Session 7:

Monitoring and Evaluation for CCA Projects

11 September 2017

USAID Climate Change Adaptation Project Preparation Facility for Asia and the Pacific
(USAID Adapt Asia-Pacific)

Objectives

- **Understand the purposes of monitoring and evaluation in the context of a climate change adaptation project**

- **Developing monitoring and evaluation plan**

- **Identify indicators for monitoring and procedures for evaluation**

PART 1:

RELATIONSHIP OF MONITORING AND EVALUATION TO PROJECT DESIGN

M&E in the real world: Can you share your experience please?

- **Monitoring: Systematic collection of information to determine if adaptation activities are implemented as intended.**

- **It aims to improve the project design and functioning while in action,** so that timely action can be taken to correct deficiencies detected.

- Good Monitoring looks for **"what is going well"** and **"what is not going well"** in terms of progress towards projected results.

Key terms-Evaluation

- **Evaluation** is a process which attempts to determine the **relevance, effectiveness, efficiency** and **impact** of activities of your project in the light of specified objectives.

- Evaluations involve **identifying and reflecting upon the effects of what has been done, and judging their worth**.

- **Evaluations include** <u>project evaluations</u> **and** <u>audits</u>

  o **<u>Project evaluations</u> look at impact, effectiveness, efficiency, sustainability**

  o **<u>Audits</u> focus on compliance**

Do outcomes matter?

Brilliant surgery! Well done! Shame the patient died.

Midterm Evaluation	Occur midway through implementation. If project run longer then 24 month Midterm Evaluation may be needed (Formative)
Final Evaluation	Conducted at the completion of project (often externally) (Summative)
Ex-Post/ Impact Evaluation	Conducted some time after implementation to assess long-term impact and sustainability

