FAQ), references to other resources and training packages, and a periodic update and development of all monitoring and evaluation methodologies within UNDP.

This *Handbook* is the culmination of a comprehensive process of learning and consultation, and has benefited from the input of a number of individuals, each whom deserves special mention. First, thanks go to the Evaluation Office colleagues who helped to conceive, draft and refine the *Handbook* over its many iterations. Specific thanks go to Siv Tokle, the Task Manager for the M&E guidelines revision, who ably marshaled the process from its inception and helped draft the *Handbook*, and to Linda Maguire, who contributed to the drafting as well as helped to develop new outcome evaluation methodologies.

The *Handbook* also benefited from the inputs of a "Yellow *Handbook* Focal Point Group", comprising UNDP and UN agencies colleagues who provided substantive and technical input and feedback to the various drafts. A validation workshop on the semi-final draft of this *Handbook* was held in Istanbul, Turkey in October 2001, where a number of UNDP country office colleagues offered their valuable perspectives and helped further refine the policies and processes in the *Handbook* to make them more "country office friendly". This *Handbook* also owes a great deal of substantive grounding to the simplification task force of UNDP and to the "champions" of this effort to make UNDP's policies and procedures more straightfoward, results based and oriented to learning.

Last, but certainly not least, I should acknowledge the invaluable assistance of the Evaluation Office's technology manager, Anish Pradhan; the editing skill of Susan Guthridge-Gould; and the excellant design and format of the *Handbook* by Julia Ptasznik.

Khalid Malik
Director
Evaluation Office

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Introduction

Purpose of the Handbook

The *Handbook on Monitoring and Evaluating for Results* is intended to:

■ Strengthen the results-oriented monitoring and evaluation function and capacity in UNDP 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 UNDP and its partners;

■ Present methods to link the outputs of UNDP projects, programmes, policies, partnerships and "soft" assistance with progress towards outcomes within the Strategic Results Framework (SRF);[3]

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

■ Provide practical guidance to country offices on monitoring and performance assessment.

Structure and content

The *Handbook* 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.

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[3] See the Glossary for a complete definition of the SRF.

Part II is the main body of the *Handbook*, 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 samples and optional, flexible formats for selected monitoring and evaluation tools, such as sample Terms of Reference (TOR) and an annotated outline for an outcome-level evaluation report, which will be available electronically for easy adaptation. Also in the annex are the glossary, a list of acronyms and a bibliography.

Consult the UNDP Evaluation Office (EO) **website** (http://www.undp.org/eo/) for the following:

- ■ Samples and formats for selected monitoring and evaluation tools;
- ■ Bibliographic and electronic references;
- ■ Information resources of UNDP and partner agencies;
- ■ Updates, lessons learned and additional experience related to the *Handbook*.

Additional resources include publications in the Companion Series, which provide more in-depth guidance for monitoring and evaluation in select areas and for specific target groups. Titles include *Guidelines for Outcome Evaluators* and *Evaluation Capacity Development*.

All users of this *Handbook* are encouraged to provide feedback on the publication as well as lessons learned from experience to the Evaluation Office, thereby helping to improve continually the monitoring and evaluation framework. Please consult the EO website for the most up-to-date developments in the application of monitoring and evaluation for results.

PART I
The Monitoring and Evaluation Framework

Purposes
and Definitions

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

This chapter covers:

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

A. 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 in UNDP today, the need to demonstrate performance is placing new demands on monitoring and evaluation in country offices (COs) and programme units.

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 today's results-oriented monitoring and evaluation are to:

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

FIGURE 1. OBJECTIVES OF MONITORING AND EVALUATION

Monitoring and evaluation help staff to...

Be accountable & reposition ourselves

Build Capacities

Learn from experience

Make more informed decisions
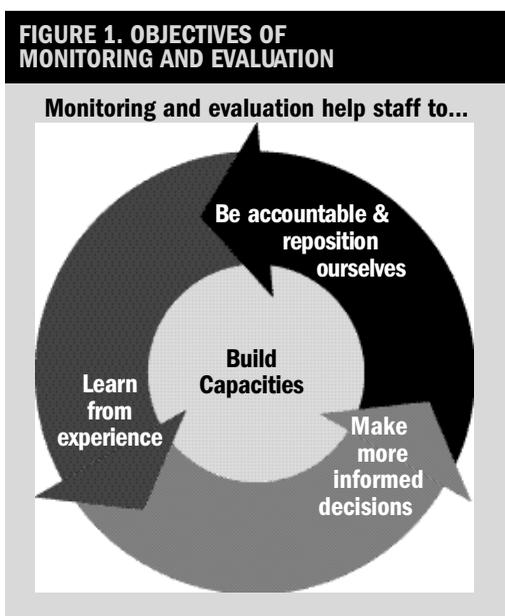
These objectives are linked together in a continuous process, as shown in Figure 1. Learning from the past contributes to more informed decision-making. Better decisions lead to greater accountability to stakeholders. Better decisions also improve performance, allowing for UNDP activities to be repositioned continually.

Partnering closely with key stakeholders throughout this process also promotes shared knowledge creation and learning, helps transfer skills, and develops the capacity of UNDP country offices 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 development.

B. 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 UNDP development efforts, which are the **changes in development conditions** that UNDP aims to achieve through its projects and programmes. Outcomes incorporate the production of outputs and the contributions of partners.

Traditionally, UNDP 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. Today, 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 *Handbook*. Figure 2 illustrates how outputs and outcomes inter-relate during the process of achieving results.

FIGURE 2. THE RESULTS CHAIN

INPUTS	OUTPUTS	OUTCOMES	IMPACT
■ Experts	■ Studies completed	■ Income increased	■ Health conditions improved
■ Equipment	■ People trained	■ Jobs created	■ Longevity increased
■ Funds			
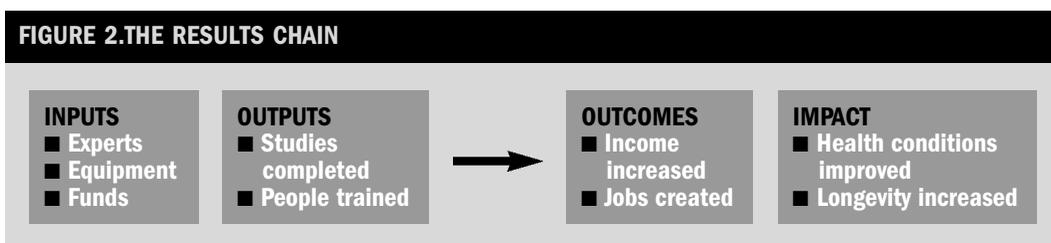
Two other terms frequently used in monitoring and evaluation are defined below:

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.

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 UNDP's shift towards RBM, which has been gaining momentum since 1999. It also compares past approaches with the current results-based approach. This chapter should help users pinpoint any areas in which changes in behavior are required, and to align monitoring and evaluation activities accordingly.

This chapter covers:

A. Monitoring and evaluation in the context of RBM
   - ■ Outcome monitoring
   - ■ Outcome evaluation
   - ■ Relationship between outcome monitoring and outcome evaluation
   - ■ Importance of partnerships
   - ■ Significance of "soft" assistance

B. Implications for the country office
   - ■ Changes in tools and processes
   - ■ Roles and responsibilities
   - ■ 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 UNDP. 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

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 toward the achievement of expected results, integrating lessons learned into management decisions and reporting on performance.

OUTCOME MONITORING

UNDP 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. 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 UNDP interventions by their measurable contribution to development changes.

Outcome monitoring is a continual and systematic process of collecting and analyzing data to measure the performance of UNDP interventions towards achievement of outcomes at country level. 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, country offices will accumulate information on an ongoing basis regarding progress towards an outcome, and then will periodically compare the current situation against the baseline for outcome indicators and assess and analyze the situation.

In order for a country office to monitor outcomes and outputs effectively, that country office has 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 UNDP intervention contributes to the achievement of a key outcome, supports national development priorities and targets appropriate groups.

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.

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 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 UNDP partnership strategy in achieving desired outcomes.

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.

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 context, and the role UNDP 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 UNDP contributions (outputs, including those produced through "soft" assistance) to outcomes;
- The partnership strategy (how UNDP 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 country office team, Programme Managers plan outcome evaluations at the country level using the Evaluation Plan. (See Chapter 3.) Country offices need to set aside adequate resources for these activities. Planning significantly improves the management and quality of evaluation. Country offices (and headquarters units) are 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.

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.[4]

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.

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[4] Source: Adapted from UNICEF, UNFPA, World Bank

Outcome evaluations rely on data generated through outcome monitoring, information from other sources such as the UNDP Results-Oriented Annual Report (ROAR), 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.

IMPORTANCE OF PARTNERSHIPS

No development change is ever achieved in isolation, which is why UNDP works closely with its partners when monitoring and evaluating outcomes. UNDP partners include other UN agencies, governments, donor agencies, governmental and non-governmental organizations and other entities with which UNDP 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 roles of these partners are described in Box 1.[5]

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 and the adoption of the Administrator's Business Plans (2001-2003), both of which direct attention to "soft" assistance.

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[5] Adapted from World Bank, Monitoring and Evaluation Chapter, 2000 and UNDP, Alex Rusita, end of mission report,2001.

"Soft" assistance includes:

1. Policy advice and dialogue

Policy advice and dialogue are central to UNDP's effort to help countries make development gains—a position stated in the Administrator's Business Plans (2001-2003). This introduces another shift in how UNDP views its activities: UNDP 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 human development 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 human development.

2. Advocacy

Advocacy involves speaking on behalf of or recommending something or someone. The role of UNDP in advocacy is to promote the human development agenda at the global, regional and national level through issues as diverse as poverty eradication, debt relief, gender equality, climate change and good governance.

Assessing advocacy could, for example, look at how policy change at the national level is affected by the recommendations of the Human Development

Report (HDR) and the National Human Development Reports (NHDR), which are key aspects of UNDP's advocacy work. These reports provide analysis and recommendations on policy and institutional reforms, including detailed analysis of cross-sectoral institutional issues.

3. Brokerage/Coordination

The actions associated with brokerage and coordination are so linked that the terms are used almost interchangeably in UNDP 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 UNDP's role as an impartial mediator who 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 development partners and stakeholders.

■ Partnership brokerage/coordination refers to the facilitation of working relationships between and among international and national partners. Assessments focus on joint programming and resource mobilization around specific programmes or events (e.g. an election or aid coordination), and aim to enhance coordination among donors.

"Soft" assistance is provided as inputs to a system, as illustrated in Figure 3. 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.

FIGURE 3. HOW IS "SOFT" ASSISTANCE PROVIDED?

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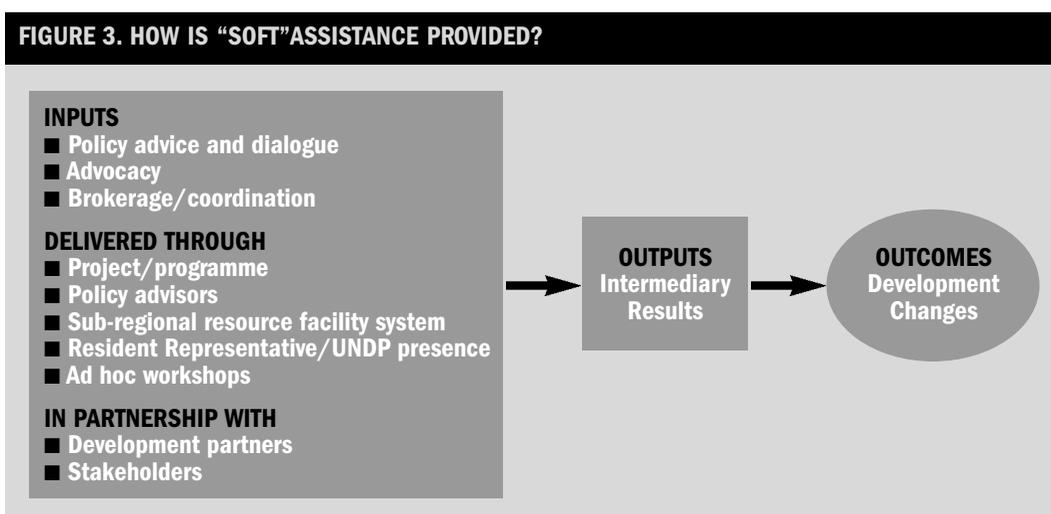
[6] USAID, Recent Practices in Monitoring and Evaluation, TIPS #14, 2000

Why should "soft" assistance be monitored and evaluated?

- "Soft" assistance has potential for reducing poverty and promoting human development by affecting the national policy environment. National policies and regulations must be conducive to an enabling environment in which human development can flourish.[6] Policy advice, advocacy and brokerage represent critical tools with which UNDP can promote its development agenda.

- "Soft" assistance is flexible, dynamic and highly responsive. "Soft" assistance interventions represent an additional service that UNDP can provide to developing countries. 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 country 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 UNDP "soft" assistance interventions will tell a more complete story of achievements and better demonstrate the role and impact of UNDP efforts.

- Assessing "soft" assistance will become more important as UNDP places more emphasis on broad and strategic evaluations. "Soft" assistance figures prominently in these kinds of evaluations (e.g. outcome, thematic, cluster and impact evaluations).

- Assessing the quality of "soft" assistance interventions will help UNDP understand what works and why, and what does not work and why—thereby supporting the achievement of outcomes representing sought-after development changes.

B. Implications for the Country Office

Country offices are 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 country office uses are changing; second, the roles and responsibilities of UNDP and project staff are changing; and third, Programme Managers are facing a number of new challenges.

CHANGES IN TOOLS AND PROCESSES

Monitoring and evaluation that is results-based requires specific kinds of tools and processes. For example, country offices need to use flexible monitoring instruments (project reports, workplans, field visits, stakeholder meetings) on a periodic basis to support performance measurement. These tools help country offices 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 and see the Annexes for templates of monitoring and evaluation tools.)

TABLE 3. CHANGES TO TOOLS USED FOR PROGRAMMING, MONITORING AND EVALUATION		
TOOL	**BEFORE**	**NOW**
Evaluation	Evaluation mandatory for project of $1 million or more, or when UNDP has supported an institution for 10 years or more. Direct Execution (DEX) evaluation mandatory.	Abolished. Project evaluations ($1 million, 10 years) are no longer mandatory. Instead, a certain number[7] of outcome evaluations are required during the Country Programme period, depending on the size of the total programme. Project evaluations optional.
Evaluation plan	Country-level evaluation plan was prepared by country office (CO) after Country Programme approval. Rolling three-year period, revised yearly. Sent to Evaluation Office (EO).	Country-level evaluation plan is prepared by CO electronically and includes a tracking system on the implementation of evaluation recommendations. In future, this will link to the results-based monitoring system (RBMS). Analysis and feedback by EO. Serves as basis for evaluation compliance.
Project evaluation information sheet (PEIS)	The PEIS, a report or questionnaire presenting the project evaluation with evaluators' rating, was prepared by evaluation team leader (or consultant hired by CO). Sent to EO.	Abolished. Instead, CO submits full evaluation report electronically to EO, where it is entered into a database that collects lessons learned and is used to analyze corporate trends with future link to RBMS. Rating of performance as integral part of evaluation reports.
Tripartite review (TPR)	An annual TPR was organized by the country office in consultation with Government and the designated institution; CO prepared agenda and TPR meeting report. Terminal TPR towards the end of project.	Abolished as requirement. May be conducted on an optional basis for projects requiring this level of review. Decision-making ensured by project steering committee, outcome thematic groups or similar arrangement. Periodic stakeholder consultations including beneficiaries are recommended.
Annual project report (APR)	The APR was an assessment of a project during a given year by target groups, project management, the Government and UNDP. Prepared by the designated institution and used for TPR.	Old format abolished. Revised to become shorter and more results-oriented. Completed annually by designated institution to country office. Exception for projects not suited for APR.
Terminal report (TR)	TR for each project was prepared by designated institution. APR for final year served as the TR with lessons added. The Resident Representative (RR) sent the TR to the Regional Bureaux (RBx) and EO. RBx provided feedback and decided on follow-up. EO entered TR in database.	Abolished. Learning is to be addressed through the APR and annual review. Lessons learned to be shared with knowledge network. Terminal review also abolished as a requirement.
Field visits	The RR and country office staff were required to visit all projects yearly, and to report immediately after the visit.	Regular project visits encouraged. Flexible format but more results-oriented. Exception for projects not suited for results validation visit. Visits to designated institution or outcome also included.
Annual review	This annual meeting generated annual reports by operational units on progress for the Strategic Results Framework (SRF). Basis for the Results-Oriented Annual Report (ROAR).	A strengthened management dialogue at country level is required to assess progress towards results (outcomes and outputs). This requires strong stakeholder participation, and serves as a basis for the ROAR. Key mechanism for generating lessons learned for new programming as Country Programme progresses.

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[7] Please see Part II, Chapter 5, for more information on the minimum number of outcome evaluations required per country.

Along with these changes, an annual review will help bring some important elements together: the project-level assessment (APR), assessment of outcomes at the level of the Country Programme (outcome evaluations) and Strategic Results Framework (ROAR) and input from the United Nations Country Team on Millennium Development Goals.

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.

TABLE 4. COUNTRY-LEVEL ROLES AND RESPONSIBILITIES FOR MONITORING AND EVALUATION		
WHO? Actors, roles & responsibilities	**WHAT?** Information needed	**WHY?** For what use
Country Office Senior Managers Main responsibilities: ■ Collaboration with national partners to determine the focus and intended results of UNDP assistance to the country ■ Identification and management of partnerships ■ Assessment of the overall performance of UNDP assistance to the country (progress towards and achievement of results) ■ Strategic and cost-effective use of UNDP 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 UNDP assistance in view of changing development conditions, if required ■ To position UNDP strategically within the framework of development cooperation with the country ■ To forge strong coalitions for change ■ To resolve key bottlenecks to implementation in order to improve the chances of achieving results (outcomes) ■ To link results with resources ■ To ensure active and results-based monitoring and evaluation
Country Office Programme Managers Main responsibility: ■ UNDP portfolio of programmes and projects in a thematic area such as governance or poverty or, in other words, UNDP's contribution to outcomes	■ Progress towards the achievement of outcomes ■ Progress of the partnership strategies for outcomes ■ Rate and 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 implementation 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 (outcomes)
Office Project Staff Main responsibility: ■ Management of UNDP-assisted projects to help produce outputs	■ The outcome towards which the project is working ■ Progress towards and achievement of outputs ■ Problems and issues related to implementation ■ Practical project-level collaboration with and monitoring of partners' contribution ■ Resource management	■ To ground the 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

This means that monitoring and evaluation need to permeate the programming cycle from beginning to end.

ROLES AND RESPONSIBILITIES

The roles and responsibilities of UNDP staff are more clearly defined in today's results-based approach to monitoring and evaluation, as outlined in Table 4.

PRACTICAL CHALLENGES FOR PROGRAMME MANAGERS

Programme Managers play an important role in highlighting the results of programmes, and placing this information in the context of the SRF. In other words, Programme Managers provide an important input to the process of capturing outputs and outcomes. In the past, they focused on monitoring and evaluating project implementation processes. Today Programme Managers are directing their attention to analyzing and reporting on results—or, more specifically, the contribution of project outputs, soft interventions and strategic partnerships to outcomes. More than ever, Programme Managers are required to work rigorously at the level of project formulation and workplanning in order to ensure that projects meet targets, and apply tools to that effect. Box 2 lists some current responsibilities.