Types of Evaluation
According to Who Conducts Evaluation

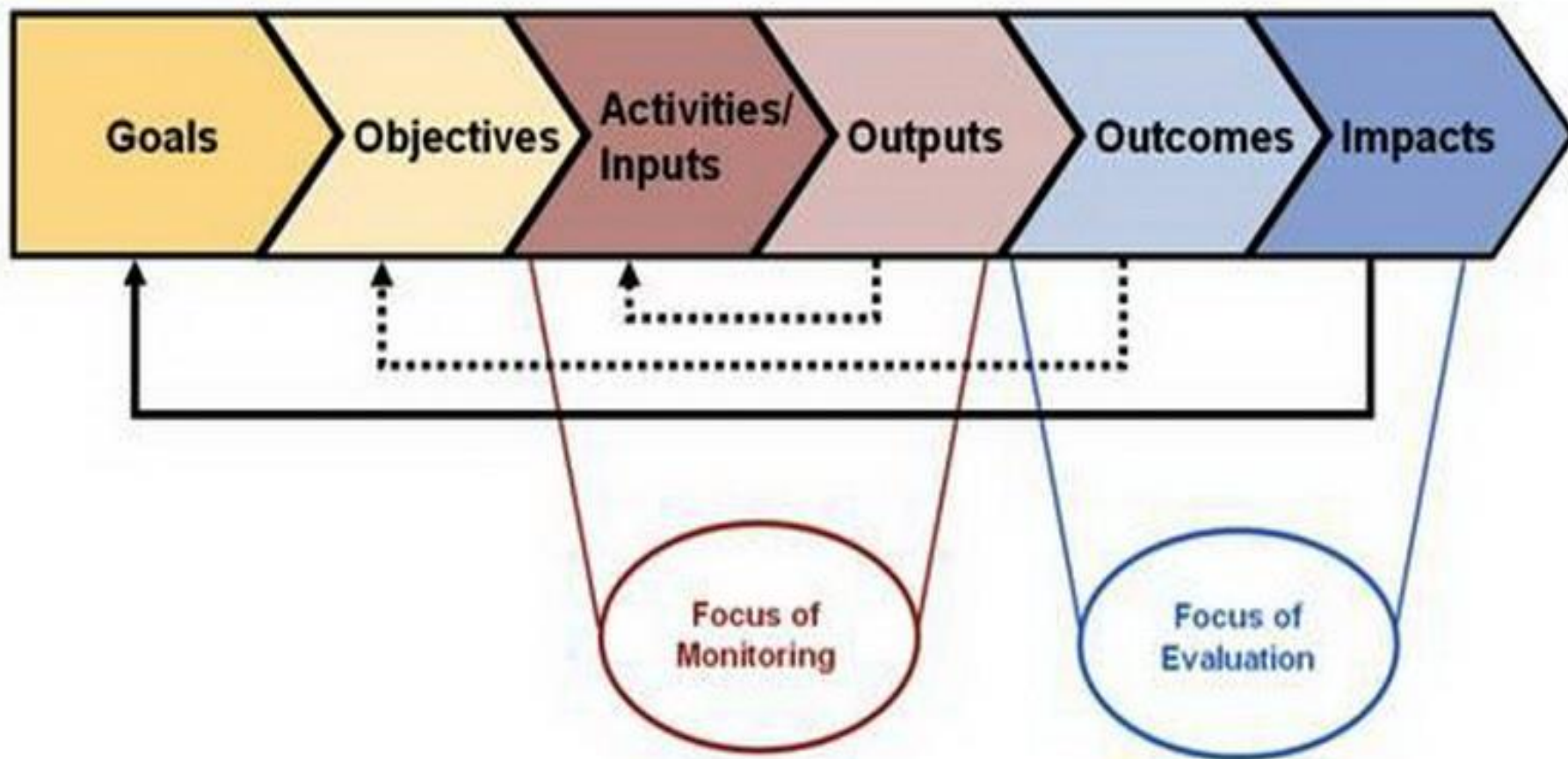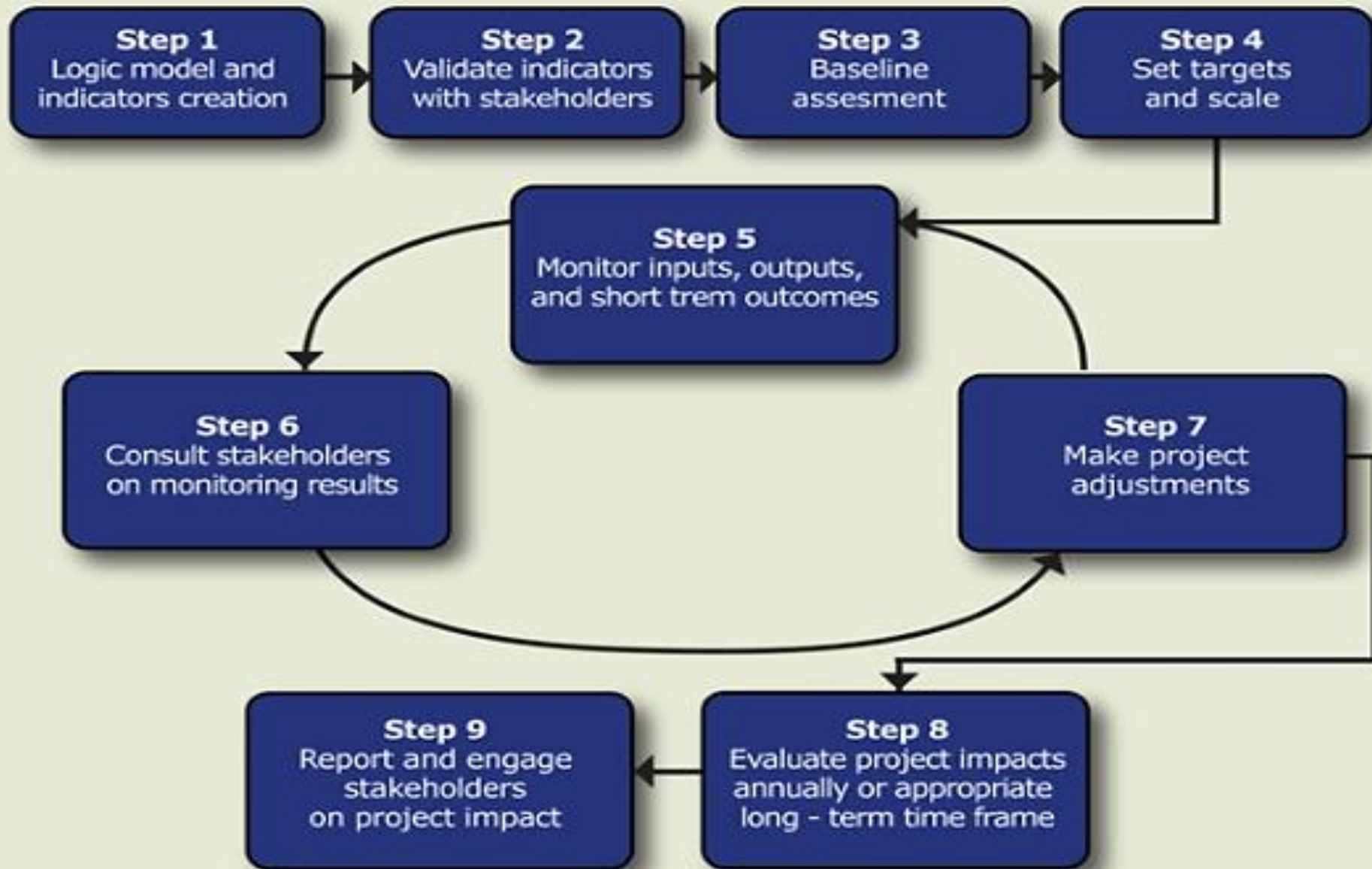|	
Internal or Self-Evaluation	Conducted by project implementers/ responsible organization
External or Independent Evaluation	Conducted by external evaluators outside of implementing team to ensure objectivity and with focus on accountability
Participatory Evaluation	Conducted with the beneficiaries and other key stakeholders, and can be empowering, building their capacity, ownership and support.
Joint Evaluations	Conducted collaboratively by implementing partner/s, help build consensus at different levels, credibility and joint support

Monitoring vs. Evaluation

MONITORING	?	EVALUATION
• Ongoing, continuous progress checking. • Focuses on project activities • Provides continuous feedback to improve performance	**WHAT?**	• Matching Results to Objectives. • Evaluation assesses the entire project cycle. • Provides feedback and judgments about success, effectiveness, etc.
Keep project going, improving	**WHY?**	Determine impact/ success of the project
Daily, weekly, monthly, quarterly	**WHEN?**	Varies - beginning and end of programme/project phase/s, end of project timeframe, before realizing installments
• Financial and Progress reports, • Participants feedback, • Site visits, • Observations, • Telephone calls, • media monitoring/ press clipping	**HOW?**	• Questionnaires, • Focus group interviews, • Focused site visits and observations, quantitative information, • Analysis of information gathered during monitoring
Monitoring is usually done by people directly involved in project implementation	**WHO?**	Evaluation is best conducted by an independent outsider who can be impartial in consulting with implementers

What is Focus of Monitoring and Evaluation?

Goals → Objectives → Activities/Inputs → Outputs → Outcomes → Impacts

Focus of Monitoring

Focus of Evaluation

Steps in M&E

Step 1
Logic model and
indicators creation

Step 2
Validate indicators
with stakeholders

Step 3
Baseline
assesment

Step 4
Set targets
and scale

Step 5
Monitor inputs, outputs,
and short trem outcomes

Step 6
Consult stakeholders
on monitoring results

Step 7
Make project
adjustments

Step 9
Report and engage
stakeholders
on project impact

Step 8
Evaluate project impacts
annually or appropriate
long - term time frame

➢ *The M&E framework is an <u>essential</u> part of the project's design and should be developed along with the logical framework*

➢ *Adequate resources <u>must</u> be allocated for M&E activities and included in the project's budget*

PART 2:

DEVELOPING YOUR MONITORING & EVALUATION PLAN

➢ Develop Arrangements and Mechanisms for M&E and Reporting

➢ Define who is responsible for M&E Reporting processes

➢ Establish set of <u>indicators for Impact, Outcome and Output</u> to measure progress

➢ Prepare **timeline** for carrying out monitoring and evaluation and **dates for delivering progress reports**

➢ **Plan for M&E human resources and capacity building**

➢ **Prepare the M&E budget**

➢ Prioritise key stakeholders input/feedback

Reporting

- **Projects generally have periodic reporting requirements**
  - *Monthly,*
  - *Quarterly,*
  - *Semi-annually (every 6 months),*
  - *Annually*

- **Reporting should use consistent formatting and <u>reference indicators</u>**

Costing an Evaluation

Your budget should include adequate resources for evaluations. Consider the costs of the following:

- *External advisors & auditors….person days, rate, travel*

- *Stakeholder consultations….venue costs*

- *Data collection and analysis tools and methods*

- *Communication costs*

- *Publication and dissemination*

PART 3:

IDENTIFY INDICATORS FOR MONITORING AND PROCEDURES FOR EVALUATION

What are Indicators?