> **BOX 2. AS A 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
> ■ Work more closely with external partners
> ■ Work with project staff to explain links to outcome
> ■ Contribute in the office to the team in concerned with achieving outcomes

As illustrated in Figure 4, 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 ROAR. 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 4. MONITORING AND EVALUATION RESPONSIBILITIES OF PROGRAMME MANAGERS

PROGRAMME MANAGER MONITORING AND EVALUATION RESPONSIBILITIES → Progress towards country-level outcomes ⇅ Enhanced delivery of project outputs
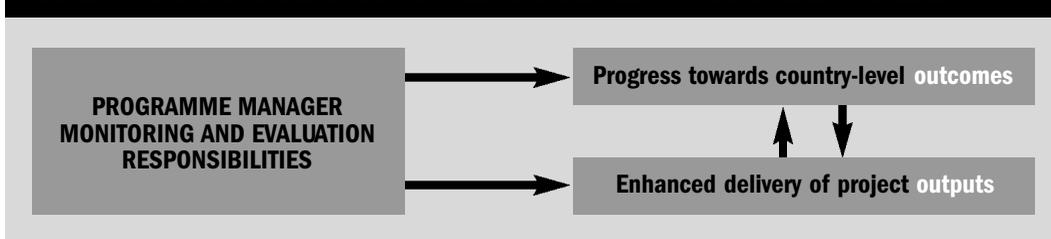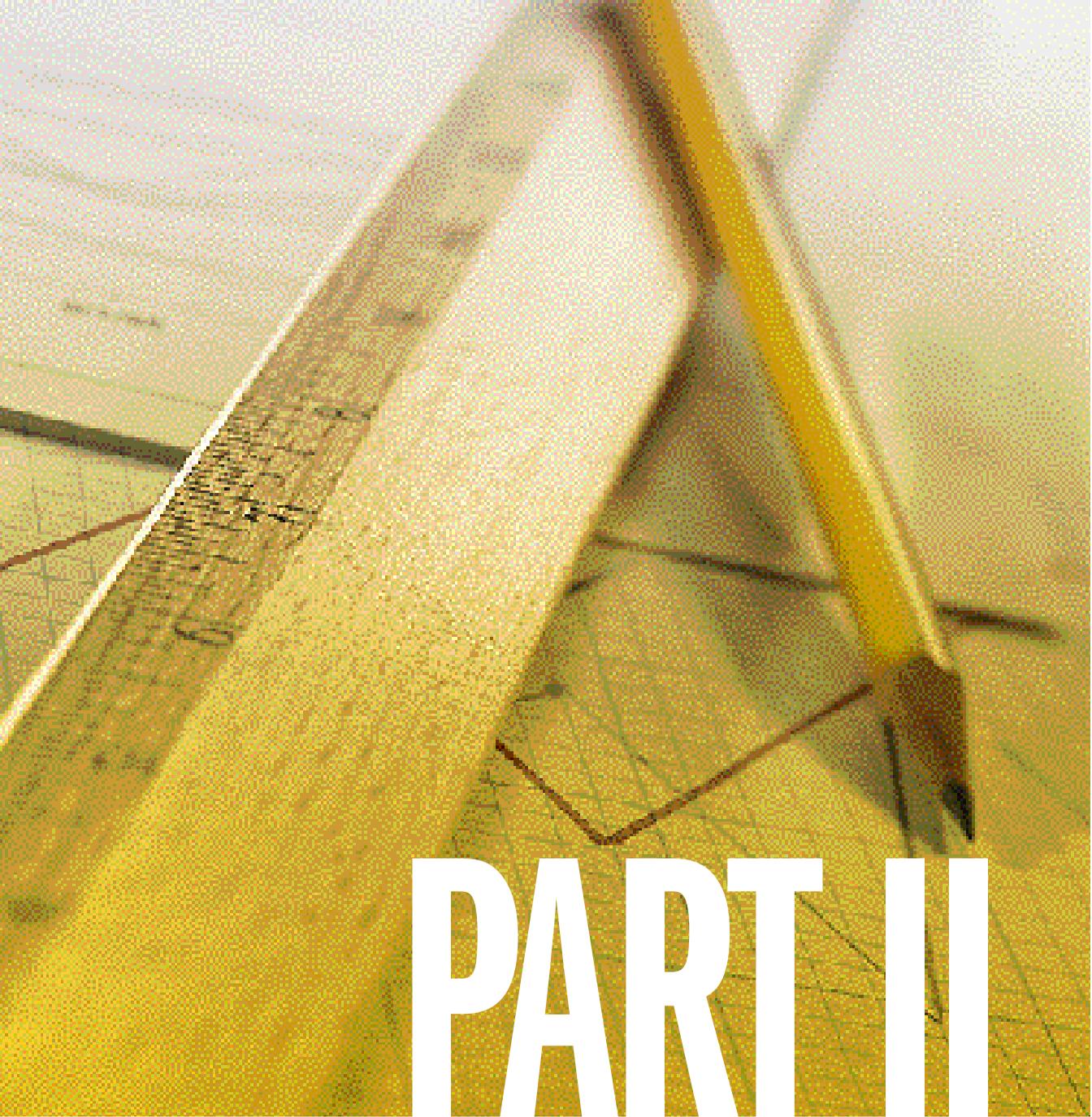
PART II

How to Conduct
Monitoring and Evaluation

Figures, Tables and Boxes for Part II

Planning for Monitoring and Evaluation

This chapter describes how to develop a comprehensive, logical planning framework for monitoring and evaluation related to Country Programmes, the strategic 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 needs of the country and the intended results.

This chapter covers:

    A. Key principles for planning
        ■ **Overall workplanning**
        ■ **Minimum requirements**
        ■ **Planning at the Country Programme level**
    B. The planning process
        ■ **Planning for monitoring**
        ■ **Planning for evaluation**
        ■ **Project workplanning**

A. Key Principles for Planning

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 a country office's overall work plan, which encompasses many additional areas.

A country office work plan, as illustrated in Figure 1, contains three inter-related elements:

FIGURE 1. WORKPLANNING AT THE COUNTRY OFFICE

Overall Work Plan — Larger context. Contains substantive information and management decisions. Managed by CO 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 CO 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 country office 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 office level, workplanning is reflecting the shift to results-based management by placing greater emphasis on the planning of monitoring and evaluation. For results-oriented monitoring and evaluation, UNDP offices must plan for the specific needs of the office, partners, project or outcome—and not mechanically follow prescriptive procedures.

MINIMUM REQUIREMENTS

Country offices 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, offices 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 country offices 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 Country Programme period. All operating units and offices 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 and the nature of what is being monitored or evaluated.

PLANNING AT THE COUNTRY PROGRAMME LEVEL

Planning of monitoring and evaluation begins as early as the formulation stage of the Country 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 CO overall work plan, the project work plan or the work of the Programme Manager.

At the design and approval stage of the Country Programme Outline (CPO)—the document that encapsulates UNDP's programme in a given country—the country office with partners will:

■ Decide on the **strategies** for monitoring and evaluation and describe these arrangements in the CPO. 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 government through the Country Programme formulation 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 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 CPO is approved and implementation of the Country 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

PLANNING FOR MONITORING

Discussions about how and when to monitor the progress of UNDP activities take place early on and continue at regular intervals. Planning for monitoring generally takes place at the Country Programme design stage, the programme/project design

stage and yearly thereafter. A plan for monitoring may focus on projects and programmes as well as the resulting development changes (outcomes).

Projects, programmes 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 Country Programme. UNDP 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 livelihoods at the village 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 in the country;

■ 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 involved are spread out geographically.

When planning monitoring to assess progress towards outcomes **(outcome monitoring)**, country offices 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 format is required for a monitoring plan. In practical terms, such planning can be reflected in CO work plans, in project work plans, in the individual work plans of Programme Managers and in plans for coordination mechanisms. Nevertheless, for effective outcome monitoring, many COs will want to produce one document that describes the totality of monitoring efforts.

PLANNING FOR EVALUATION

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

Evaluation planning is linked to the country programming cycle. Within the first quarter of each Country Programme, country offices prepare and submit the evaluation plan to the Evaluation Office.[8] (See Annex A for format.) Subsequently, the plan is kept up to date continuously, annually or periodically depending on local needs, becoming in essence a "rolling" plan. For example, if a country office plans its first outcome evaluation three years into the Country Programme, the country office 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 CO to the Evaluation Office. Sometimes revision is required when circumstances change, such as a loss or gain in financial resources or when there is change in the national context.

An evaluation plan is based on strategic and selective decisions by country offices (by senior CO management in particular) about what to evaluate and when. 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, country offices may pick and choose which outcomes to evaluate, covering at least the mandatory minimum number of outcomes that must be evaluated. Using the strategic results framework (SRF)[2] for the country, country offices should select which outcomes to evaluate by considering the following criteria.

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 UNDP's partnership strategy, identifying impediments to the outcome, suggesting

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[8] A corporate system for Evaluation Planning and Tracking is being designed 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 will link up with and integrate information from country office evaluation plans and evaluations for overall corporate learning and accountability. Country offices will be able to develop their evaluation plans and follow-up systems for electronic use at the country level.

[9] The strategic results framework (SRF) defines an approach to development and how the desired results may be achieved. It includes strategies, objectives and problem analysis and provides a basis for organizing results-oriented monitoring and evaluation. In UNDP, it is presented in a document that defines outcomes, outputs, partnerships and indicators with specified goals, sub-goals and strategic areas of support.

mid-course adjustments and gathering lessons learned for the next programming cycle. Country offices should review the intended SRF 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 governance outcome includes a great deal of policy advice and advocacy that the country office 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 country office resources invested in the outcome:** When selecting an outcome for evaluation, look for one in which the country office 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 CO to take stock of whether the outputs have contributed to the outcome and whether UNDP has crafted an effective partnership strategy. When selecting an outcome for evaluation, look for one in area that the country office 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 this country or other countries in the region? An outcome evaluation in one thematic area is not only relevant to that area but also may reveal generic lessons for other thematic areas. COs 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 UNDP—will provide much-needed insight into an area in which UNDP has had little experience.

6. **Timing:** The country office 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 Country 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 a country might use the Country Programme for evaluation planning purposes is provided in Box 1.

Once the outcome is selected for evaluation, the CO identifies 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.

BOX 1. OUTCOME EVALUATION PLANNING USING THE COUNTRY PROGRAMME

The UNDP programme in Country X is expected to have "medium" resources available to it for the next Country Programme (CP) cycle. At the beginning of the CP period, country office X submits to the Evaluation Office an evaluation plan for three outcome evaluations that it plans to undertake over the next five years. The country office 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 country office also selects a mixture of types of outcome evaluations based upon what the CO 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 Evaluation Office in the first quarter of the CP 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.

CP	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5
Outcome 1					
Outcome 2					
Outcome 3					

Another aspect of planning for evaluation is that of **evaluation compliance.** Compliance is based on the outcome evaluations that the country office commits to undertaking during a given Country Programme cycle. UNDP Headquarters uses the evaluation plan submitted by the country office as the basis for assessing compliance. Beyond the outcome evaluations, other evaluations that the country office elects to undertake will not figure into compliance rates. The Evaluation Office (EO) is responsible for monitoring evaluation compliance and systematically analyzing information generated to promote learning, and reports to the UNDP Executive Board. Compliance is calculated according to a formula explained in Box 2.

BOX 2. EVALUATION COMPLIANCE

To determine evaluation compliance, countries are categorized into ranges and required to undertake a certain number of outcome evaluations during the Country Programme cycle based upon **total resources** (core and non-core) expected to be at the disposal of a country office, and taking account of the previous evaluation workload. The ranges for mandatory evaluation compliance are as follows:

Category	Resource range (in US $ million)	Number of mandatory outcome evaluations per CP (depending upon resources and previous evaluations) **Minimum** of….
A	< 2	Optional or 1
B	2 < 5	1 or 2
C	5 < 10	2 or 3
D	10 < 20	3 or 4
E	20 < 70	4 or 5
F	70 <	6

Example: Country Z falls into the high end of Category E over the next programming cycle. It will therefore be required to undertake a minimum of 5 outcome evaluations over the course of the next Country Programme (CP). This workload is lighter than in the past, when Country Z was required to carry out project evaluations of 19 projects over US$ 1 million.

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 SRF. 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 SRF 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 SRF. 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.

The Monitoring
Process ("how to…")

Why do we have to monitor and evaluate our work? The focus of monitoring and evaluation is to enhance the effectiveness of UNDP assistance 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, and templates are available on http://www.undp.org/eo/.

This chapter covers:

    A. **Key principles for planning**
        ■ **Conducting good monitoring**
        ■ **Scope of monitoring**
        ■ **Responsibility for monitoring**
        ■ **Selecting the right monitoring tools**

    B. **The building blocks: Monitoring tools and mechanisms**
        ■ **Field visits**
        ■ **Annual project report (APR)**
        ■ **Outcome groups**
        ■ **Annual review (AR)**

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 the results-oriented annual report (ROAR) and for evaluations. Good monitoring requires that a country office find the right mix of tools and is 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.

UNDP offices will be expected to follow good practices when it comes to both the **scope** and **conduct** of monitoring and evaluation. Within a set of key principles, each office largely determines 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 UNDP offices are observing good monitoring and evaluation practices, they are assessed through reviews, management indicators and country office or project audits.

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 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. Offices should avoid using monitoring for correcting recurring problems that need permanent solutions.

- Good monitoring requires **regular visits** by CO staff who focus 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 annual project report (APR) is another minimum standard for good monitoring. Such reports, prepared by Project Management or Directors for the audience of the country office and other partners, serve as a basis for analysis by the UNDP 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, country offices must make an effort to improve their **performancemeasurement system** by developing **indicators and baselines**.

■ **Assessing the relevance, performance** and **success** of UNDP development interventions also enhances monitoring. The country office 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 country office 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.

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 results framework (SRF) for the country.[10] 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 country context and the economic, sociological, political and other developments simultaneously taking place;

■ **UNDP 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.

Offices may add additional elements where needed for management or analysis, while keeping a realistic scope in view of available capacities, as discussed in Box 3 on implementation.

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[10] The simplified format of the project document aligned with RBM should facilitate monitoring and be supported by project output indicators where appropriate,and the project document should refer to the relevant SRF outcomes.

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 country office 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 car 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 country office 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 project design and early agreement on standards for management.

Monitoring does more than look at what projects deliver. Its scope includes assessing the progress of projects, programmes, 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.

Adequate **budgetary** resources should be allocated for monitoring. The CO 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 Resident Representative.

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 office management focus on the Country Programme, UNDAF overall performance and Millennium Development Targets; Programme Managers focus on the SRF and outcomes and project staff focus on the project documents and outputs.

UNDP Country Office Management
UNDP senior office 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 SRF and Country Programme (or CCF is one is still in place). This is accomplished in partnership with key national stakeholders and with particular attention to the coordinating ministry. Senior management actively leads the ROAR and 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 UNDP programming as well as UNDP's contribution to UN priorities as expressed in the CCA and the UNDAF. 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. This level of monitoring may also involve participation by the UNDP Resident Representative/Resident Coordinator in a UN country team (UNCT) assessment of progress on UN-supported goals in the country, including the Millennium Development Goals.

UNDP Programme Management

UNDP Programme Managers are responsible for the overall monitoring of progress towards outcomes as well as the project's contribution in terms of strategic outputs. At this level, monitoring is the main responsibility of the UNDP 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 today take on a greater role in advocacy and partnership building than they did in the past. For the ROAR, Programme Managers bring together an analysis of several projects and activities along with data based on the annual 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 helps develop accountability mechanisms and, through them, monitors periodically to ensure that UNDP 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, generally the government, 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 to the CO, 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 CO. 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 per se is done mainly by the executing agent. The annual project reporting is made by project staff with specific attention to outputs, and is analyzed by CO staff for the ROAR. The institution managing the project would 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 the ROAR.

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 UNDP'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**
■ Annual project report (APR) ■ Progress and/or quarterly reports ■ Work plans ■ Project/programme delivery reports and combined delivery reports ■ Substantive project documentation	■ Field visits ■ Spot-check visits ■ External assessments/monitoring ■ Client surveys ■ 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. 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 tripartite/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 in a medium to large country office.)

B. The Building Blocks: Monitoring Tools and Mechanisms

A variety of formal and informal monitoring tools and mechanisms are available for use by country offices, including field visits, annual project 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 outputs and partnerships. Offices 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.)

FIELD VISITS

Field visits 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.

UNDP Policy: A representative from the UNDP country office should visit each programme and project contributing to strategic results in the SRF at least once a year. Field visits may be undertaken by the Programme Manager, the Policy Advisor and/or a team from the CO (particularly when dealing with a complex outcome). The Resident Representative and CO management staff are also encouraged to undertake field visits.

Timing: A field visit may be planned for any time of the year. If undertaken in the first half of the year, just after the ROAR, 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 ROAR preparation. The reports of field visits are action-oriented and brief, submitted within a week of return to the office.

Purpose: Field visits serve the purpose of validation. They validate the results reported by programmes and projects, in particular for larger, key programmes and projects that are essential for SRF outcomes. They involve an assessment of progress, results and problems and may also include visits to the project management or directorate.

Visits are increasingly joint efforts of several partners involving clusters of programmes and projects within an outcome. A team of Programme Managers, 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 UNDP activities within a specific geographical area. Such joint efforts are often an efficient way to obtain a comprehensive overview of progress. Not all projects are worth the time and effort of annual field visits, as in the case of the following examples:

■ Day-to-day monitoring may suffice for projects that deal with purely administrative matters such as Programme Logistical Support Projects, business centers or certain umbrella projects without predetermined development results;

■ Monitoring through reporting and regular contact may be as effective as a yearly visit for projects that are small, not strategic in nature and/or last less than a year;

■ When other monitoring and/or evaluation efforts have recently taken place, the Programme Manager may want to plan a visit at a later time. In other words, if a recent outcome evaluation has been discussed at a stakeholder meeting, and decisions taken by a Project Steering Committee (PSC), the Programme Manager may want to allow time for the actions on recommendations to take effect.

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 SRF. The Programme Manager should also look at the contribution of soft interventions, the development of strategic partnerships and rates progress towards outputs and outcome. In a change from past practice, detailed implementation issues will no longer be the main focus of field visits. (See Annex D for a format for a field visit report.)

ANNUAL PROJECT REPORT

UNDP policy: The annual project report (APR) 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 country office, the APR does not require a cumbersome preparatory process. It can be readily used to spur dialogue with partners. The report, which is prepared annually for larger projects that are essential to SRF outcomes, feeds into the annual review and the ROAR.

Timing: The reporting period of the APR is flexible because project performance assessment may take place at any time of the year. Ideally, however, the APR should be prepared every 12 months, with the review period coinciding with the fiscal year of UNDP (January-December), particularly for larger projects.

Purpose: The annual project report (APR) provides a self-assessment by the project management and is part of the Programme Manager's review of the project's performance. The APR should provide an accurate update on project results, identify major constraints and propose future directions. The APR provides input into the country office reporting process and the ROAR. It analyzes the underlying factors contributing to any lack of progress so that project management can learn from experience and improve performance.

Preparation: The APR is prepared by the project management—those responsible for the day-to-day management of the project (Chief Technical Advisor, Project Coordinator, National Director or equivalent). The UNDP Programme Manager often liases with the project management to convey key concerns as input to the report. The APR is a report from the project to UNDP and other stakeholders and is not expected to be a participatory or consensus-building tool. Both the Project Manager and Programme Manager rate the progress of outputs in the APR. In addition, the Programme Manager also rates the progress of outcomes.

The APR may be prepared periodically or abolished for smaller projects or projects that do not have strategic outputs for the SRF/ROAR, such as:

- Performance monitoring through client satisfaction, services provided and other means may be sufficient for projects dealing with purely administrative matters, including programme logistical support projects, support projects, business centers and certain umbrella projects without specific development results;

- Day-to-day monitoring and a final report on results may be appropriate for smaller projects with a duration of one year or less;

■ Performance monitoring mechanisms may suffice for smaller projects or projects that do not have key strategic outputs or outcomes that do not feed into the ROAR.

Use of the APR: The annual project report is part of UNDP country office central oversight and monitoring and project management, and the building block of the annual review and the ROAR. Once the report has been distributed, the next step is to hold consultations, which may take place at the steering committee or through written observations from partners, for example. Depending on its content and approach, the CO would use the APR for:

■ Performance Assessment: The assessment of project performance is linked to the SRF and the ROAR. The UNDP Programme Manager reviews the APR 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 APR feeds directly into the annual ROAR. When using mechanisms such as outcome groups or steering committees to review project performance, the APR may also provide a basis for consensus-building and joint decision making with key partners on recommendations for future courses of action. Key elements of the APR are used for the country annual review. The APR should be used as a basis for feedback on project performance.