"I THINK YOU SHOULD BE MORE EXPLICIT HERE IN STEP TWO."
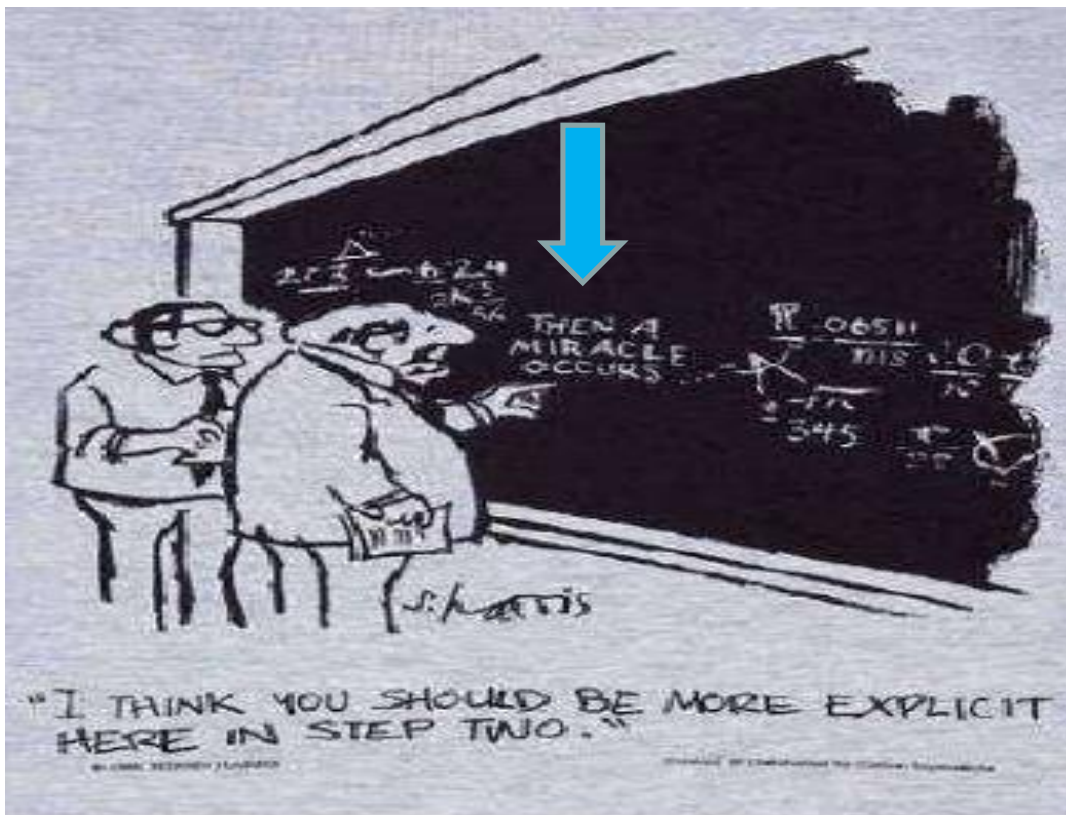
What are Indicators?

➢ **A means to measure achievement, or to help assess a development**

➢ Help us to know if our projected changes have happened?

➢ Are **quantitative or qualitative variables** that enable **changes produced** by an action **to be measured** relative to what was planned.

MEASURE SUCCESS

Characteristics of Indicators

➤ **What is to be measured?** *(What is going to change?)*

➤ **Unit of measurement to be used** *(to describe the change, e.g.- %, figures)*

➤ **The pre-programme status** *("baseline", e.g., 40 % in 2013)*

➤ **Size, magnitude or dimension of intended change** *(e.g., 75 % in 2014, 500 houses retrofitted, 10 training courses convened etc.)*

➤ **Quality or standard of the change to be achieved (***e.g., improvements)*

Characteristics of Good M&E Indicators

- **Good indicators should help reveal the quality and effectiveness of project implementation**

- **Should be valid indicator of output, outcome or impact**

- **Should be relatively easy to gather and maintain**

- **Should be easy to communicate**

- **Should make sense to key stakeholders**

SMART Indicators

> ***Specific*:** target a specific area for improvement. Is the indicator specific enough to measure progress towards the results?

> ***Measurable*:** Is the indicator a reliable and clear measure of results?

> ***Attainable*:** Are the results in which the indicator seeks to chart progress realistic?

> ***Relevant*:** Is the indicator relevant to the intended outputs and outcomes?

> ***Time-bound*:** Are data available at reasonable cost and effort?

Indicators can either be quantitative or qualitative.

Quantitative indicators are statistical measures that measure results in terms of:

- Number
- Percentage
- Rate (example: birth rate—births per 1,000 population)
- Ratio (example: sex ratio—number of males per number of females)

Qualitative indicators reflect people's judgements, opinions, perceptions and attitudes towards a given situation or subject. Qualitative indicators measure results in terms of:

- Compliance with…
- Quality of…
- Extent of…
- Level of …

Quantitative indicators:

- **Number of clinic visits**

- **Vaccination coverage**

- **% of deliveries assisted by trained personnel**

- **Number of cases of different diseases and malnutrition by sex and in age groups**

Qualitative indicators:

- **Satisfaction of people with health services provided**

- **Involvement of different groups in decision-making and management**

- **Types of decisions made**

Types of Indicators

Monitoring and evaluation generally use 4 types of indicators to measure different aspects of program performance.

1. **Input indicators** measure the human and financial resources, physical facilities, equipment and supplies that enable implementation of a program.

2. **Output indicators** report on the results of program efforts and inform us about the direct products or deliverables of program activities *(ex. # of trainings organized, # of materials developed,# of partners trained)*

3. **Outcome indicators** measure the program's level of success in improving service accessibility, utilization or quality. These types of indicators are often reported as percentages or rates, *(ex. % of the population with knowledge of CCA).*

4. **Impact indicators** measure the long-term, cumulative effects of programs over time on the larger social system.

➢ **Monitoring** focuses primarily on the first two categories of indicators, while **Evaluation** focuses largely on the last two categories.

Data Needs for M&E

Once the <u>indicators are identified</u>, the stakeholders should establish <u>baselines</u> and <u>targets</u> for the level of change they would like to see.

1. **The first step is to determine *indicators* that can be *verified***

2. **Then establish a baseline for comparison...*baseline study***

3. **Then determine methods for data collection and data sources**

Indicators, Baseline and Targets

➤ Once the <u>indicators are identified</u>, the stakeholders should establish <u>baselines</u> and <u>targets</u> for the level of change they would like to see.

➤ **The baseline and target should be clearly aligned with the indicator, using the same unit of measurement.**

▪ **<u>Indicators</u>** tell us what we want to measure. They are units of measure only.

▪ **<u>Targets</u>** (Benchmarks, Milestones) have a specific value attached – usually a number and/or a date -and help us track our progress.

▪ **<u>Baseline data</u>** establishes a foundation from which to measure change. With baseline data, progress can be measured against the situation that prevailed before an intervention.

- **Means of verification** play a key role in grounding an initiative in the realities of a particular setting.

- When defining results and their indicators, it is thus important to consider how data will be obtained through monitoring and evaluation processes.

- Results and indicators need to be based on measurable, independently verifiable data, to ensure that initiative is realistic or achievable.

Indicator	Baseline	Target	Means of Verification
IMPACT: Increased public participation in national and local elections, particularly by women, indigenous populations and other traditionally marginalized groups			
Overall proportion of eligible voters who vote in the national (or local) elections	2006: 42% of eligible voters voted in national elections	2010: 70% of eligible voters vote in national elections	Office of Electoral Administration's final report on elections
OUTCOME: Electoral administrative policies and systems reformed to ensure freer and fairer elections and to facilitate participation by marginalized groups			
Percentage of public that believe that the electoral management process is free and fair	2006: 30% (based on last survey conducted)	2010: 80%	Special survey to be undertaken as part of the electoral assistance project in 2008 and 2010
Percentage increase in number of women registered to vote	2007: 0% of women registered to vote (women were not allowed to vote)	2010: 20% annual increase in percentage of eligible women registered to vote	Office of Electoral Administration's database
OUTPUT 2: National electoral management agency has systems, procedures and competencies to administer free and fair elections			
Percentage of electoral centres using multiple forms of voter identification measures	2006: 0% of centres used multiple forms of voter identification	2009: 70% of centres use two or more forms of voter identification, including fingerprint identification (annual targets may be set)	Electoral Office database