■ Learning: The APR provides information on what went right or what went wrong, and why. This should feed into the annual review, SURF learning and practitioners networks, repositories of knowledge and evaluations. It is recommended that the APR for the final year of the project add sections on lessons learned and planning for sustainability (exit strategy). APRs may address the main lessons learned in terms of best and worst practices, the likelihood of success and recommendations for follow-up actions where necessary. APRs may also be used to share results and problems with beneficiaries, partners and stakeholders and to solicit their feedback.

■ Decision-making: The partners may use the APR for planning future actions and implementation strategies, tracking progress in achieving outputs, approaching "soft interventions", and developing partnerships and alliances. The APR allows UNDP, steering committees and 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 CO management for action or input to the country annual review, contributing to discussion on results achieved, key problems and next steps.

Content and Format of the APR: The APR is very brief and contains the basic minimum elements required for the assessment of results, major problems and proposed actions. These elements include:

■ An analysis of 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;

■ Three (at most) major constraints to achievement of results;

■ Lessons learned;

■ Clear recommendations for the future approach to addressing the main problems contributing to lack of progress.

Beyond the minimum content, additional elements may be added as required by UNDP, the project management or other partners. For example, some offices may want to include management issues such as output expenditure, implementation problems (i.e. how the management arrangements work), the adequacy of implementation approaches and strategies, external factors affecting relevance, staff issues and team work. The more that is added, however, the less easy it may be to focus on the key issues. Also, in the interest of harmonization, donor report formats may be used—as long as information on outcome, output and partnership strategies is included. (See Annex C for an APR format.)

OUTCOME GROUPS

Another 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".

UNDP policy: Country offices need 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 use existing mechanisms such as established programme steering committees, thematic groups or sectoral coordination groups. If regular mechanisms do not exist, the CO may bring key partners together at periodic meetings. 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 SRF and ROAR 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 UNDP projects and partners towards results.

Participation: Participants in outcome groups include UNDP Programme Managers and Project Directors. Outcome groups also involve the Assistant Resident Representative or Deputy Resident Representative and government 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, 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 CO

Management to problems or issues that might be common across results or areas. Outcome groups should not increase transaction costs by looking at at all project details.

Organization: The Programme Manager is responsible for ensuring that there is consultation and analysis to support the monitoring of outcomes. For practical reasons, COs generally use existing fora, if available. If there are many SRF outcomes, some COs may want to cluster them, perhaps under the Stategic Areas of Support (SAS) or thematic areas.

ANNUAL REVIEW

UNDP policy: The annual review (AR) connects reporting, feedback, evaluation and learning to assess performance as a basis for the annual ROAR. It is essential that the ROAR is prepared from analysis based on consultations with partners. The AR is held towards the end of the year (October to December) in order to feed into the ROAR preparation. The review is fully managed at the country level, as decided by the UNDP country office.

Purpose: The AR is a management dialogue at country level to assess progress towards results (outputs and outcomes) that can be used for building a consensus and a mutual understanding between UNDP and its partners around common outcomes (results). It involves an assessment by CO managers with partners of SRF outcomes and their contribution to goals at the Country Programme (or CCF) level, as a basis for the ROAR. The discussions are meant to guide the planning of UNDP assistance over the next 12 months. The AR is the key vehicle for learning by determining overall and general lessons learned and reviewing recommendations of outcome evaluations.

Participation: The entire country office is involved in the review to varying degrees, and in particular the country office management. Also involved are key partners including the UN Country Team, the government coordinating authority, project management and counterparts. The Regional Bureau may also decide on the extent of its involvement, perhaps taking part directly or electronically, or simply being informed of major findings.

Organization: The scope of the review must be balanced between its complexity and added value. It would depend on how well the CO has involved partners in the issues during the year; for example, many of the AR issues would already have been covered if outcome monitoring with partners has been regular, leading to a simpler AR. A focused approach is recommended so that the key issues and/or outcomes are addressed. The CO may wish to adapt the approach as the Country Programme evolves. To determine the most effective approach, the CO reflects on the three questions in Table 2: What do we want to get out of the annual review? Who needs to be involved? What should we or shouldn't we focus on?

Documentation: There is no formal documentation required for the AR, as it may take different approaches. The preparatory work is based on internal CO discussions to review performance based on the APRs, Country Programme (or CCF), SRF, management issues, evaluations and other relevant information on project performance and progress towards outcomes. In some countries, it may be useful to share the SRF

TABLE 2. QUESTIONS TO ASK WHEN PLANNING AN ANNUAL REVIEW		
KEY QUESTIONS	**IF THE SITUATION IS...**	**...THEN, THE CO MIGHT WANT TO:**
What do we want to get out of the annual review?	Partners are not very involved or informed about results and UNDP's approach.	Focus more on information-sharing, less on planning and problem-solving. Involve key allies or government to generate interest. Seize the opportunity to engage partners.
	There is a controversial area or outcome. There are different views on progress.	Aim for consensus-building. Identify areas of conflict. Use facilitators? Meet and consult individually and then bring "adversaries" together. Use the review to improve progress.
	There are delays in progress and achievements in all or key areas.	Make strategy-setting and planning the main purpose. Get key decision makers to take part. Put more emphasis on planning than on reporting.
Who needs to be involved?	A large number of partners are involved, or a very large UNDP programme.	Avoid one large meeting that might be too unwieldy. Instead, use existing mechanisms such as thematic groups or hold outcome/sector/project meetings. Concentrate on the most key outcomes within the SRF.
	Some partners are involved in many (two or more) of the outcomes.	Avoid overloading partners with many separate meetings. Several outcome or theme consultations may be more effective, as would a focus on "exceptional" outcomes/projects. A more limited policy level meeting with all parties at the end allows for the "big picture" negotiations.
	There are few key partners in the country.	One meeting bringing them all together may be most effective. This is good for a full overview with key partners but requires effort and does not allow in-depth discussion of all issues.
	The government is strongly engaged in coordinating UNDP assistance.	Consult the government on the organization of the review, or organize it together.
What to focus on — or not focus on?	There are one or several outcomes that are more difficult or controversial than others.	Focus discussions on the difficult and controversial outcomes. For easier ones, it may be possible to simply produce the ROAR and share information on it.
	There are outcomes/projects with already excellent "sectoral" coordination. There are national programmes with coordination mechanisms that work.	Because there is probably enough consultation around these outcomes already, produce the ROAR and share information on it. Focus on other outcomes or issues.
	An outcome evaluation or a stakeholder meeting for a project has just taken place.	Use information from the consultations as input to the ROAR. The annual review need only discuss these evaluations or meetings if there are policy issues that require solving by all parties.
	There are outcomes and projects for which progress is straightforward or is being achieved.	It is probably possible to produce the ROAR and simply share information on it.

and/or the draft of the current ROAR compiled from the APRs as a basis for discussion. This would allow the partners to agree on the achievements reported. In other circumstances, information is provided on the key results in a different format. The APRs could be distributed at separate meetings taking place on specific outcomes. At a larger meeting, however, it would be more efficient to distribute a consolidated list

of issues arising from the APRs, noting problems and recommendations, evaluations and steering committee deliberations.

The progress towards outcomes reported in the annual review feeds into the ROAR. To ensure follow-up on other aspects discussed in the review, the CO should prepare brief records of decisions, conclusions and lessons learned during the AR 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 AR process.

Review of the CCA and UNDAF: The UNDP contribution within the United Nations Development Assistance Framework (UNDAF) is covered by the regular monitoring of outputs and outcomes. The annual review may be used to provide information to periodic reviews of the common country assessment (CCA) and UNDAF, where they exist. (See http://www.dgo.org for guidelines on the CCA and UNDAF.)

The Evaluation Process ("how to…")

How do country offices 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. (Full *"Guidelines for Outcome Evaluators"* are one of the companion series to this *Handbook*.)

This chapter covers:

A. **Preparing for an evaluation**
- Purpose and timing
- Involving partners and stakeholders
- Revisiting the outcome
- Defining the scope
- Drafting the terms of reference
- Budgeting
- Organizing the relevant documentation
- Forming the evaluation focal team within the UNDP country office
- Selecting the evaluation team

B. **Managing an evaluation**
- Collecting and analyzing data
- Backstopping and feedback
- Reporting
- 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.

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 each country office is required to evaluate in a given Country Programme (CP) cycle. A variety of outcome evaluations—each with different purposes, scopes and timing—will take place during the CP cycle. Country offices should strive to identify, at least generally, the purpose and timing of their 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 UNDP began working towards an outcome in year one of the CP 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 of might be most strategically placed at the beginning of year five if the country office 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 country offices elect 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 3. (See also Annex B.)

TABLE 3. POSSIBLE TIMING, PURPOSE AND DURATION OF OUTCOME EVALUATIONS		
TIMING	**EXAMPLES OF PURPOSES**	**DURATION**
Early in the CP cycle: Years 1–2	To check early strategy for a particularly ambitious outcome	Shorter-term
Middle of the CP cycle: Years 2–3	To prompt mid-course adjustments in output production	Medium-term
End of the CP cycle: Years 4–5	To learn lessons for the next Country Programme formulation	Longer-term

INVOLVING PARTNERS AND STAKEHOLDERS

An emphasis on results places an even greater emphasis on the involvement of partners (those with whom UNDP 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 4, should be involved in every step of an outcome evaluation. 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 stakeholders will include the same actors and agencies. Indeed, 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 civil society's advocacy power with Parliament, for example, the Parliament may be a stakeholder; a donor government agency may be both partner and stakeholder; and civil society organizations may be partners, stakeholders and "beneficiaries."

BOX 4. KEY PARTNERS AND STAKEHOLDERS
National authorities
Civil society organizations
National and international NGOs
UN agencies
Private sector
Other donors
Academic institutions

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.

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 reidentify 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 country office staff from regular monitoring reports, from the SRF/ROAR and from the evaluation plan prepared by each country office, which 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.

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.[11] Senior country office management, the programme staff, the National Human Development Report staff (who can provide important contextual analysis on the outcome), 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 UNDP's control that influence the outcome;

3. **UNDP contribution:** Whether or not UNDP'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 5);

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

BOX 5. MEASUREMENT, ATTRIBUTION AND CREDIBLE LINKAGES

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

Example: A country office defines an outcome in terms of the "more effective regulations for municipal decentralization". The country office reflects in the SRF/ ROAR that it is assisting the country in (1) facilitating the discussion process on the legal regulations for decentralization, (2) pilot testing in municipalities to extract experiences on decentralized budget execution, and (3) promoting community empowerment for planning local development. The outputs have made a clear contribution to a more effective decentralization process, and can be claimed to be conducive to the achievement of the outcome. In contrast, credit could not be claimed by UNDP for the approval of the law (which is Parliament's mandate) nor its effective implementation (which is the municipalities' mandate).

Source: Adapted in part from the Multi-Year Funding Framework Report by the Administrator, 1998.

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[11] Exceptions to this generality could occur. For example, an evaluation of an extremely large, complex and long-term project could conceivably be of a larger scope that an early, light outcome evaluation conducted one or two years into the Country Programme.

Country offices may wish to emphasize one category of analysis over the others, influencing the scope of the evaluation. In Table 4, the dimension of "scope" is added to the list presented in Table 3 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 key development issues of Sustainable Human Development;

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

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

■ Identification of direct and indirect beneficiaries and their perceptions of how they have benefited from the UNDP 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?).

TABLE 4. VARIATIONS IN TIMING, PURPOSE AND DURATION AND SCOPE OF OUTCOME EVALUATIONS		
TIMING	**EXAMPLES OF PURPOSES**	**DURATION**
Early in the CP 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 UNDP ■ Partnership strategy and formulation	**Shorter-Term**
Middle of the CP 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 UNDP ■ Partnership strategy and formulation ■ Production of outputs (possibly with partners)	**Medium-Term**
End of the CP cycle: Years 4–5	**Purpose:** To learn lessons for next CP formulation **Scope**: ■ Status of outcome and factors affecting it ■ Relevance of outcome/outputs ■ Strategic positioning of UNDP ■ Production of outputs ■ Partnership strategy, formulation and performance	**Longer-Term**

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.

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 B for specific information on the terms of reference for evaluations, including detailed guidance on outcome evaluations.)

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, the UNDP country office should consider the following factors:

- The **scope, complexity** and **time commitments** of the evaluation: An outcome evaluation conducted early in the Country Programme 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 Country Programme. 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 5 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 country offices provide 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. Country offices also are 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 UNDP outputs. Field visits and interviews may be quite brief for outcome evaluations conducted earlier in the Country Programme. Later exercises require evaluators speak with a wider variety of stakeholders and partners, thereby influencing travel, DSA and consultancy costs.

TABLE 5. SAMPLE COMPARISON OF TIME AND RESOURCE REQUIREMENTS FOR OUTCOME EVALUATIONS			
TIME REQUIRED FOR:	**EARLY IN CP YEARS 1–2**	**MIDDLE OF CP YEARS 2–3**	**END OF CP YEARS 4–5**
Initial visit of team leader	1 day	3 days	1 week
Desk reviews	4 days	1 1/2 weeks	2 to 3 weeks
Evaluation mission ■ Drafting evaluation report ■ Debriefing	1 1/2 to 2 weeks, including: ■ 1/2 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	1 1/2 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 consultants—research	1 for 1 week	2 for 2 weeks	9 to 10 weeks
International experts—mission	1 for 1 to 2 weeks	1 for 2 to 3 weeks	2 for 3 weeks
National experts—mission	1 for 3 to 4 weeks	1 for 4 weeks	1 for 6 weeks
Travel costs	Travel and DSA for national and international experts	Travel and DSA for national and international experts	Travel and DSA for national and international experts

- **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 UNDP 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. These criteria could increase the consultancy costs for the mission.

ORGANIZING THE RELEVANT DOCUMENTATION

Once the scope of an evaluation has been defined, the CO gathers the basic documentation and provides it to the evaluation team. Preliminary deskwork may be carried out to gather information on activities and outputs of partners, previous UNDP-related assistance and the current situation of the project, programme or 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:

- **Country Programme (or CCF):** This addresses the key outcomes that UNDP had planned to achieve in a three- to five-year time period. It also provides background information and UNDP's perspective on development in a given country.

- **Country Office SRF and ROAR:** The SRF and ROAR present some of the projects and programmes 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.

- **CCA Report and UNDAF:** These documents include baseline information on the country development situation, partnerships and joint activities of UNDP and other UN agencies.

- **Monitoring and evaluation reports:** These include evaluation reports on related subjects, APRs, field visit reports and other outcome and key programme or project documentation.

- **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 UNDP 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 UNDP 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 national research institutes.

- **Research Papers:** Topics related to the outcome being evaluated may have been addressed in research papers from the government, NGOs, international financial institutions, academia, the National Human Development Report and other sources.

The above sources are expected to yield information about the four categories of analysis (outcome status, underlying factors, UNDP contribution, partnership strategy) in an outcome evaluation. Table 6 indicates how relevant documentation can support the analysis of these four factors.

TABLE 6. DOCUMENTATION SOURCES AND CORRESPONDING CATEGORIES OF ANALYSIS				
SOURCE OF INFORMATION	**WHAT IT MAY TELL YOU ABOUT**			
	Outcome status	**Underlying Factors**	**UNDP contribution**	**Partnership strategy**
CCF/Country Programme	X	X	X	X
SRF/ROAR	X		X	X
CCA/UNDAF	X	X	X	X
Monitoring and evaluation reports	X	X	X	X
Regional/Sub-regional reports			X	X
Partners' reports	X	X		X
Official source data	X	X		
Research papers	X	X		

FORMING THE EVALUATION FOCAL TEAM WITHIN THE UNDP COUNTRY OFFICE

For outcome evaluations, it is recommended that the senior management of the country office form a small evaluation focal team (EFT) within the programme unit, as described in Box 6. This team of two to four members 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 UNDP 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 unit, 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 country office 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 office, soft assistance and the SRF; and contributes first-hand information on planned or potential assistance (e.g. preliminary discussions with high-level authorities on specific assistance or services and soft pipeline).

- **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 (e.g. governance, environment, gender, risk management).

- **Human Development Report staff:** If available, this staff provides the team with recent information on human development variables, statistics and other relevant information.

- **"Think tank" staff:** If available, this staff provides context, suggestions on how to approach outcome-related matters, hints on sources of information and contacts with key partners.

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

SELECTING THE EVALUATION TEAM

Beyond the country office'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 UNDP, 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 hiring firms or individuals as evaluators.) All members of a team must be independent—with absolutely no connections to the design, formulation or implementation of the UNDP or partner outcomes, programmes, projects or activities in question. The team must not include government civil servants 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.

When creating a team for an outcome evaluation, country offices are encouraged to include UNDP staff members from other countries or regions, when possible. This helps to maximize knowledge sharing and staff learning and capacity development across regions and countries. These UNDP staff members—who should be at the level of country office programme management or senior management—must not have had any connection with the design, formulation or pursuit of the outcome in question or with any of its associated projects, programmes or activities.

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

- Technical knowledge and experience in UNDP'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) if the evaluation is 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 UNDP's assistance and the role it plays in bringing about development change.

B. Managing and 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 responsbilities belong to the UNDP country office staff—usually the Programme Manager, outcome group or evaluation focal team. Detailed guidance for outcome evaluators is provided in a companion publication to this *Handbook*, entitled *Guidelines for Outcome Evaluators*.

COLLECTING AND ANALYZING DATA

Most of the primary data collection and analysis for an outcome evaluation is the responsibility of the country office, more specifically, the EFT (if there is one). The EFT decides which 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 development changes 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 7.

TABLE 7. EXAMPLES OF A MIXTURE OF APPROACHES IN AN OUTCOME EVALUATION		
OUTCOME	**QUANTITATIVE ANALYSIS**	**QUALITATIVE ANALYSIS**
Improvement of legislative capacity	Data on the number of laws passed by the parliament—when, on what subjects and whether they were sponsored by the government or were private member bills.	Analysis of how many of those laws were technically complex and/or addressed significant national priorities; how many were technically proficient (were well written and constitutional); and how participatory and transparent the process was.
Increased transparency in the public sector	Data on the number of corruption cases presented for adjudication and the number to reach a final decision.	Analysis of how the process was carried out and how citizens perceived it.

BACKSTOPPING AND FEEDBACK

The UNDP country office staff 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.

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 UNDP'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. (See Annex D for a field visit report.)

Once the first draft of the evaluation report is submitted, the EFT or relevant UNDP country office staff (e.g. focal point for the evaluation, project 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 country office. Depending upon the complexity of the evaluation findings, the country office 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 report draft.

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[12]

Joint evaluations may be conducted within the context of any kind of evaluation and in partnership between UNDP and donors, governments or other partners. Joint

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[12] Joint evaluations will be covered in more depth in the companion series to this *Handbook*.

evaluations will be covered in more depth in the companion series to this *Handbook*. 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. 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 labor:** The senior management of the UNDP country office 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 in respective home countries?

3. **Select the funding modality:** A number of funding modalities are available for joint evaluations. UNDP 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 UNDP 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 UNDP 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 in donor countries 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 UNDP and the counterpart(s).

6. **Conduct the evaluation:** Experts recruited separately by UNDP and the counter-part(s) should undertake field missions together, to the extent possible. For example, a group of four evaluators—two selected by UNDP and two by a donor country—may pair off to optimize their time in a given country or region, but it is best if each pairs inlcudes one expert from each "side". Also, the participation on the evaluation team of a representative of UNDP and/or the counterpart(s) may enhance the opportunity for capacity development among UNDP 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 UNDP 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.
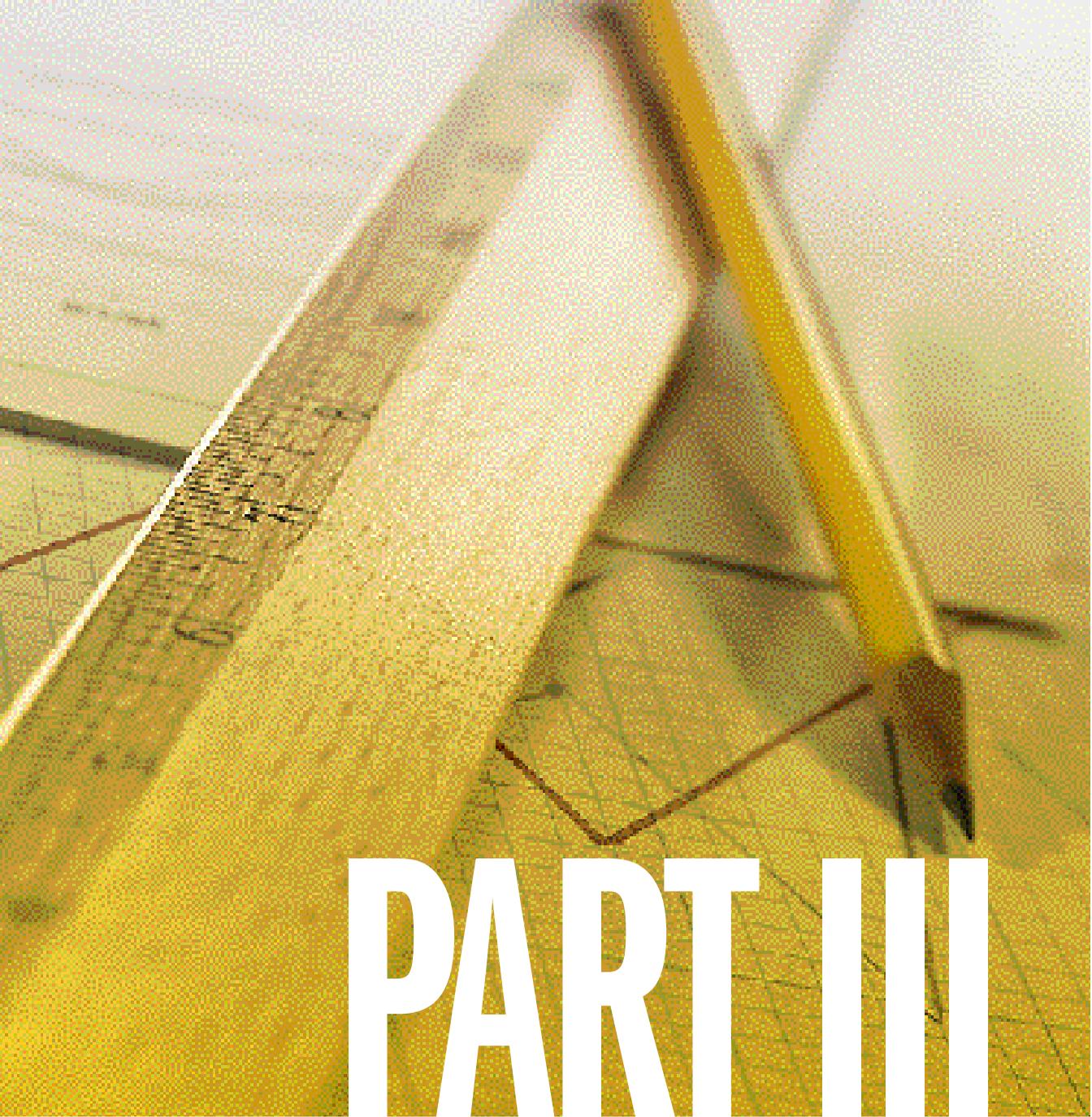
PART III

Monitoring and Evaluating Performance

Figures, Tables and Boxes for Part III

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 UNDP-supported assistance.[13]

This chapter covers:

- A. Performance Measurement
  - ■ Rating system
- B. Selecting Indicators
  - ■ Key steps in selecting indicators
  - ■ Indicator planning
- C. Using indicators
  - ■ Involving stakeholders
  - ■ Using indicators for monitoring

A. 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 APR, evaluations and the ROAR provide the means to assess performance at the country office level.

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[13] Indicators of performance for corporate planning within UNDP are outside the scope of this *Handbook*.

FIGURE 1. DIMENSIONS OF PERFORMANCE ASSESSMENT

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

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.
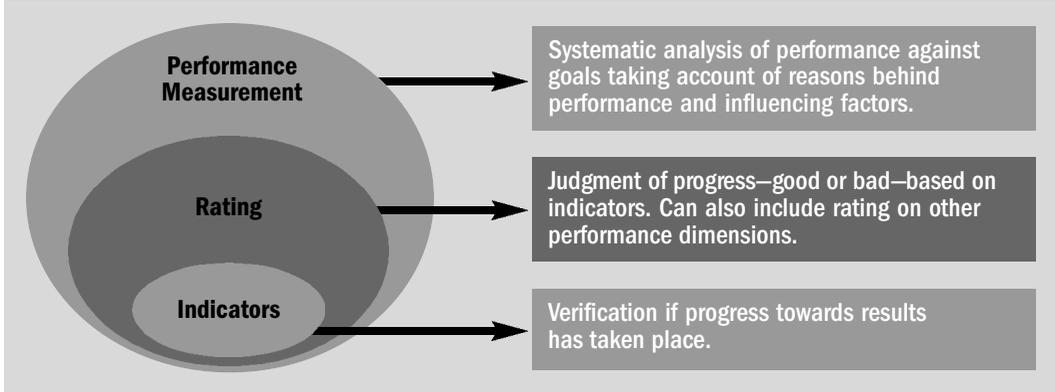
In any given country office, results-based management may also inform the assessment of performance of projects, programmes, programme areas, groups of staff and individuals—should the CO find it useful. Figure 1 illustrates the linkages between performance measurement, rating and indicators as elements of performance assessment.

RATING SYSTEM

The growing internalization of RBM within UNDP is gradually allowing for an expanded use of reported performance results for internal management and oversight functions. A key area for such expanded use involves the development of a **common rating system** for all results reported by the organization under the RBM framework. Such a system allows UNDP to rate performance at the results level, and to analyze and compare trends by thematic category (e.g., governance, poverty or environment); level of intervention (e.g., project, output or outcome); geographic area (e.g., Africa, Asia or Latin America); or organizational unit (e.g., country offices, regional bureaux or functional bureaux). A common rating system would build on the three-point rating system developed in the ROAR.[2]

A common rating system may be used for all key monitoring and evaluation tools (the ROAR, the APR, field visits and outcome evaluations) to compare performance across results. With this approach, there are two kinds of ratings: self-ratings (as in the APR) and independent ratings (as in outcome evaluations). Having two kinds of ratings that use the same rating criteria allows a richer picture of how progress towards results is perceived by the UNDP CO, by UNDP HQ and by independent assessors. It also provides the basis for dialogue within and between the CO and HQ if ratings for the same outputs or outcomes vary.

Key elements of the common rating system:

For outcomes, the rating system has three points: positive change, negative change and unchanged (no change). The three ratings reflect progress on outcomes, without

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[14] A three-point rating system (positive change, negative change, unchanged) for outcomes and (achieved, not achieved, partially achieved) for annual output targets was originally developed for the ROAR. This system allowed UNDP to determine output and outcome performance rates and compare them across countries, regions, goals, sub-goals and so on. It was completed by analysts at HQ, was not typically shared with country offices and was not compared with country office rating of the same changes.

attributing the progress to any partner. The three ratings are meant to reflect the degree to which progress has been made towards or away from achieving the outcome. The methodology in all three ratings is to compare, as measured by outcome indicators, the evidence of movement from the baseline either towards or away from the end-SRF target.

- Positive change—positive movement from baseline to SRF target as measured by the outcome indicator(s);
- Negative change—reversal to a level below the baseline as measured by the outcome indicator(s);
- Unchanged—no perceptible change between baseline and SRF target as measured by the outcome indicator(s).

For outputs, the rating system also has three points: no, partial and yes. The three ratings reflect the degree to which an output's targets have been met. This serves as a proxy assessment of how successful an organizational unit has been in achieving its SRF outputs. The three ratings are meant to reflect the degree of achievement of outputs by comparing baselines (the inexistence of the output) with the target (the production of the output). The "partially achieved" category is meant to capture those en route or particularly ambitious outputs that may take considerable inputs and time to come to fruition.

- No—not achieved;
- Partial—only if two-thirds or more of a quantitative target is achieved;
- Yes—achieved.

This results rating system applies to the ROAR, to evaluations and to select country office reports.

The **ROAR** rates progress towards outputs and outcomes. The rating is made annually by a ROAR analyst team at Headquarters. The ratings are used to report trends and progress to external stakeholders, as well as to identify weak areas for improvement by the organization. Feedback to the country offices on the ratings should stimulate debate on progress and needed action. Because country offices will receive information via other sources—outcome evaluations and key monitoring tools—using the same ratings, they will have a basis to discuss results, and perceptions of the progress towards them, with Headquarters.

Evaluations, at a minimum, rate outcome and output progress. Outcome evaluations, which are undertaken by independent assessment teams, may also rate key performance dimensions such as sustainability, relevance and cost-effectiveness. Other types of assessments should also provide ratings where appropriate, such as assessments of development results by the Evaluation Office. The ratings will be used for trend analysis and lessons learned corporately, as well as for validation of country-level results and debate on performance at country level. (See *Guidelines for Outcome Evaluators* in the companion series to this *Handbook* for more on the rating system to be used by outcome evaluators.)

Selected **country-level monitoring reports** rate outcome and output progress for projects, on a voluntary basis. For the Annual Project Report (APR), the rating on progress towards outputs is made annually by the Project Manager and the Programme Manager. It forms the basis of a dialogue in which consensus ratings for the **outputs** are produced. If there is disagreement between the project and programme staff on how

outputs are rated, both ratings are included in the report, with proper attribution. The rating on progress towards outcomes in the APR is made by the Programme Manager and/or other country office staff. For field visits, UNDP Programme Managers and/or other CO staff periodically rate progress towards both **outputs and outcomes**, discussing their ratings with the project staff. The ratings are used by the CO to assess project performance and for trend analysis and lessons learned. They may also be used corporately for validation and lessons learned.

For an effective use of performance assessment and rating, the country office may want to:

- Debate and determine the use that will be made of the results to be obtained from the performance assessment system, such as analyzing trends, targeting projects for improvement, contributing to RCA ratings and extending the contracts of project staff;

- Share information with the relevant CO and project staff about how the rating system will be used so that there are no false expectations regarding its application;

- Determine organizational unit and individual responsibility for performance assessment and rating as well as control measures to mitigate biases by "raters";

- Qualify quantitative rankings with qualitative performance assessments.

(See *Guidelines for Outcome Evaluators* in the companion series to this *Handbook* and the Annexes for more detailed discussion of the use of rating for relevant monitoring and evaluation tools—specifically, the APR, the field visit and the outcome evaluation.)

B. Selecting Indicators

Much of the following information is more relevant to Programme Managers and Senior Country Office Managers than it is to Project Managers, who deal mainly with output indicators for which baselines, targets and information gathering are fairly clear-cut. Programme Managers and Senior CO Managers are concerned with more complex indicators that reflect progress towards outcomes. Some key steps for UNDP managers in working with indicators are outlined below.

KEY STEPS IN SELECTING INDICATORS

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.)

- If wider access to education is the intended result, for example, school enrollment may provide a good indicator. Monitoring of results may start with a baseline of 55 percent enrollment in 1997 and a target of 80 percent enrollment in 2002.

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 development problem 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 some cases, it may be possible to find estimates of approximately where the baseline was when the programme started through the CCA and annual review exercises and national administrative sources.

■ For example, implementation of a local governance project already has begun but no baseline data can be found. It still may be possible to obtain a measure of change over time. Ask a number of people: "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.

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 project document (or PSD) for more information about context and problems 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 managers aware of potential problems or areas of success. This is often the case for outcomes in policy dialogue, governance and other 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 environmental protection programme where a target result is the improvement in the health of certain lakes, the level of toxins in duck eggs may serve as a proxy indicator of that improvement.[15]

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 project and programme 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 administrative sources.

■ For the outcome "effective legal and policy framework for decentralization", for example, the indicator "proportion of total public revenues allocated and managed

[15] Allen, John R., "Performance Measurement: How to Do It, How to Use It," paper presented at a workshop sponsored by the American Evaluation Association, Atlanta, November 1996.

PART III — CHAPTER 6

at sub-national level" may demonstrate an increased overall distribution of resources to the local level but hide large disparities in distribution to some regions.

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. Partners are involved in the selection of **outcome** indicators through the Country Programme and SRF 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, in contrast, necessitates some qualitative assessment of attitudes and behaviors because it involves people's adaptability to a changing environment. Methodologies such as beneficiary assessment, rapid rural appraisal (RRA) 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 CO 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 selection table developed by UNDP Mali.

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)

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.

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.**

Responsibility for data collection and analysis belongs primarily to the Programme Manager, who consults when necessary with the senior CO 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. Use existing sources and processes such as the NHDR and the CCA. The majority of outcomes will be identified at the Country Programme or SRF 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 than those found in the SRF. 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 sources rather than collection by the CO or the project, to the extent possible. For the outcome "responsiveness of national policies to gender issues", for example, the indicator "government policy statements and plans include targets from the improvement in the status of women" is 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 beneficiaries on outcomes. This might be accomplished through household surveys, individual surveys and consultations with members of the community and stakeholders.

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 and national systems.

An **outcome monitoring plan** drawn up by the programme management helps to ensure that the CO continuously collects information on the outcome and periodically analyzes it to chart progress, as discussed in Chapter 3. Country offices that establish an outcome monitoring plan must be sure to 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, should a country office decide to use one, identify 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 PLAN[16]						
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, Programme Managers should plan to collect data through alternative instruments and/or approaches, such as:

- 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 "participatory" 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.

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[16] USAID Performance Monitoring Plan, TIPS No. 7

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 project or programme. For UNDP, 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 development problem at the SRF Sub-Goal 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(s) 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 groups and describe how they 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 problems 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 behavioral definitions.

C. Using Indicators

INVOLVING STAKEHOLDERS

The country office—specifically, the Programme Manager in direct consultation with the senior CO 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 visual on-site 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.

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 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 outcome 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 Annual Project Report (APR) is too infrequent to allow early action in case there are delays or problems in the production of outputs.

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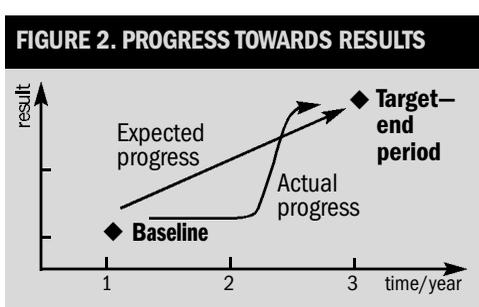
Note: Progress is rarely linear. In this example, if one were to look at the indicator at the beginning of year 2, it would reveal that no progress has been made against expectations. Later, if one were to look at the indicator again at the end of year 2, it would reveal substantial progress even beyond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

For outcome indicators, annual monitoring is more appropriate and is accomplished through input from the technical project experts in the APR, discussions at the Steering Committee 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 CCA and Country Programme preparation, mid-term in the Country Programme and/or UNDAF, and towards the end of the Country Programme or SRF period.
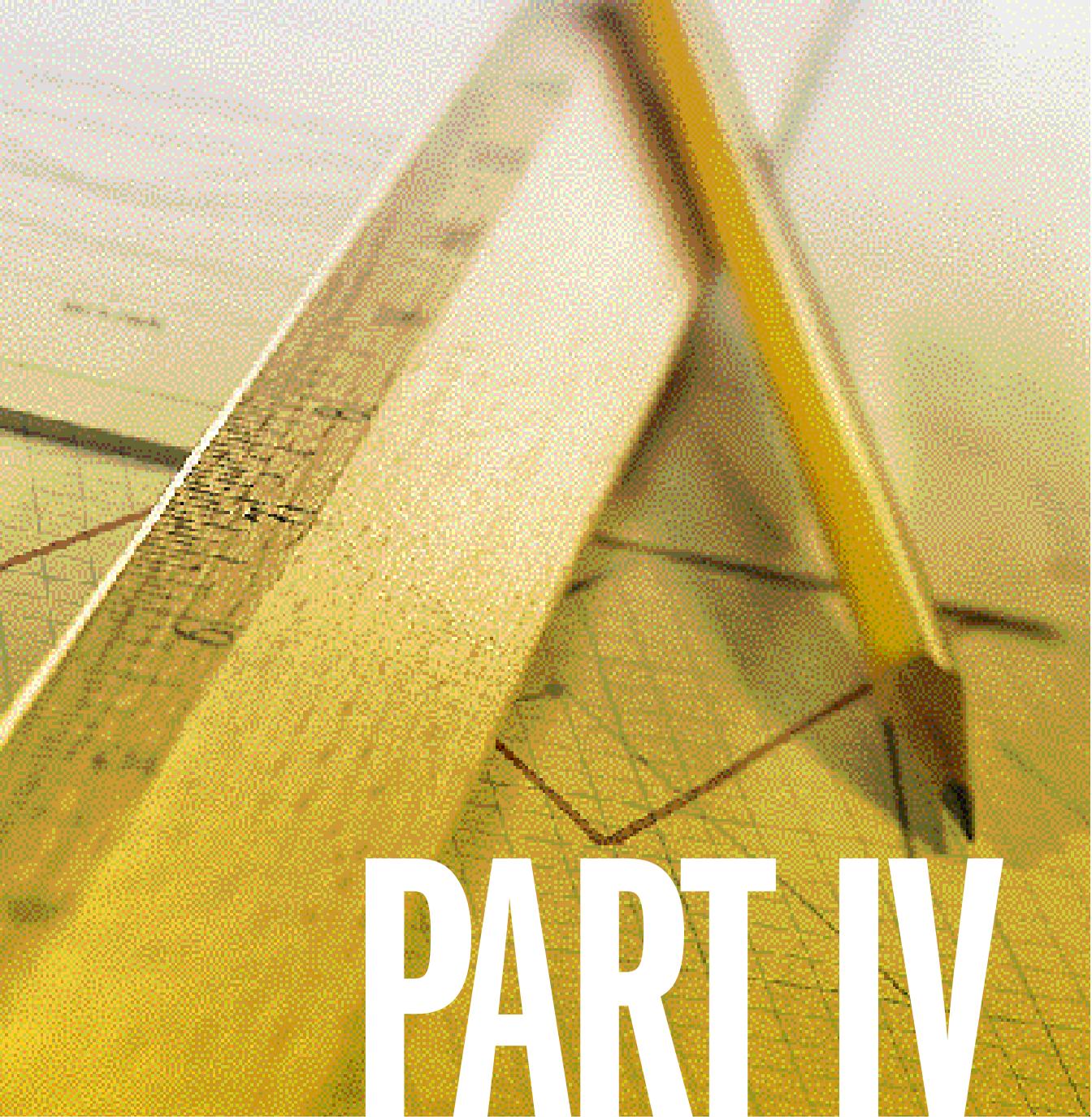
PART IV

Use of Monitoring and Evaluation Information

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, monitoring and evaluation information, and the purposes of evaluation. It describes how to ensure effective feedback on monitoring and evaluation results, touches on evaluative evidence and discusses lessons learned.

A. Introduction

Knowledge gained through monitoring and evaluation is at the core of UNDP'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.

At country office level, UNDP uses and applies learning from monitoring and evaluation to improve the overall performance and quality of results of ongoing and future projects, programmes and strategies. Learning is particularly significant for UNDP support to the policy reform process, which is often innovative 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 placed on UNDP'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. A monitoring and evaluation framework that generates knowledge, promotes learning and guides action is, in its own right, an important means of capacity development and sustainability of national results.

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

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 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.

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 SRF outcome that is pursued by many COs are more likely to be replicable beyond that country 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 development learning. It helps to test systematically the validity, relevance and progress of the development hypotheses. To

maximize learning, country offices 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.

B. Knowledge and Learning from Experience

DEFINITIONS

The UNDP country office needs to use information and evaluative evidence effectively in order to manage development 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 development issues.[17]

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**. (See Chapter 1.)

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 projects 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 development context;

- ■ The attempt to avoid any preconceptions in the assessment.

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

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.

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 UNDP works to make UNDP 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 unnecessary 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.

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.

UNDP'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. Feedback from Monitoring and Evaluation

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

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[18] See http://groups.undp.org/km-strategy/workshop/km_annotated_agenda.html

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 same is true for the flow of information **within** the CO 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, 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 project and programme 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 CO 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 CO, national or UNDP corporate databases and other 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 countries and geographical locations.

Focusing on outcomes means that UNDP deals with partners—government and donor agencies, non-governmental organizations, parliaments—whose development activities, like UNDP'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 knowledge), the information that COs 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 asked to analyze emerging monitoring and evaluation issues (e.g., methodologies for data collection, analysis, policy dialogues and advocacy) and advise UNDP to identify gaps and duplication.

THE FEEDBACK PROCESS

The feedback process for COs 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, for each staff level and partners, the purpose for generating knowledge or decision-making information and its scope;

■ 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 corporate 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) consistent with UNDP's knowledge-management strategy;

- Share knowledge and learning with communities of practice, using the global knowledge networks;

- 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.

BOX 3.THE MONITORING AND EVALUATION FEEDBACK PROCESS

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

The key steps in the monitoring and evaluation feedback process, as outlined in Box 3, should use the princples outlined above to "close the loop" of using feedback to made better decisions. Feedback should be action-oriented and designed in a way that it can aid 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. 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.

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 project, programme, senior CO and HQ 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 UNDP and the larger international donor community, containing lessons on the design, implementation, monitoring and evaluation of technical cooperation programmes and projects in developing countries. Some of the most important sources for such information are listed below.

Evaluation databases and search engines: CEDAB (UNDP's central evaluation database) provides access to past evaluations and is available at http://intra.undp.org/eo/cedab. The Evaluation Office is also designing an evaluation search engine to provide access to evaluative knowledge. It will function as a knowledge repository linking UNDP to various evaluation websites and will provide access to empirical evidence. In addition, the evaluation databases of the international donor community contain lessons on the design, implementation, monitoring and evaluation of technical cooperation programmes and projects in developing countries. These include IFAD, OECD/DAC, World

Bank and UNICEF. (For important databases, see the bibliography and links annex and http://www.undp.org/eo.)

SRF/ROAR processes: These annually identify and systematically update information on specific strategic priorities of country offices, regional strategies, programmes, support services, management plans and key benchmarks based on lessons learned. They also focus on UNDP's achievements with stakeholders, advocacy, partnership building, resource mobilization and major SHD concerns. UNDP staff can consult the Results-Based Management System (RBMS) for information about the SRF/ROAR process at http://intra.undp.org/osg/results.

Other key country specific reports or documents: These include outcome and project evaluation reports, Country Programmes and Country Cooperation Frameworks (CCF), CCA/UNDAF and Country Reviews. Lessons learned from these sources would be most useful coming from other countries or regional programmes with similar outcomes or projects.

National databases: These databases are wide-ranging and 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 for CCA or project formulation.

Global networks and communities of practice: The role of global networks and communities of practice is important in scope and effectiveness, providing a valuable source of information for monitoring and evaluation. They are intended 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 development issues, selection of consultants, development of knowledge products and adoption of standards for accessing new information, among other functions).

BOX 4. OUTCOME COMMUNITIES OF PRACTICE

Communities of practice can be developed around outcomes to facilitate information exchange between country offices and between COs and major stakeholders in order to share information that will help maximize progress towards outcomes.

The Evaluation Planning and Tracking system could be used as a tool to initiate dialogue, as it will provide information about the evaluations scheduled, as well as recommendations and follow up actions on previous evaluations.(See the Evaluation and Planning Tracking System in Annex A.)

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, as noted in Box 4.

Global networks and communities of practice are both linked to UNDP's worldwide system of sub-regional resource facilities, or SURFs. Among the important services provided by the SURF system are referrals, responding to requests from country office and headquarters programme staff with advice or information. Referrals are based on queries related to UNDP programme policy or programme implementation (e.g., a request for a consultant, a comparative experience, funding sponsor, policy document, example, template or training opportunity). The SURF system, however, does not disseminate evaluative data per se.

The Evaluation Network or "EVALNET" functions more directly than the SURF system to support the design and development of information and knowledge products from monitoring and evaluation activities. This network, described in Box 5, remains largely driven by stakeholder participation.

BOX 5. UNDP EVALUATION NETWORK (EVALNET)

EVALNET is a group of UNDP staff, mainly from country offices that participate in UNDP evaluations, development of RBM tools and methodologies, and evaluation capacity development activities. The objectives of the network are to enhance UNDP as a learning organization and to promote results-oriented monitoring and evaluation as part of the UNDP organizational culture.

At the individual level, EVALNET members gain new insights on programme issues such as support to transition economies and newly created democracies, decentralization and local governance; operational matters such as the use of UNOPS as executing agency; RBM including indicators; and evaluation methodologies. Similarly, EVALNET members contribute their own expertise and help achieve cross-fertilization of ideas and promote learning from a broader perspective. The participation of EVALNET members from country offices also provides a reality check to corporate initiatives relating to the development of monitoring and evaluation methodologies, such as this *Handbook*.

Essentials: Each year, the Evaluation Office produces a series of publications entitled *Essentials*. These publications focus on thematic issues and provide succinct practitioner-oriented information based on scanning current conceptual and evaluative evidence from UNDP and other development organizations. Access *Essentials* on the Evaluation Office website at http://www.undp.org/eo.

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.

Any particular type of activity may require only a few of these sources, the most appropriate depending on scope, the nature of the issue being addressed, the target audience for the information and the previous experience of those requiring the information. Once relevant information is accessed through these tools, a thorough assessment must be undertaken to determine how to apply the recommendations from the feedback.

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 parts of the country 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 senior CO 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 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. (See the Evaluation and Tracking Plan in Annex A.)

Training sessions and workshops for UNDP staff are 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 UNDP 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.

PUBLICATION OF EVALUATIVE EVIDENCE AND FEEDBACK MATERIAL

> **BOX 6. CHARACTERISTICS OF A GOOD KNOWLEDGE PRODUCT**
>
> ■ Designed for a specific audience;
> ■ Relevant to decision-making needs, especially for country office staff;
> ■ Available when the "window of opportunity" for decision-making arises (i.e. timely);
> ■ Easily and quickly understood;
> ■ Based on sound methodological principles;
> ■ Delivered through recognized channels;
> ■ Areas of uncertainty and their significance clearly identified;
> ■ Accompanied by full acknowledgement of data or information sources;
> ■ Provides information on both tangible and intangible products and processes of development;
> ■ Available at minimal cost in terms of time, money and administrative costs.

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 7. 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.

BOX 7. ACTION POINTS TO IMPROVE EVALUATION FEEDBACK

■ Understand how learning happens within and outside the organization (identify where the blockages occur);

■ Assess how the relevance and timeliness of evaluation feedback can be improved, and ensure that this happens;

■ Be explicit in identifying key audiences for evaluation feedback and the reasons for wanting to reach them, both in general and in specific cases;

■ Get to know target groups better to learn what they want from evaluations, how they use evaluation information, and how feedback systems can respond better to these demands;

■ Develop a more strategic view of how feedback approaches can be tailored to the needs of different audiences;

■ Make sure the quality of evaluation outputs is up to standard—particularly in terms of brevity, clarity and presentation;

■ Consider diversifying the range of approaches used to communicate with audiences, using innovative methods where appropriate;

■ Improve evaluation websites and intranets, recognizing that ease of access and user-friendliness are key factors;

■ Ensure that full disclosure of evaluation reports becomes the norm and that proper approval and notification processes are in place so that senior management or key partners are not caught unawares by controversial findings;

■ Put more effort into finding better ways of involving country-level stakeholders in evaluation work, including the feedback of evaluation lessons, recognizing that language barriers are a key constraint;

■ Recruit specialist staff where necessary to fill skills gaps, particularly in communications work.

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 ROAR and the APR. Examples of how evaluative learning may be integrated within UNDP as an institution are provided in Box 8.

BOX 8. INSTITUTIONALIZATION OF LEARNING

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

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.

ROAR: In its submission of the ROAR, the country office should highlight in the narrative section the key lessons learned on each outcome—particularly the section on strategic issues and agreed actions. One of the major sources of such lessons learned is the Annual Review.

Conclusion

The monitoring and evaluation framework contained in this *Handbook* is not "cast in stone" but rather is expected to evolve and improve as practitioners 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 Evaluation Office's website (http://www.undp.org/eo/) will feature up-to-date resources on monitoring and evaluation methodologies, and the Office encourages country offices and headquarters units to use the website by sharing lessons learned and concerns. The website will contain frequently asked questions (FAQ), a constant update and development of **all** monitoring and evaluation methodologies within UNDP, references to other resources, training packages, examples of reports and tools, and sample TORs. It will also contain a companion series to this *Handbook*. Each installment will address a thematic issue related to monitoring and evaluation, with titles including *Guidelines for Outcome Evaluators, Monitoring and Evaluation in Post-Crisis Situations* and *Evaluation Capacity Development.*

Other funds and programmes of the United Nations are encouraged to use the website. The website and this *Handbook* will have some relevance because their monitoring and evaluation activities take place within the overall results-based framework of UNDP guidelines for monitoring and evaluation. In addition, however, these agencies also may need to refer to their own documents for guidance in reflecting their specific contribution to outcomes.[19]

The framework presented in this *Handbook* represents innovative change in terms of simplification and 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.

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[19] For example, United Nations Volunteers (UNV) helps achieve results at the grassroots/community level that can and should inform UNDP's upstream policy work. In this way, UNV complements UNDP in its effort to promote more people-oriented and participatory development. Country offices should ensure that results achieved in such partnerships are captured and fully reflected in their reporting.
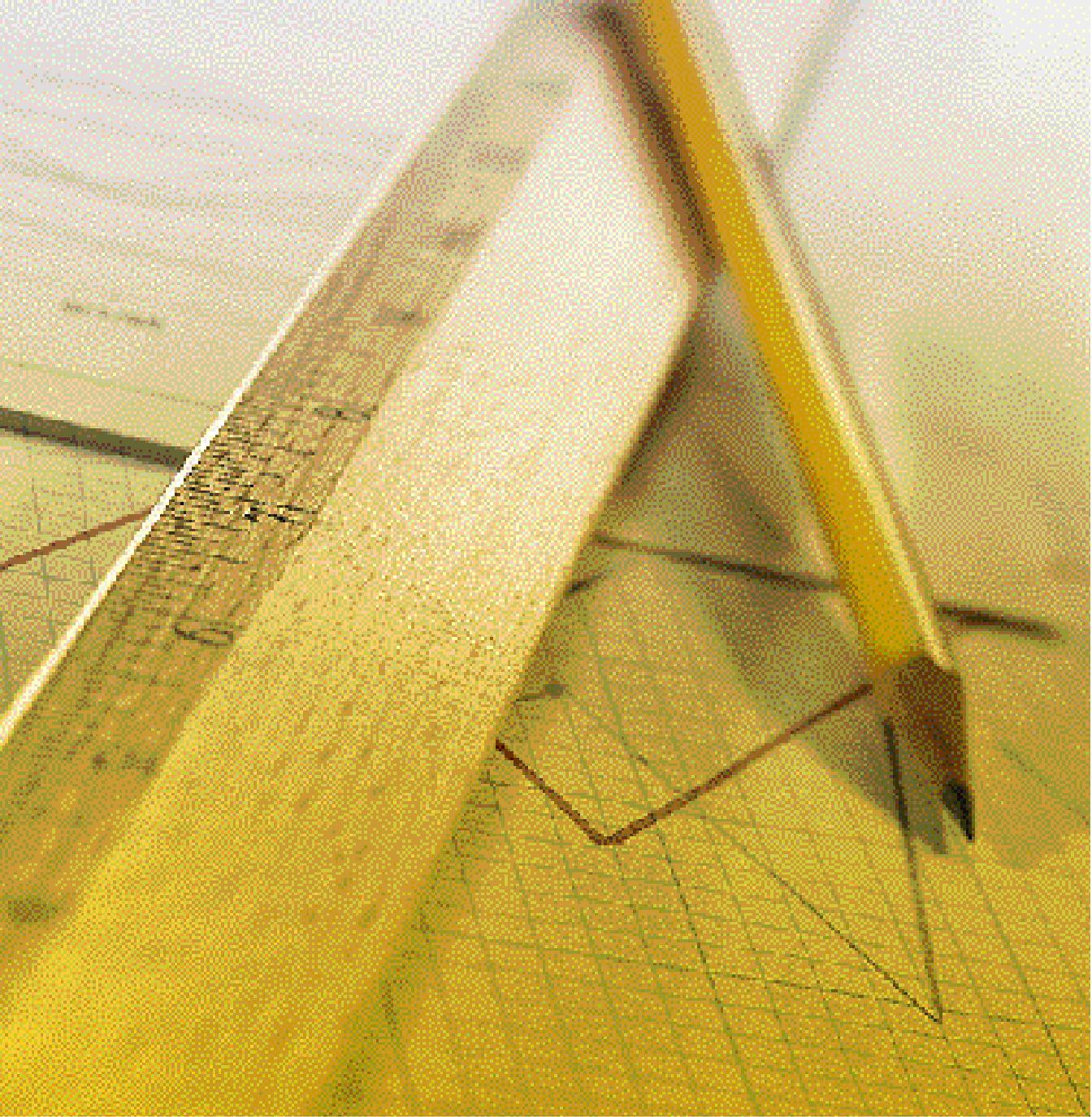
Resources and Annexes

Acronyms

Many of the following acronyms appear in this *Handbook.* Others are listed here because they are frequently used in documentation related to monitoring and evaluation.

AIDS	Acquired immune deficiency syndrome
AOS	Administrative and operational services
APR	Annual programme/project report
AR	Annual review
BDP	Bureau for Development Policy
BOM	Bureau of Management
CCA	Common country assessment
CCF	Country cooperation framework
CDR	Combined delivery report
CIDA	Canadian International Development Agency
CO	Country office
COMP	Country office management plan
CP	Country programme
CPO	Country Programme Outline
CR	Country review
CSO	Civil society organization
CTA	Chief technical advisor
DAC	Development Assistance Committee
DANIDA	Danish International Development Agency
DEX	Direct execution
DRR	Deputy Resident Representative
DSA	Daily subsistence allowance
EB	Executive Board
ECD	Evaluation capacity development

EFT	Evaluation focal team
EO	Evaluation Office
FAO	Food and Agriculture Organization
FAQ	Frequently asked question
G	Goal
GA	General Assembly
HDI	Human Development Index
HDR	Human Development Report
HIV	Human immunodeficiency virus
HPI	Human poverty index
HQ	Headquarters
IADB	Inter-American Development Bank
ICT	Information and communication technology
IFAD	International Fund for Agricultural Development
ILO	International Labour Organization
M&E	Monitoring and evaluation
NEX	National execution
NGO	Non-governmental organization
NHDR	National human development report
OECD	Organisation for Economic Cooperation and Development
OSG	Operations Support Group
PDR	Project/programme delivery report
PEIS	Project/programme evaluation information sheet
PLSP	Programme logistical support project
PRSP	Poverty reduction strategy paper
PSC	Project steering committee
PSD	Programme support document
PWG	Programme working group
RBM	Results-based management
RBMS	Results-based management system
RBx	Regional Bureaux
RC	Resident Coordinator
RCA	Results competency assessment
ROAR	Results-oriented annual report
RR	Resident Representative
RRA	Rapid rural appraisal
RST	Resource strategy table
SAS	Strategic area of support
SHD	Sustainable human development

SG	Sub-goal
SIDA	Swedish International Development Cooperation Agency
SOF	Source of funds
SRF	Strategic results framework
SURF	Sub-regional resource facility
TOR	Terms of reference
TPR	Tripartite review
TR	Terminal report
TRAC	Target for resource assignment from the core
UN	United Nations
UNCDF	United Nations Capital Development Fund
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
UNOPS	United Nations Office for Project Services
USAID	United States Agency for International Development
WB	World Bank
WFP	World Food Programme

Glossary

Most of the terms appearing in this *Handbook* are of general use in the development community and by evaluation practitioners. In this publication, all terms are defined in the context of monitoring and evaluation, although they may have additional meanings in other contexts. Terms of Reference, for example, always refers specifically to a Terms of Reference for an evaluation.

Definitions in the Glossary were developed with the intention of harmonizing the use of terminology throughout the development community. The definitions were developed by the UNDP Evaluation Office and/or extracted and adapted from the following sources:

- ■ UNDP, the UNDP Programming Manual, http://intra.undp.org/bdp/pm
- ■ UNDP, RBM Technical Note, http://intra.undp.org/osg/results
- ■ UNDP/EO, Participatory Evaluation Handbook, http://www.undp.org/eo/methodology/methodology.html
- ■ UNDP/EO, Development Effectiveness Report, http://www.undp.org/eo/publications/publications.html
- ■ OECD-DAC, http://www.oecd.org/dac/htm/glossary.htm
- ■ UNFPA, The Programme Manager's Monitoring and Evaluation Toolkit, http://bbs.unfpa.org/ooe/me_methodologies.htm
- ■ CCA Guidelines, http://www.dgo.org
- ■ UNDAF guidelines, http://www.dgo.org

Some terms are defined in much greater detail in the Glossary than they are in the text. This not only enhances understanding but also covers terms that appear in the reference documentation related to this *Handbook*.

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. UNDP's advocacy role is one of promoting the human development agenda at the global, regional and national level through issues as diverse as debt relief, gender equality, poverty eradication, climate change and good governance. 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 UNDP'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.

Cluster evaluation: An evaluation of a set of related projects and/or programmes. A cluster evaluation centered on a development outcome is also called an **"outcome evaluation".**

Common Country Assessment: A country-based process for reviewing and analyzing the national development situation, and identifying key issues as a basis for advocacy, policy dialogue and preparation of the UNDAF. The findings from this exercise are described in a CCA document.

Conclusion: A reasoned judgment based on a synthesis of empirical findings or factual statements corresponding to a specific circumstance. Example: The research and development programme of the Agricultural Science and Technology Institute is strong in its technical aspects but weak in its linkage with target groups. (See **"finding"** for the difference between a conclusion and a finding.)

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.

Country-level impact assessment: An assessment of the entire contribution of UNDP within a country, including soft interventions; UNDP contributions that have produced recent end-results irrespective of a given programme cycle in the last five years; and UNDP interactions with development partners to achieve national goals. By definition, an ex post evaluation. See also **"impact evaluation".**

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 or the life of an individual beneficiary. Development effectiveness is influenced by various factors, beginning with the quality of the 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.

Finding: Factual statement about the programme or project based on empirical evidence gathered through monitoring and evaluation activities. Example: Although its initial tests of the new technology for preventing soil erosion have been positive, the Agricultural Science and Technology Institute effort has generated only a lukewarm response from the target group of farmers, who are misinformed about the cost implications of that technology. (See **"conclusion"** for the difference between a finding and a conclusion.)

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 UNDP interventions 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 UNDP 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 intervention 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 UNDP, 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-Oriented Annual Report (ROAR): The principal instrument for reporting on performance and progress of results achieved on the entire range of UNDP interventions by operational units. In aggregate, the ROAR provides UNDP with a comprehensive assessment of key results achieved and a review of the resources at the organizational level. It is intended to provide a basis for feedback and continuous adjustment.

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. UNDP policy advisors, programme staff and senior country office 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.

Strategic evaluation: An evaluation of a particular issue, often crosscutting, with significant implications for the major development priorities of the Government and UNDP and with high risks to stakeholders. Its timing is especially important owing to the urgency of the issue which poses high risks to, and has generated widely conflicting views from, stakeholders. It aims to advance a deeper understanding of the issue, reduce the range of uncertainties associated with the different options for addressing it, and help to reach an acceptable working agreement among the parties concerned and enables various stakeholders to reach a common understanding of certain policy issues as a significant step towards policy formulation.

Strategic results framework: As a generic term, the strategic results framework (SRF) 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 also may be the overall aims and objectives of a country's approach to development based on analysis of problems, and including a statement of priorities. For UNDP, the SRF is the document that describes the UNDP results for an operating unit in terms of outcomes, outputs, partnerships and indicators with specified Goals, Sub-goals and Strategic Areas of Support.

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.

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.

Related Documents and Websites

The following documents, websites and other resources were of value in developing the UNDP monitoring and evaluation framework. They provide more in-depth information on specific subjects introduced in this *Handbook*. To assist users in selecting relevant information, most references are accompanied by a brief description of content.

To obtain these resources:

1.   Visit the website, if listed; or

2.   Visit the UNDP Evaluation Office website (http://www.undp.org/eo) and follow links to documents, if available; or

3.   Order a printed copy from the publisher.

The list of documents is organized by the following themes:

A.   Programming and Reporting in UNDP

B.   Results-Based Management

C.   Monitoring and Evaluation Guidelines by UN Agencies/Donors

D.   Monitoring and Evaluation Methods and Tools

E.   Indicators and Measurement

F.   Partnerships

G.   Learning and Knowledge Management

H.   Evaluation Capacity Development

I.   Conflict and Crisis Intervention

J.   Poverty

K.   Gender

L.   Democracy and Governance

M.   Other References

A. Programming and Reporting in UNDP

UNDP, **"UNDP Programming Manual",** April 1999, http://intra.undp.org/bdp/pm

UNDP, **The Multi-Year Funding Framework Report by the Administrator,** 1998.

UNDP, **Guidelines on the Annual Review and ROARs**, http://intra.undp.org/osg/

UNDP, **Change Management,**
> http://intra.undp.org/bom/maintopics/services/bp/bpmain.html
> The site contains key documents related to UNDP change management, including the UNDP "Country Office of the Future" Options Paper and the Administrator's Business Plans 2000-2003.

UNDP, **Balanced Scorecard,** http://intra.undp.org/bom/scorecard/index.html
> The site aims to provide answers to queries on the concept of the Balanced Scorecard, and to provide information about the progress made in building and implementing UNDP's Balanced Scorecard, including the development of the Management Result Framework (MRF).

CCA Guidelines, April 1999, http://www.dgo.org

UNDAF Guidelines, April 1999, http://www.dgo.org

Guidelines for the 2000 Annual Report of the United Nations Resident Coordinator, http://www.dgo.org

UNDP, The Oversight group, **Discussion Paper on Oversight,** 22 November 2000.

B. Results-Based Management

UNDP, **Results Based Management Center Gateway,**
> http://stone.undp.org/undpweb/rbmsgat/main.cfm
> The Results-Based Management System (RBMS) is an online database that provides country, regional and global level information on the strategic results framework (SRF) and the results-oriented annual report (ROAR).

UNDP, **Technical Note on UNDP Results Framework,**
> http://intra.undp.org/osg/results/rg/training.html
> This site contains technical notes and training materials on the SRF, ROAR, and other tools.

Office of the Auditor General of Canada (OAGC), **Implementing Results-Based Management,** http://www.oag-bvg.gc.ca/domino/other.nsf/html/00rbm_e.html
> This is a concise synthesis of lessons learned from implementing results-based management in a variety of Canadian and international jurisdictions.

Binnendijk, Annette, **"RBM in the development cooperation agencies: A review of experience, Evaluation Capacity Development in Asia",** UNDP/NCSTE/WB, 2000, http://intra.undp.org/eo/documents/evaluation_cap_dev_china.pdf

Food and Agriculture Organization of the UN, **Results-Based Budgeting in FAO,** Rome, February 2001.

Inayatullah, C., UNDP Pakistan, **A Review of the 1999 Annual progress reports from the standpoint of RBM, CCF for Pakistan,** work-in-progress.

Marc Holzer, National Center for Public Productivity, USA, **"Public Performance Evaluation and Improvement: A review of experience",** *Evaluation Capacity Development in Asia,* UNDP/NCSTE/WB, 2000, http://intra.undp.org/eo/documents/evaluation_cap_dev_china.pdf

Tofflon-Weiss, Melissa, Bertrand, Jane T., Terrell, Stanley S., **"The Results Framework— An Innovative Tool for Program Planning and Evaluation."** *Evaluation Review,* Vol. 23, No. 3, June 1999.
This article presents a case study of the development and implementation of the "results framework" for a USAID-funded regional initiative for HIV/AIDS prevention in Central America. The results framework is found to have many advantages over traditional evaluation approaches that rely on outside consultants. Instead, the results framework spanning the life of the project provides an opportunity for program staff, donors, partners and evaluators to work as a team to collect and use data for project planning, implementation and evaluation purposes.

UNDP, **Measuring & Managing Results: Lessons for Development Cooperation,** 1997.
The report examines the state of performance measurement: what it is, the types of activities that it involves, which development agencies are using it and for which purposes, and the lessons that can be drawn from their experiences and best practices. Selected experiences of public sector and development agencies are reviewed to examine the variations in emphasis in performance measurement. Lessons learned, best practices and recommendations are shared from each development agency reviewed. (Available from EO)

C. Monitoring and Evaluation Guidelines by UN Agencies/Donors

DANIDA, **"Evaluation Guideline",** 1999.

OECD/Working Party on Aid Evaluation, **Glossary of Terms in Evaluation and Results-Based Management,** 2001, http://www.oecd.org/dac/htm/glossary.htm
Reference guide that provides an overview of the terms included in OECD members' glossaries and database of terms and definitions in 15 agencies.

OECD/Development Assistance Committee, **Principles for Evaluation of Development Assistance,** 1991, http://www.oecd.org/dac/Evaluation/pdf/evalprin.pdf

The DAC has drawn up a series of policy principles addressing key areas of aid programming and management, including project appraisal, programme assistance and technical cooperation. The set of principles described in the paper state the views of DAC members on the most important requirements of the evaluation process based on current policies and practices as well as door agency experiences with evaluation and feedback of results.

OECD/Development Assistance Committee. **Review of the DAC Principles for Evaluation of Development Assistance,** 1998, http://www.oecd.org/dac/Evaluation/pdf/eval.pdf
This review examines the implementation and use of the Principles in order to assess their impact, usefulness and relevance. The Principles include: purpose of evaluation, impartiality and independence, credibility, usefulness, participation of donors and recipients, donor cooperation, evaluation programming, design and implementation of evaluations, reporting, dissemination and feedback, and decentralized evaluation systems.

OECD/DAC, **Evaluation Criteria,** http://www.oecd.org//dac/Evaluation/htm/evalcrit.htm
The site presents general criteria for evaluation and monitoring that are endorsed by the OECD-DAC members. It also lists key questions under each criteria (i.e., relevance, effectiveness, efficiency, impact and sustainability).

OECD/Public Management Service, **Improving Evaluation Practices: Best Practice Guidelines for Evaluation and Background Paper,** 1999, http://www.oecd.org/puma
The guidelines identify key issues and practices to improve the use of evaluation. The guidelines focus on the management of evaluation activities in government and management of individual evaluations rather than on methodological questions. Best practices include defining clear objectives for the evaluation process; using evaluations to improve decision-making, resource allocation, and accountability; managing the evaluation process to ensure it remains focused; involving stakeholders in the evaluation process; and communicating evaluation findings internally and externally.

OECD/Development Assistance Committee, **Effective Practices in Conducting a Joint Multi-Donor Evaluation,** 1998, http://www.oecd.org/dac/
This report outlines key steps in how to plan and conduct a joint evaluation of development programmes when more than one donor agency is involved. With the enhanced role of partnership in the funding and implementation of development assistance, there will be a growing demand for joint evaluation and for lessons learned from various modalities of jointly implemented development cooperation. The guide serves as a useful tool for those who seek to promote joint evaluation and collaboration among donor agencies. It was prepared for donor agency managers involved in planning and implementing joint evaluations of development assistance programs with other donor partners.

Swiss Agency for Development and Cooperation, **External Evaluation: Are we doing the right things? Are we doing things right?** June 2000.
The guidelines are divided into two sections. Part I explains the terminology

and principles of evaluation. Part II discusses each of the five stages of an external evaluation. These guidelines are primarily addressed to organizations that sponsor or participate in evaluations and are responsible for implementing their results.

UNCDF, **Monitoring Guidelines,** 2000.

UNFPA, **Monitoring and Evaluation Methodologies: The Programme Manager's M&E Toolkit,** 2000, http://bbs.unfpa.org/ooe/me_methodologies.htm
The Toolkit provides guidance and options for UNFPA country offices to improve monitoring and evaluation activities in the context of results-based management. Of specific interest to UNDP country offices are tools discussing stakeholder participation in evaluation, planning evaluations, the data collection process, managing the evaluation process, and communicating and using evaluation results.

UNICEF, **A UNICEF Guide for Monitoring and Evaluation: Making a Difference?** February 1991.
This manual covers UNICEF monitoring and evaluation policies and procedures. Section I discusses the importance of monitoring and evaluation. Section II addresses the organization of monitoring and evaluation by delineating roles and responsibilities in UNICEF (HQ and country office) and the role of national governments. Section III presents the scope of monitoring and how it can be used at the level of projects/programmes and higher development outcomes (e.g., the situation of women and children). Section IV presents the scope of evaluations; guidelines for how to plan, manage and conduct evaluations; and the use of evaluation findings.

USAID, **A Sourcebook on Results-Oriented Grants and Cooperative Agreements,** http://www.usaid.gov/pubs/sourcebook/usgov/
This sourcebook is an electronic resource to assist in the design, award and administration of USAID results-oriented grants and cooperative agreement to implement development assistance activities. It is primarily intended for USAID staff and development partners but contains useful guidance and suggestions in the following areas:
- Defining results-oriented assistance interventions;
- Managing for results through partnerships with government, non-governmental organizations and other civil society actors and the private sector;
- Gathering, analyzing and reporting on overall performance against intended outcomes; and
- Using outcome monitoring and evaluation information to inform decision-making, making flexible adjustments when necessary and highlighting achievement of results.

W.K. Kellogg Foundation, **Evaluation Handbook,** 1998,http://www.WKKF.org/
This Handbook is designed for evaluations at project level. It provides a framework for thinking about evaluation as a relevant and useful program tool and outlines a blueprint for designing and conducting evaluations. It also provides basic information to allow project staff to conduct an evaluation without the assistance of an external evaluator.

World Bank, "Monitoring and Evaluation Chapter (draft)," **Monitoring and Evaluation for Poverty Reduction Strategies,** 2000, http://www.worldbank.org/html/oed/evaluation/
> The Poverty Reduction Strategy Sourcebook is an evolving document aimed at assisting countries in the development and strengthening of poverty reduction strategies. The purpose of the Monitoring and Evaluation chapter is to provide guidance on developing outcome monitoring systems and impact evaluation strategies. In addition, it addresses how to use monitoring and evaluation results to create a feedback process, how to promote participation in monitoring and evaluation activities, and how to build institutional capacity for outcome monitoring and impact evaluation.

World Bank, **Evaluation, Monitoring and Quality Enhancement Community Website,** http://worldbank.org/html/oed
> This website contains World Bank evaluation studies—including a range of documented evaluations conducted at country, sector, thematic and impact levels—and reports on best practices and lessons learned. Web links are provided to World Bank monitoring and evaluation handbooks and toolkits on indicators and poverty measurement, and to other evaluation groups in the World Bank.

D. Monitoring and Evaluation Methods and Tools

UNDP, OESP, **Who Are the Question-makers? A Participatory Evaluation Handbook,** 1997, http://intra.undp.org/eo/methodology/methodology.html
> The handbook complements the UNDP Handbook on Monitoring and Evaluating for Results. It is intended for those wanting more guidance on participatory evaluation methods. It contains a brief description of the evolution of the participatory approach, a comparison of participatory evaluation with more conventional evaluation approaches, a discussion of the role of participation in UNDP, a description of the framework of a participatory evaluation and a discussion of some of the practical issues involved in doing such an evaluation.

Inter American Development Bank (IADB), **A Management Tool for Improving Project Performance,** http://www.iadb.org/cont/evo/EngBook/engbook.htm
> This Evaluation Handbook for headquarters and field office staff of the IADB presents various tools for evaluation at the levels of project design, implementation or monitoring, and project completion/impact.

United Nations Children's Fund (UNICEF), **A Guide for Monitoring and Evaluation,** http://www.unicef.org/reseval/mande4r.htm

United States Agency for International Development (USAID), **Center for Development Information and Evaluation (CDIE) Performance Monitoring and Evaluation Tips,** http://www.dec.org/usaid_eval/004

The Gateway to Development Information (eldis), **Methods, Tools and Manuals,** http://nt1.ids.ac.uk/eldis/hot/pm3.htm
> This site contains range of guidelines and manuals to help development practitioners in carrying out participatory monitoring and evaluation.

The M and E News, http://www.mande.co.uk/

> The M and E News is a news service focusing on developments in monitoring and evaluation methods relevant to development projects with social development objectives.

Research Methods Knowledge Base, http://trochim.human.cornell.edu/kb/index.htm

> This is a comprehensive web-based textbook that addresses all of the topics in a typical introductory course in social research methods. It covers the entire research process, including formulating research questions, sampling, measurement (surveys, qualitative), research design, data analysis and writing up the study. It also addresses the major theoretical and philosophical underpinnings of research, including the idea of validity in research, reliability of measures and ethics.

USAID, **Automated Directives System (ADS), Chapter 200–Introduction: Managing for Results, Functional series 200–Programming Policy,** http://www.usaid.gov/pubs/ads/

> This site comprises USAID's official, written guidance to its employees on policies, operating procedures and delegations of authority for conducting Agency business. It includes guidance on achieving results (Chapter 200), planning (Chapter 201), assessing and learning (Chapter 203).

USAID, **Center for Development Information and Evaluation,**

> http://www.dec.org/usaid_eval/
>
> USAID's Center for Development Information and Evaluation (CDIE) publishes a wide range of impact evaluations, program and operational assessments, managing for results reports, performance monitoring tips and the *USAID Evaluation News.* These publications summarize and communicate the effectiveness of USAID sustainable development initiatives, "lessons learned" from the Agency's portfolio of development activities and "best practices" of re-engineered USAID development processes. This site includes access to more than 60 publications produced by CDIE since 1996. Reports are added as they become available.

USAID **Evaluation Publications,** Published 1997 - 2000, http://www.dec.org/usaid_eval/

> This site presents a number of evaluation publications, including the following:
>
> ----------. *Conducting a Participatory Evaluation*, TIPS No. 1, 1996.
> This note defines participatory evaluation, its characteristics and purposes. It discusses the differences between participatory evaluation and traditional evaluation. Finally, it outlines the key steps in conducting a participatory evaluation, including when participatory evaluation is appropriate, determining on the degree of participation and building consensus on results.
>
> ----------. *Conducting Key Informant Interviews*, TIPS, No. 2, 1996.
> This note presents key informant interviews as a low-cost rapid appraisal technique. It discusses the method's advantages and limitations, how to maximize its usefulness and step-by-step instructions of how to apply the method.

RESOURCES & ANNEXES

-----------. *Preparing an Evaluation Scope of Work*, TIPS, No. 3, 1996.
This note offers suggestions for preparing a good evaluation scope of work. It outlines the components of the scope of work and highlights the kind of information needed under each.

----------. *Using Direct Observation Techniques,* TIPS No. 4, 1996.
This note introduces direct observation as one example of a rapid, low-cost method for collecting information on the performance of development interventions. It discusses the method's advantages and limitations, how to maximize its usefulness and provides step-by-step instructions of how to apply the method.

----------. *Using Rapid Appraisal Methods*, TIPS, No. 5, 1996.
This note introduces a range of low-cost methods known as rapid appraisal methods, which are used to collect information on the performance of development interventions. It discusses their strengths and weaknesses and when they are appropriate.

----------. *Preparing a Performance Monitoring Plan*, TIPS, No. 7, 1996.
This note introduces the elements of a performance monitoring plan and provides advice on preparing one for the systematic and timely collection of performance data.

----------. *Establishing Performance Targets*, TIPS, No. 8, 1996.
This note defines what performance targets are, why they are important, and what information sources and approaches may be used for setting targets.

----------. *Conducting Focus Group Interviews*, TIPS, No. 10, 1996.
This note defines focus group interviews, discusses the method's advantages and limitations, when it is best utilized and for what, and provides a step-by-step guide on how to organize and conduct focus group interviews for high quality results.

----------. *The Role of Evaluation in USAID,* TIPS, No. 11, 1997.
This note addresses questions about the new role of evaluation in USAID. It discusses the changed emphases of evaluation in a results-based context and why this is important. It also outlines the key steps in planning and conducting an evaluation.

----------. *Guidelines for Indicator and Data Quality,* TIPS, No. 12, 1998.
This note describes USAID criteria and procedures for ensuring the quality of indicators and data in performance monitoring systems for managing for results.

----------. *Monitoring the Policy Reform Process*, TIPS, No.14, 2000.
This note discusses the issues and challenges of designing and implementing systems to monitor the policy reform process. Based on best practices of USAID missions in policy reform, the paper outlines the characteristics of

good monitoring system, provides examples of milestone events during policy formation/adoption and policy implementation that constitute the first step towards monitoring and tracking change, and elaborates three methodological approaches for monitoring the policy reform process: quantitative, qualitative and the composite approach, and identifies their strengths and weaknesses.

----------. *Measuring Institutional Capacity,* TIPS, No. 15, 2000.
This paper provides information on measuring institutional capacity, including some tools that measure the capacity of an entire organization as well as others that look at individual components or functions of an organization. The discussion focuses on the internal capacities of individual organizations. It addresses the following issues: different measurement approaches for particular types of capacity building, strengths and limitations of each approach, data collection and how participatory the measurement process should be.

World Bank Institute, **Training Evaluation Toolkit** (Version 1.3)
This toolkit, developed by the World Bank Institute Evaluation Unit, is a set of templates and guidelines that enables anyone—with or without prior evaluation knowledge—to conduct a Level 1 training evaluation. The Toolkit can be used to develop questionnaires that elicit participant feedback to training activities, collect the data and tabulate the ratings, http://www.worldbank.org/wbi/.

Worthen, Blaine R., James R. Sanders, and Jody Fitzpatrick, **Program Evaluation: Alternative Approaches and Practical Guidelines,** 2nd Edition, White Plains, NY: Longman Inc., 1997.
This book serves as a reference guide for practicing evaluators and those professionals who want a comprehensive overview of program evaluation and references to additional information. It covers the following topics:
- Evaluation approaches and models;
- Collection, analysis and use of qualitative and quantitative data;
- Practical guidelines for planning, conducting and using evaluations, including checklists and procedural guides;
- Glossary of evaluation terminology.

Sida, **Ownership in Focus? Discussion paper for a planned evaluation,** *Sida Studies in Evaluation*, 00/5, 2000, http://www.sida.org/Sida/jsp/Crosslink.jsp?d=520
This paper examines the concept of ownership and reviews prevailing views about the causes and effects of weak partner country ownership. It concludes with a presentation of a set of issues that should be considered in an evaluation concerned with ownership.

World Bank, **Impact Evaluation,** April 2001, http://www.worldbank.org/poverty/impact/index.htm
This site is designed to disseminate information and provide resources for people and organizations working to assess and improve the effectiveness of projects and programmes aimed at reducing poverty.

E. Indicators and Measurement

UNDP, **Selecting Key Results Indicators,** http://stone.undp.org/undpweb/eo/evalnet/ docstore1/index_final/methodology/documents/indicators.PDF

OECD, DAC, **Development indicators,** http://www.oecd.org/dac/Indicators/
This site explains the core set of indicators developed by OECD/DAC to monitor development performance and strategies. It provides maps, charts and links to data sources for all indicators in the core set. It offers an integrated worldview of human well-being in its economic, social and environmental aspects.

ELDIS Participatory Monitoring and Evaluation Guide: Indicators, http://nt1.ids.ac.uk/eldis/hot/pm4.htm
This site offers links and information about a number of works on the participatory development of indicators. Examples of indicators may be found in several of the documents cited.

World Bank, Operations Evaluation Department (OED), **Performance Monitoring Indicators: A handbook for task managers,** 1996, http://www.worldbank.org/ html/oed/evaluation/
This handbook provides background on the logical framework and typology of indicators; describes how indicators are developed and applied in project design, supervision, and evaluation; and discusses important issues related to the meaningful use of indicators. It also provides examples of performance indicators developed for Bank-financed projects and shows how indicators are developed on the basis of each project's development objectives.

Funnell, Sue C., **"Developing and Using a Program Theory Matrix for Program Evaluation and Performance Monitoring,"** *New Directions for Evaluation,* no. 87, Fall 2000.
This article discusses the essential features of the program theory approach and how its usefulness for monitoring and evaluation can be enhanced: by incorporating information about the context in which the program operates, by defining success criteria and comparisons for judging and interpreting performance information, and by identifying sources of performance information.

Holzer, Mark., National Center for Public Productivity, USA. **"Public Performance Evaluation and Improvement: A review of experience",** *Evaluation Capacity Development in Asia,* UNDP, 2000, http://intra.undp.org/eo/documents/ evaluation_cap_dev_china.pdf

F. Partnerships

Institute for Development Research, http://www.jsi.com/idr
The Institute for Development Research (IDR) is dedicated to promoting the participation of underrepresented and impoverished groups in social,

political and economic development. In the area of inter-sectoral partnering, IDR helps to identify strategies and increase the capacities of civil society representatives to work with leaders from the business and government sectors to develop effective policies.

Knowledge Resource Group, http://www.civicus.org/krg/html
The KRG objective is to collect, analyze, link and disseminate the lessons learned about partnerships involving business, government and civil society. The KRG draws from the existing base of knowledge on partnership building as well as experience in developing tools and programmes that can hasten the learning process and can increase the sustainability of the partnerships because lessons are being learned and applied.

Partnerships for Poverty Reduction, http://www.worldbank.org/ppr/english/ppr_eng.html
This site is sponsored by the Inter-American Foundation, UNDP and the World Bank. The site presents the accumulated knowledge of a group of researchers and practitioners on the effect of partnerships on poverty reduction in Latin America and the Caribbean.

Strengthen Partnerships and Improve Aid Effectiveness, http://www.oecd.org/dac/htm/devpart.htm
This site provides monitoring and periodic progress reports to reflect strong strategic collaboration with other multilateral institutions. The site has links to information on strengthening partnerships and improving aid effectiveness.

USAID, **Partnering for Results: Assessing the Impact of Inter-Sectoral Partnering,** 1999, http://www.info.usaid.gov/pubs/isp/
This guide covers the selection of indicators, tracking of progress and documentation of results of inter-sectoral partnering among government, business and civil society actors. It also discusses some of the challenges specific to assessing inter-sectoral partnerships. Finally, it proposes a framework to use when selecting indicators to measure the impact of inter-sectoral partnerships and discusses existing indicators that fit within this framework. The guide is intended to be flexible, allowing users to choose from a menu of indicators to ensure that indicators selected meet the unique needs of a specific partnership.

USAID, **New Partnerships Initiative (NPI): Resource Guide,** http://www.usaid.gov/pubs/npi/npiresrc.htm
NPI is an integrated approach to sustainable development that uses strategic partnering and the active engagement of civil society, the business comm unity and institutions of democratic local governance to bolster the ability of local communities to play a lead role in their own development. The NPI Resource Guide brings together the results of pilot tests in 15 USAID missions and provides a number of programming tools to assist with the incorporation of NPI into USAID mission portfolios.

USAID, **Participatory Development,** http://www.usaid.gov/about/part_devel/docs.html
This website contains all of the documents produced through USAID's Participation Initiative. The site also provides information about the Global

Participation Network (GP-NET), a listserve that provides an opportunity for development practitioners around the world to exchange information, share ideas and discuss issues related to participatory development. The page also provides links to other sites dealing with participatory development.

World Bank Partnerships, http://www.worldbank.org/html/extdr/prt-global.htm
This page has synopses and contact information for four World Bank partnerships, including Business Partners for Development (BPD). BPD is an informal global network of businesses, civil society organizations and relevant government ministries. BDP aims to produce solid evidence of the positive impact of tri-sector partnerships by taking the example of a number of focus projects involving business, government, and civil society organizations and providing inputs to them. The BPD Network objective is to demonstrate that these partnerships provide win-win benefits to all three parties, can be much more widely used throughout the world, and can be scaled up to national and regional levels.

G. Learning and Knowledge Management

UNDP Central Evaluation Database (CEDAB), http://www.undp.org/eo/database/cedab/cedab.html
CEDAB is a corporate institutional memory database containing information about more than 1,500 UNDP project and programme evaluations.

UNDP Evaluation Plan Database (EVP), http://www.undp.org/eo/database/evp/evp.html
This database enables UNDP country offices and other corporate units to prepare their respective evaluation plans on-line and make them accessible to each other.

Development Assistance Committee (DAC) Database, http://minweb.idrc.ca/cida/dacloge.htm
This website contains a list of evaluation abstracts that various international development organizations have made available to the general public.

Department for International Development (DFID), **Project Evaluation,** http://www.dfid.gov.uk/public/what/project_frame.html
This site provides access to on-line versions of all DFID evaluation summaries and ordering information for full evaluation reports.

International Labour Organization (ILO), **PROGEVAL,** http://ilis.ilo.org/ilis/progeval/ilintrpr.html
PROGEVAL contains bibliographical references and summaries of evaluation reports on technical cooperation programmes and projects executed by the ILO and other international organizations. It also provides references to evaluation guidelines and other methodological publications on evaluation.

International Fund for Agricultural Development (IFAD), **Lessons through Evaluation,** http://www.ifad.org/evaluation/public_html/eksyst/doc/lle/index.htm
This site lists the lessons learned through the evaluations conducted by IFAD. The lessons learned are listed by themes and by regions.

United Nations Capital Development Fund (UNCDF), **Evaluation Index,**
http://www.uncdf.org/projects/eval/es-index.html
This site lists CDF project evaluations, providing lessons for future
project design.

Bellanet International Secretariat, **Knowledge Management—Implications and
Applications for Development Organizations,** http://www.bellanet.org/
Based on a workshop, this report clarifies, explores and positions knowledge
management within the cultures and practices of the international development
community. It discusses five themes: understanding knowledge, defining the
knowledge business and strategic purpose, managing the knowledge structure
and process, building a knowledge culture and momentum, and fostering
knowledge management networks.

Institute of Development Studies, **Efela: evaluation feedback for effective learning
and accountability: synthesis report,** July 2000. http://www.ids.ac.uk/ids/
This report summarizes the results of a survey capturing OECD member
policies, practices, thinking and approaches to evaluation feedback. It discusses
the issues and dilemmas that agencies face when seeking to improve their
evaluation feedback practices, and highlights areas where new thinking is
emerging and new possibilities are opening up for improving evaluation
feedback practices and linking EFELA with other objectives and initiatives
in the development policy arena. The report draws out some of the main
areas of thinking and learning and points to where good practice is beginning
to emerge.

Morten T. Hansen, Nitin Nohria, and Thomas Tierney, **"What's Your Strategy for
Managing Knowledge?"** *Harvard Business Review,* March-April 1999.
This article examines the knowledge management practices of companies in
several industries, with a particular focus on management consulting firms. It
delineates two strategies: the codification strategy and personalization strategy
and how to go about choosing the right strategy for one's industry. The
authors argue that emphasizing the wrong approach, depending on the nature
of an organization's business—or trying to pursue both at the same time—can
undermine one's business.

H. Evaluation Capacity Development

UNDP, **Evaluation Capacity Development in Asia,** 2000., http://intra.undp.org/eo/
documents/evaluation_cap_dev_china.pdf
This report contains the proceedings and discussions of the Beijing
Conference on Evaluation and Capacity Development held 27-28 October
1999. The Conference had four objectives: (a) to stimulate reflection on the
role of evaluation in good governance and public sector reform; (b) to explore
the interface between results-based management (RBM) and monitoring and
evaluation, in connection with good governance; (c) to identify strategies and
resources for building monitoring and evaluation supply and demand in Asian
countries; and (d) to encourage and support the creation of country and
regional networks to facilitate follow-up actions.

World Bank/OED, **Sub-Saharan Africa: Lessons from Experience in Supporting Sound Governance,** ECD Working Paper Series, no.7, 2000, http://www.worldbank.org/evaluation/me

> The paper provides a basis for identifying common issues and operational synergies between monitoring and evaluation capacity development (M&ECD) and governance in Sub-Saharan Africa, and establishing linkages between governance support and M&ECD.

World Bank/OED, **Evaluation Capacity Development: A Diagnostic Guide and Action Framework,** ECD Working Paper Series, no.6, 1999, http://www.worldbank.org/evaluation/me

> The guide is intended to assist those governments and development agencies that are developing a national or sectoral evaluation system. It is organized into nine separate but related steps to assist in the identification of ECD options and the development of an ECD action plan. It provides a detailed checklist of issues to be considered in developing a country's evaluation capacity.

I. Conflict and Crisis Intervention

OECD/DAC, **Guidance for Evaluating Humanitarian Assistance in Complex Emergencies,** 1999.

> This publication provides guidance for those involved in the commissioning, design and management of evaluations of humanitarian assistance programmes. It defines and describes the characteristics of complex emergencies and explains the difference between evaluation of humanitarian assistance programmes and evaluation of conventional aid programmes. It provides guidance for evaluation managers on how to plan, conduct and manage the evaluation.

Overseas Development Institute, **Evaluating Humanitarian Assistance Programmes in Complex Emergencies,** 1998.

> The study seeks to improve the consistency and quality of evaluation methodologies, enhance the accountability function of evaluation, contribute to institutionalizing the lessons learned, and identify better methods for monitoring the performance of humanitarian aid operations. It discusses key considerations of evaluations in a humanitarian context, measures to enhance the effectiveness of the evaluation process and how to establish basic parameters for the evaluation. It contains guidelines for planning, conducting and managing evaluations in conflict situations, including preparing a terms of reference, team composition, sources of information and information gathering techniques and methods of working.

UNHCR, **Enhancement of the Evaluation Function in UNHCR,** 1998, http://www.unhcr.ch/evaluate/reports

> The review assesses the role of the evaluation function in UNHCR Section I presents a situational analysis. Section II discusses key steps in enhancing evaluation by establishing an enabling structure and suggesting improvements to the evaluation cycle.

UNHCR, **Planning and Organising Useful Evaluations,** 1998, http://www.unhcr.ch/
evaluate/reports

These guidelines are intended to assist UNHCR field and headquarters staff
in evaluating and analyzing the broad range of operational activities undertaken
by UNHCR. The guidelines provide an elementary understanding of the
function; a description of the different approaches; and how to plan, implement
and follow up on evaluations.

J. Poverty

World Bank, **Evaluating the Impact of Projects on Poverty: A Handbook,** 2000,
http://www.worldbank.org/evaluation/toolkits/

This handbook provides project managers and policy analysts with the tools
needed for evaluating impact at the project level. It is aimed at readers with
a general knowledge of statistics. The Handbook comprises four chapters
and a series of case studies designed to cover a broad mix of country settings,
project types and evaluation methodologies.

World Bank, **Monitoring and Evaluation for Poverty Reduction Strategies,** 2000,
http://www.worldbank.org/evaluation/toolkits/

The Poverty Reduction Strategy Sourcebook is an evolving document aimed at
assisting countries in the development and strengthening of poverty reduction
strategies. The purpose of the Monitoring and Evaluation chapter is to provide
guidance on developing outcome monitoring systems and impact evaluation
strategies. In addition, it discusses how to use monitoring and evaluation
results to create a feedback process; how to promote participation in monitoring
and evaluation activities; and how to build institutional capacity for outcome
monitoring and impact evaluation.

K. Gender

World Bank, **"Evaluating Gender and Development at the World Bank,"** OED
Precis No. 200, 2000, http://www.worldbank.org/evaluation/lessons/

This note summarizes and highlights the views of participants attending a
World Bank workshop on gender and evaluation. It discusses issues relevant
to the proposed evaluation of the gender dimensions of Bank assistance and
the complexity of gender issues and the variety of views on effective
approaches to addressing them.

UNDP/Gender in Development, **Guidance Note on Gender Mainstreaming,**
http://www/UNDP.org/gender/policies/guidance.html#appendix1

This note calls for the mainstreaming of gender equality objectives throughout
the programming cycle. It highlights the key issues and delineates the role
of staff from senior management to resident representatives to gender
focal points. It provides guidance on how to integrate gender concerns into
the programming cycle and how gender mainstreaming can be an effective
tool for expanded public relations.

UNDP/BDP, **Tracking Gender Mainstreaming in MDGD Activities,** 1998,
http://magnet.UNDP.org/Docs/Gender/Testgned.htm
This note reviews the status of gender mainstreaming in MDGD's programmes
and activities, briefly examines the relationship of gender and good governance,
and identifies ways and proposes tools to strengthen gender mainstreaming
throughout the programme cycle.

L. Democracy and Governance

Department for International Development (DFID), **Strategies for Achieving the
International Development Targets: Making Government Work for
Poor People,** June 2000, http://www.dfid.gov.uk
An internal document to the United Kingdom's Department for International
Development, this paper presents a strategy for making government work
for poor people. The paper looks at the capabilities needed for pro-poor
government and at the concerns of poor people regarding their treatment
by the institutions of government. It identifies and promotes seven key
government capabilities that governments need to develop, in partnership
with the private sector and civil society, in order to meet the International
Development Targets.

OECD, **Public Management and Governance,** http://www.oecd.org/puma
This site is divided into six key areas related to governance in OECD countries:
budgeting in the public sector, engaging citizens, ethics and corruption,
human resource management, regulatory reform, strategic policymaking.
For each area, key issues are outlined and documents and additional links
are provided. It contains public sector statistics and information on public
management initiatives for each member country.

Sida, **The Evaluability of Democracy and Human Rights Projects,** 1997,
http://www.sida.org/Sida/jsp/Crosslink.jsp?d=520
This evaluability assessment examines Sida's support for democracy and
human rights based on 28 projects in four countries: El Salvador, Guatemala,
Nicaragua and South Africa. This study focuses on the evolution of Sida's
approach, general issues concerned with evaluation of these projects, the
context of democracy and human rights in the countries under study, and
the methodology and activities associated with the evaluation. The study
contains lessons on useful methods for democracy and human rights impact
evaluation and good practices for the planning and implementation of
such projects.

UNDP, **Evaluation of the Governance Programme for Latin America and the
Caribbean,** 1998, http://intra.UNDP.org/eo/publications/publixations.html
This thematic evaluation was carried out in 1997-1998 and covered the activities
of UNDP in the area of governance in the region during this time. The ultimate
purpose of the evaluation was to draw out main lessons learned and provide
recommendations to improve the activities of cooperation in the field of
governance and to encourage their application in other sets of circumstances.

Kaufmann, Kraay and Zoido-Lobaton, **"Governance Matters: From Measurement to Action,"** *Finance & Development* (IMF) June 2000, Volume 37, Number 2.

M. Other References

UNDP, Simplification Task Force, **Simplification Report to the Executive Team,** http://intra.undp.org/eo

UNDP, Evaluation Office, **Impact Assessment of UNDP Country Interventions, Methodology for CLIA Phase I** (version 2.1), http://intra.undp.org/eo/methodology/methodology.html

UNDP, Alex Rusita, Evalnet, **End of mission report,** 2001.

UNDP, Netnarumon Sirimonthon, Evalnet, **Tripartite meetings,** http://intra.undp.org/eo

UNDP, Siv Tokle, **PowerPoint Presentation to the Associate Administrator,** 2000.

UNDP, Siv Tokle, **IAWG Presentation on RBM and M&E,** Geneva, 2001.

UNDP, Uzbekistan, **New Approach to Monitoring in Uzbekistan,** RBEC best practice newsletter no.4, Nov-Dec 2000, http://intra.undp.org/rbec

UNFPA, Linda Sherry-Cloonan, **IAWG Presentation on RBM and M&E,** Geneva, 2001.

World Food Programme, S**trategy for 2002-2005,** WFP/EB.A/2001/5-B/1.

World Food Programme, **Notes on the development of RBM in WFP,** 18 July 2001.

World Bank, **Aid and Reform in Africa,** A World Bank Study, December 1999.

Monitoring and Evaluation Tools

The major tools for results-oriented monitoring and evaluation are presented in the following annexes. These tools complement Chapters 4 and 5 on the monitoring and evaluation processes. Four specific tools are featured here: examples of an evaluation and tracking plan, a sample TOR for an evaluation, a format for annual project reports (APR) and a format for a field visit report. The Handbook concludes with a comprehensive table depicting how Project Managers, Programme Managers and senior management might use the flexible menu of monitoring tools in a medium to large country office.

> Annex A.   Evaluation and Tracking Plan
>
> Annex B.   Evaluation Terms of Reference (TOR)
>
> Annex C.   Annual Project Report (APR)
>
> Annex D.   Field Visit Report
>
> Annex E.   Menu of Monitoring Tools

The forms are annotated to indicate where and how they can be adapted to fit different purposes. The annexes should help users to flexibly apply tools and formats that focus on results and progress towards outcomes.

These annexes are available electronically on the UNDP Evaluation Office website: http://www.undp.org/eo. In future, some or all of these tools also may be available through an integrated computer system.

Annex A: Evaluation and Tracking Plan

PURPOSE

The objectives of the evaluation and tracking plan are to:

■ Provide COs and other units with a planning tool for conducting evaluations;

■ Record and analyze lessons learned and findings from evaluations;

■ Help monitor the progress of evaluation recommendations.

PREPARATION AND SUBMISSION

Country offices prepare their evaluation plan at the beginning of each programming cycle, and submit it electronically (or in hard copy) to the UNDP Evaluation Office.[20] This involves strategic and selective decisions by the management with programme staff on what to evaluate when. Subsequently, the CO uses the plan to ensure that evaluation planning activities are on track.

Once evaluations are conducted, the CO enters, sends or uploads the full report to the EO (and into the system once ready). The EO is responsible for monitoring evaluation compliance and systematically analyzing information generated to promote learning. The CO also enters excerpts including recommendations into the table. This serves as the basis for follow-up and research on evaluation findings, lessons and recommendations. The CO tracks the implementation of evaluation recommendations by recording the decisions regarding evaluation recommendations and the follow-up actions taken for their implementation.

TIMING

The country office submits the evaluation plan to the EO within the first quarter of each Country Programme (CP) cycle. Subsequently, it can be kept up-to-date continuously, annually or periodically depending on local needs. For example, if the first evaluation is planned around an outcome three years into the CP, the CO may not need to revisit planning until the year prior to the evaluation.

FLEXIBILITY

Country offices without mandatory evaluations are not required to develop an evaluation plan. Project evaluations are voluntary and recorded in the plan when agreed to at country level. Country offices may add elements that describe planning for all of their monitoring and evaluation activities, should they wish.

---

[20] Previously, the Evaluation Plan was prepared electronically and made available on EO's intranet website. In future, the plan will interface with the corporate RBMS. In the meantime, COs develop the plan on Word. Future electronic facilities are indicated in the template below.

EVALUATION AND TRACKING PLAN
[Programme Period (eg, 2002–2006)] [country name]

EVALUATION	ASSOCIATED PROJECTS OR OUTCOME	GOAL SUB-GOAL	EVALUATION TIMING	PROGRAMME BUDGET	EVALUATION STATUS AND COMMENTS
OUTCOME EVALUATIONS					
■ **Increased Representativeness of Parliament**	**CTY/00/004 – Electoral support** **CTY/01/892 – National Governance Programme**	**G1-SG2**	**2004 1st quarter** [In future, drop down menu.]	**For outcome: $ 4.5 M** [If attributed] **OR**	[Comments, if any. COs may enter postponements or clarifications on evaluation schedules here.] **Options:** **Done** [i.e., sent to EO] **Pending** **Re-scheduled** [In future, the status will change automatically when the evaluation report is submitted in the database.]
■ **Effective regulatory, legal and policy framework for decentralization**	**CTY/95021 – Local governance** **CTY/95/008 – Participatory district development** **CTY/97/005- Mainstreaming gender**	**G1-SG3** [In future, drop down menu.]		**For respective projects:** **7.9 M** **12 M** **2.1 M**	
PROJECT EVALUATIONS					
■ **CTY/02/932 – Drinking water in Rural Areas**	**Outcome: The national policy framework reformed to achieve universal access to basic services.**	**G2-SG2**	**2005** [If quarterly timing not yet decided, indicate year only.]	**$ 2.1 M** [In future, project title and budget will pop up when number is entered.]	**Re-scheduled to 2nd quarter of 2006 due to coordination with evaluation of UN partners in same area.**
■ **CTY/00/001 – Civil aviation**	**N/A**	**N/A**			
OTHER EVALUATIONS					
■ **National execution**	**All NEX projects**	**All**	**2002 2nd quarter**	**N/A** [No budget associated with thematic evaluations.]	**Pending as recommended in last Annual Review.**
■ **CP portfolio evaluation**	**All projects and outcomes**	**All**			
■ **Joint evaluation**					
[Any other evaluation that cut across projects/ outcome e.g., CP evaluation, evaluation of civil society involvement.]					

RESOURCES & ANNEXES

TRACKING EVALUATION RECOMMENDATIONS 2001–2003

GOAL: Creation of an enabling environment for SHD (G1) [In future, drop down menu.] **SUB-GOAL: Increased social cohesion based on participatory local governance and stronger local communities and institutions (SG3)** **KEY PARTNERS:**

EVALUATION OF OUTCOME: Effective regulatory, legal and policy framework for decentralization
[If project evaluation, put number and title, e.g., CTY/02/932 - Drinking water in Rural Areas. If other, put subject/title of evaluation.]

RECOMMENDATIONS	MANAGEMENT DECISIONS	PLANNED ACTION	DEADLINE/ RESPONSIBLE	STATUS/ COMMENTS
1. To achieve outcome, include the development of a macro-economic framework, which recognizes the role of the community in decision-making and links development with sustainability and growth with equity (date).	Agree (date) Options: Agree Disagree Partially Agree [In future, drop down menu.]	■ External assistance focus support on greater integration of planning committees and the budget processes. ■ Assess inter-departmental committees in terms of their capacities and relevance to decentral-ized planning, including integration of dynamic development issues such as mining and land-owners who provide substantial resources to provinces, etc.	By Dec 2003/ Government with RC Jan 2002/Dept of Budget with CTA	Partially achieved, because.... (date) Achieved (date)
2. To restrict support activities to 20 districts, but include as an output the preparation of a project to support participatory planning and information capa-bility in all 75 districts (date).	Partially agree (date) [Management decisions are made by CO Management in consultation with partners.]	■ One Planning Advisor to serve each two districts supported by field-based senior staff. ■ Develop criteria for roll-out in new districts based on successful experience pilot districts.	March 2002/ Ministry Dept. Immediate/CTA	Postponed to August Achieved (date) Not realistic within time-frame to achieve rollout in 75 districts (date).
3. Decision on the need for CTA has to be taken by the BSNL Committee Secretariat (date).	Disagree - the selection process will not be transparent (date). [Add text where useful; can include response of government or other counterparts if different]	■ UNDP to appoint CTA. [Also possible to put No Action, but normally an alternative action is proposed if management disagrees with recommendation.]	New project approvals 2001-2003/ continuous UNDP	Achieved (date)
4. Completion of the decentralized planning manual taking account of the work already undertaken at the provincial level	Agree (date)	■ Establish working group with select planners from provinces where progress is made. ■ Working group to identify key elements of the project cycle, the planning system and the budget cycle.	March 2002 October 2001	Achieved (date) Delayed (date)
5. Continued ...				

Annex B: 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 UNDP's involvement in the outcome and why it is now being evaluated;
- Brief description of UNDP'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 UNDP's control that influence the outcome (including the opportunities and threats affecting the achievement of the outcome);
- Whether UNDP'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 UNDP'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 UNDP interventions in a specific programme country.

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

- Strategies for continuing or concluding UNDP 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 UNDP 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 vary, 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. Could be 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 CO staff 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 C: Annual Project Report (APR)

The format of the APR is FULLY FLEXIBLE. It must, however, cover the essential elements on results, namely progress towards outcome, outputs produced and relevant efforts on partnerships and soft assistance. Each office may add any other element, depending on the project and results.

For project: _____
[Insert number and short title: CTY/99/002/D/99 – Poverty alleviation]

Period covered: _____
[Put the period since last APR. Normally the fiscal year, Jan 2001-Dec 2002]

PROJECT PERFORMANCE—CONTRIBUTION TO THE SRF GOALS

[The table below briefly analyzes the contribution of the project during the period of review towards the attainment of an outcome. The Project Manager will concentrate on the "Update on outputs"column, but as the technical expert may also have input or views for the column "Update on outcome". Any given project contributes to one outcome. If the project or programme is large with several components,it may contribute to more than one outcome. If so, also include these outcomes,or cross-refer outputs to the outcome.]

SRF GOAL: [imported from SRF]	SRF SUB GOAL: [imported from SRF]	STRATEGIC AREA OF SUPPORT: [from SRF]

Outcomes	Update on outcome	Annual Outputs	Update on Outputs	Reasons if progress below target	Update on partnership strategies	Recommendations and proposed action
Outcome [from SRF]	A brief analysis of the status of the situation and any observed change, any project contribution	For SRF outputs, use SRF targets. For other outputs, use project document or workplan.	Achieve-ments of the project in outputs (marking if strategic). Use data from work-plan if no SRF targets set.	If applica-ble. Explores underlying factors and reasons for gaps in output and target.	Brief update on any achievement and/or problem (exception reporting).	Actions on any matter related to outcome, progress of outputs, and/ or partnerships. Corrective measures. Responsibilities.

PROJECT PERFORMANCE—IMPLEMENTATION ISSUES

[There may be problems that are generic and not related to any specific output,or that apply to all of them. If so, the Project Manager fills out the "top three" such challenges. More can be added if considered indispensable, although when the top problems are solved other issues will normally improve, too. If the issues have been covered through the table above, this section may be left empty.]

List the three main challenges (at most,if any) experienced during implementation and propose a way forward. Note any steps already taken to solve the problems.

1. _____
2. _____
3. _____

RATING ON PROGRESS TOWARDS RESULTS

[If the CO has decided to use "rating of progress" as a tool, the Project Manager indicates his/her rating of progress for outputs. Subsequently the Programme Manager indicates agreement (or rates differently) and rates progress towards the outcome. These ratings may be used by the country office and/or Headquarters for the ROAR analysis, as well as for input to evaluations and other purposes for results validation.]

FOR OUTCOMES:

❏ **Positive change (determined by evidence of movement from the baseline towards the end-SRF target measured by an outcome indicator)**

❏ **Negative change (reversal to a level below the baseline measured by an outcome indicator)**

❏ **Unchanged**

FOR OUTPUTS: Applied to each output target

[This is for the strategic outputs only. If the parties want rating of all outputs, the ones not in the SRF would be based on the project document, work plans or any other agreement on expected results.]

❏ **No (not achieved)**

❏ **Partial (only if two-thirds or more of a quantitative target is achieved)**

❏ **Yes (achieved)**

SOFT ASSISTANCE NOT PROVIDED THROUGH PROJECTS OR PROGRAMMES

[Soft assistance contributes to the outcome and/or outputs. This section asks the Project Manager to provide information about any activities conducted that were not envisaged in the work plan or have yet to produce concrete results. It aims to identify additional or specific activities that are required to ensure progress towards the outcome. This section of the APR could contribute to the reporting section in the ROAR regarding narrative on "advocacy and policy dialogue". It allows the country office and the project to work in the same direction in advocacy and dialogue. If soft assistance is not an issue for the project or too sensitive to address, this section may be left empty.]

What are the key activities (if any) of soft assistance undertaken by the project?

_____

What are the main constraints in progress towards outcome that require additional soft assistance?

1. _____

2. _____

3. _____

Please propose elements for soft assistance strategy for the next year: _____

LESSONS LEARNED

[The lessons learned from the APR should serve as input to the performance analysis of the ROAR as well as the annual review, which allows the partners to compile and exchange lessons learned from all projects and APRs.]

Describe briefly key lessons learned during the year:

1. _____

2. _____

3. _____

Prepared by: _____ **(Project management, name and title)**

[Note: Since reporting should as much as possible be electronic for efficiency, signature is not required. The Project Director can transmit it in an Email, through a website or through a computer programme.]

Annex D: Field Visit Report

The content of the field visit report varies depending on the purpose of the visit. At a minimum, any field visit report must contain an analysis of the progress towards results, the production of outputs, partnerships, key challenges and proposed actions. Additional information may be provided if necessary and requested by the country office management or the project steering committee (PSC). THE FORMAT FOR THE REPORT BELOW MAY BE CHANGED AT THE COUNTRY OFFICE LEVEL TO SUIT LOCAL NEEDS.

Date of visit: _____

Subject and venue of visit: _____
[Project number(s) and title(s), venue visited]

Purpose of the field visit: [Check those that apply, or write your own.]
- ❏ **Review of progress towards results**
- ❏ **Support decision-making**
- ❏ **Problem-solving**
- ❏ **Beneficiary satisfaction and feedback**
- ❏ **Learning**
- ❏ **Accountability**
- ❏ **Other (specify)** _____

[Same table as for the APR for consistency.]

| SRF GOAL: [imported from SRF] | | SRF SUB GOAL: [imported from SRF] | | STRATEGIC AREA OF SUPPORT: [from SRF] | | |

Outcomes	Update on outcome	Annual Outputs	Update on Outputs	Reasons if progress below target	Update on partnership strategies	Recommendations and proposed action
Outcome #1 [from SRF]	A brief analysis of the status of the situation and any observed change, any project contribution	For SRF outputs, use SRF targets. For other outputs, use project document or workplan.	Achievements of the project in outputs (marking if strategic). Use data from workplan if no SRF targets set.	If applicable.	Brief update on any achievement and/or problem (exception reporting).	Actions on any matter related to outcome, progress of outputs, and/ or partnerships. Corrective measures. Responsibilities/ time.
Outcome #2	If the project contributes to more than one outcome.					

PROJECT PERFORMANCE—IMPLEMENTATION ISSUES

[If the person conducting the field visit observes problems that are generic and not related to any specific output,or that apply to all of them, he/she should address the "top three"such challenges.]

List the three main challenges (at most, if any) experienced during implementation and propose a way forward.

1. _____

2. _____

3. _____

RATING ON PROGRESS TOWARDS RESULTS

[If the country office has decided to use ratings in the APR, it is useful to include a similar section here for validation.The UNDP Programme Manager, or other person conducting the visit, indicates his/her rating of progress.This can be used by the country office and/or Headquarters for the ROAR analysis, by the Steering committee for analysis and action as well as for input to evaluations.]

FOR OUTCOMES:

❏ **Positive change (determined by evidence of movement from the baseline towards the end-SRF target measured by an outcome indicator)**

❏ **Negative change (reversal to a level below the baseline measured by an outcome indicator)**

❏ **Unchanged**

FOR OUTPUTS: Applied to each output target
[This is for the strategic outputs only. If the parties want rating of all outputs, the ones not in the SRF would be based on the project document, work plans or any other agreement on expected results.]

❏ **No (not achieved)**

❏ **Partial (only if two-thirds or more of a quantitative target is achieved)**

❏ **Yes (achieved)**

LESSONS LEARNED

[If, during the visit, lessons learned emerge in the discussions with project management and/or beneficiaries, or the Programme Manager observes lessons directly, this section may be filled out.]

Describe briefly key lessons learned during the project:

1. _____

2. _____

3. _____

Participants in the field visit: [Only fill this out if the visit was joint and/or accompanied by someone.]

Prepared by: _____ **(Name, title and organization)**

[Note: Signature is not required since reporting should as much as possible be electronic for efficiency. The Programme Manager may transmit it in an Email, through a website or through a computer programme.]

ANNEXES

– List of persons met [Optional]

– Other annexes

Annex E: Menu of Monitoring Tools

The table below depicts how the three main groups concerned with UNDP's assistance—Project Managers, Programme Managers and senior management—might use the flexible menu of monitoring tools in a medium to large country office. Shading indicates that a tool is particularly important for that level. Individual country office structures and duties or course may not fall into these hard and fast distinctions.

MAIN RESPONSIBILITIES AND USES OF DIFFERENT MONITORING TOOLS			
MONITORING TOOL/ MECHANISM	**PROJECT MANAGER**	**UNDP PROGRAMME MANAGER**	**UNDP CO SENIOR MANAGERS**
Consolidated Delivery Report (CDR), Project Delivery Report (PDR)	Prepare and use the PDRs for budgeting and estimated expenditures.	Analyze in terms of spending against Budget Line and work plan. Process budget revisions if needed.	Not used,except when key problems of under delivery or overspending.
Project Work Plans	Prepare and use work plan for activities for results. Share it with project staff, CO and steering mechanism (if any). Use it to implement and review strategy for project, and to plan for resource use.	Participate in setting benchmarks in work plan. Review it to agree on key results and ensure that results contribute to SRF. May also use it to discuss activities and corresponding inputs,budget. Use critical milestones to monitor early warning for progress off target.	Not used.May be informed by PM of major events that need management knowledge or support.
Progress and/or Quarterly reports	Prepare as agreed in project documents or with UNDP. Share it with project staff,CO and steering mecha- nism (if any). Use it to present progress and problems.	Analyze the reports in terms of results achieved and progress. Take action. Share with outcome partners if relevant. May use it to assess work plan progress and new requests for funds.	Not used (unless major problems emerge on which the PM alerts the management).
Focus group meetings	May organize with project beneficiaries periodically. Ideally planned in project document. Use it to adapt strategy. Share results.	Use results to analyze and review strategy. Identify lessons learned. May also use with key partners to get feedback on outcome, normally by contract M&E experts to con- duct the meeting.	Not used. Only alerted by PM if policy issues or dissatisfaction emerge.
Bilateral/ Tripartite meetings	May initiate. Use to solve problems and discuss strategy.	May initiate. Use to provide feedback, solve problems and discuss strategy.	Will normally take part only when policy issues or decision- making involved, and/or when the Government counter- part takes part.
Substantive project documen- tation	Prepare as part of work plan. Use to share achievements and/or new thinking. May also be used for policy dialogue.	Analyze in terms of content, quality, action needed. Review conformity with work plan if major result. Identify policy issues. Use to monitor outcome where relevant.	Not used. Would normally receive major reports only within key subjects, and/or be alerted to issues by PM.

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MONITORING TOOL/MECHANISM	PROJECT MANAGER	UNDP PROGRAMME MANAGER	UNDP CO SENIOR MANAGERS
Annual Project report (APR)	Chief Technical Advisor (CTA) or Director prepares it. Shares it with project staff, CO and steering mechanism (if any). Rates output progress.	Provide instructions to project on what additional issues to include. Analyze in terms of content, quality, action needed. Rate output/outcome progress and review self-assessment by project of outputs. Share it with knowledge networks.	Make decisions on policy issues or follow-up if PM reports key problems. May look at APRs for major programmes. Look at trends.
Project evaluation	May request (normally planned in project document).May be asked to help organize the evaluation.Provide support and informa-tion. Take action.	May initiate. May organize the evaluation on behalf of government. Share lessons learned. Track action.	May take decision that project evaluation is needed. Take policy decisions with partners on recommendations, and develop manage-ment response.
Field visits	Provide support and information to visiting mission. Will visit implementation operations on the ground.	Normally visiting each outcome or programme/project contributing to SRF at least once a year. Can be undertaken by PM, policy advisor, a team from CO with/without partners. Verify results,recommend actions.	The resident representative and CO management are also encouraged to undertake select field visits.Make decisions on policy issues or follow-up if PM reports key problems.
Spot-check visits	Normally not used, though may conduct spot-checks for contractors. Ensure systems in place for CO spot-checks.	Most useful for monitoring admin-istrative and management account-ability. By Programme Support Unit (PSU), Programme manager or Administrative staff. Verify account-ability, make recommendations, identify bottlenecks,rate progress.	Take decisions only if key problems are reported, and follow-up on trends if general accountability problems emerge.
Client surveys	May organize for feedback from beneficiaries on project performance and/or needs.	May commission client surveys to obtain feedback on outcome progress. Use for validation of results/indicators,corrective action.	Take action according to findings of surveys, i.e., advocacy and/or corrective action to outcome strategy.
External assessments/monitoring	Not used.	May commission external expertise for independent technical validation of project results, outcome situation analysis or research.	Decide on strategic use of external expertise. Use the findings reported for feedback to partners on outcomes.
Outcome evaluation	Provide information and support to evaluation. Follow up if progress towards outcome is weak.	Main organizer with CO team and partners. Provide input on what outcome to select.Contract evaluation team. Lead development of TOR. Ensure participation/consultation.	Make strategic decisions on what outcomes to evaluate with partners.Share evaluation report with key partners. Lead management response.Follow-up/action. Monitor implementation of recommendations.

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RESOURCES & ANNEXES

MONITORING TOOL/ MECHANISM	PROJECT MANAGER	UNDP PROGRAMME MANAGER	UNDP CO SENIOR MANAGERS
Steering committees/ mechanisms	Share APR/other documents. Normally organizes meetings. Take action on decisions and adapts strategy.	Work with the project to ensure planning, results focus and follow-up. Share RBM approaches. Monitor follow-up. [For steering committees for outcome, see outcome group].	May lead the meetings. May be informed by PM only on key policy issues or problems emerge.
Stakeholder meeting/ workshop	Normally responsible for organizing it, according to work plan. Use to adapt strategy based on feedback from beneficiaries.	Encourage stakeholder meetings around outcome and/or project when useful. Ensure follow-up to plan of action from workshop. Use to assess outcome achievements by views from beneficiaries. Help to reorient direction for outcome progress.	Follow-up on policy issues. Advocacy for change if emerges from workshop. Use to build consensus around priorities. Use as input to annual review and evaluations.
Outcome group	Participate. Provide information on results/activities for project related to outputs and outcome. Change approach based on feedback from group.	Organize and participate, may lead the group. Assess status of strategic outputs/ outcomes, ensure imple- mentation on outcome monitoring. Develop/share lessons. Define strategic approach towards outcome. Input to outcome evaluation.	May lead the group particu- larly when external partners take part. Use inputs from outcome groups for input to annual review. Take action on policy issues emnerging.
Annual Review	Provide the APRs as a tool for discussion. May take part depending on subject detail being discussed. Adapt strategy based on review.	Provide highlights of reporting, evaluation and learning based on APR trends/key issues. Record conclusions and ensures follow-up for each outcome. Take part in review meetings. Help prepare the ROAR.	Ensure leadership and consultation. Use for building a consensus and a mutual understanding with partners around outcomes and performance. Use as input to UNCT assessment of progress on UNDAF/goals. Lead CO workplanning for next year. Monitor imple- mentation of key decisions.
Donor coordination groups	Rarely used.	May take part. Ensure feedback to projects.	Lead/participate in Agency head-level groups. Ensure results focus. Feed into ROAR.
CCA/UNDAF review	Rarely used. May provide information on thematic or technical issues.	May take part. Apply lessons learned to programming. Ensure feedback to projects.	Lead/participate in Agency head-level groups. Ensure results focus.
Thematic evaluations/ impact evaluations	Rarely used.	May be consulted for information. Apply lessons learned to programming.	Decide on conduct and use of such evaluations. Lead follow-up and learning. Feed into ROAR.
ROAR	Will provide information through the APR. May receive it for feedback.	Prepares it in a team, based on APRs and annual review. Provides feedback to projects.	Use as management tool. Liaise with Headquarters. Share with key partners.

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