"Building Resilient Communities and Ecosystems through Restoration of Wetlands and Associated Catchments in Uganda" submitted by UNDP;

H.1.1. Paradigm Shift Objectives and Impacts at the Fund level

Fund Level Impacts

Expected Result	Indicator	Means of Verification	Baseline	Target		Assumptions
				Mid-term	Final	
Improved resilience of ecosystems and ecosystem services	Area (ha) of habitat or kilometres of coastline rehabilitated	IE reports and ongoing project M&E documentation. Field impact surveys. Remote sensing images	483 ha of wetland restored. 5,000 ha of catchment restored	20,000 ha restored wetland 7,000 ha restored catchment	64,370 ha restored wetland 11,630 ha restored catchment	
	Area of agroforestry projects, forest-pastoral systems, or ecosystems –based adaptation systems established or enhanced		2000 ha of agroforestry	10,000 ha	35,000 ha	

Irrigation development and adaptation of irrigated agriculture to climate change in semi-arid Morocco (Agence Française de Développement -AFD)

H.1.1. Paradigm Shift Objectives and Impacts at the Fund level

Fund Level Impacts

Expected Result	Indicator	Means of Verification	Baseline	Target		Assumptions
				Mid-term	Final	
Increased resilience and enhanced livelihoods of the most vulnerable people, communities and regions	Number of males and females benefiting from the adoption of diversified, climate resilient livelihood options	Census	0	2,000	5,500	All oasis farmers and families will benefit from improved access to agricultural water and from economic and social development
Increased resilience of health and well-being, and food and water security	Number of males and females with year-round access to reliable and safe water supply despite climate shocks and stresses	Census	0	1500 (40% women)	5,500 (40% women)	All oasis farmers and families will benefit from improved access to agricultural water and from economic and social development

Example: Uganda GCF Project
Outcome Indicators

"Building Resilient Communities and Ecosystems through Restoration of Wetlands and Associated Catchments in Uganda" submitted by UNDP

H.1.1. Paradigm Shift Objectives and Impacts at the Fund level						
Project outcomes	Outcomes that contribute to Fund-level impacts					
Expected Result	Indicator	Means of Verification	Baseline	Target		Assumptions
				Mid-term	Final	
Strengthened adaptive capacity and reduced exposure to climate risks	Use by vulnerable households, communities, businesses and publicsector services of Fundsupported tools, instruments, strategies and activities to respond to climate change and variability	IE reports and Ongoing project M&E documentation. Field impact surveys.	1000 hs (52% female)	15,500 hs - 10% of hs (52% female)	75,000 hs - 50% of hs (52% female)	
	Number of males and females reached by [or total geographic coverage of] climaterelated early warning systems and other risk reduction measures established/ strengthened		1300 females and 1650 males	30% of the target population receives accurate and actionable climate information and EW	70% of the target population receives accurate and actionable climate information and EW	

"Simiyu Climate Resilience Project" Tanzania - KfW Entwicklungsbank

H.1.1. Paradigm Shift Objectives and Impacts at the Fund level					
Project outcomes	Outcomes that contribute to Fund-level impacts				
Expected Result	**Indicator**	**Means of Verification**	**Baseline**	**Target**	**Assumptions**
Strengthened institutional and regulatory systems for climate-responsive planning and development	Number of key targeted institutions with evidence of their strengthened capacity and coordination mechanisms to mainstream climate resilience	Project reports, Annual utility performance assessment report Competency assessment Framework,	0	50 (including community based organisations)	Trained staff remain at related positions/posts. Targeted entities continue to commit themselves to multisectoral planning and implementation procedures
	Number of effective regulations/policies introduced/adjusted to address climate change		0 Regulations or policies adopted	4 regulations or policies adopted	

"Building Resilient Communities and Ecosystems through Restoration of Wetlands and Associated Catchments in Uganda" submitted by UNDP

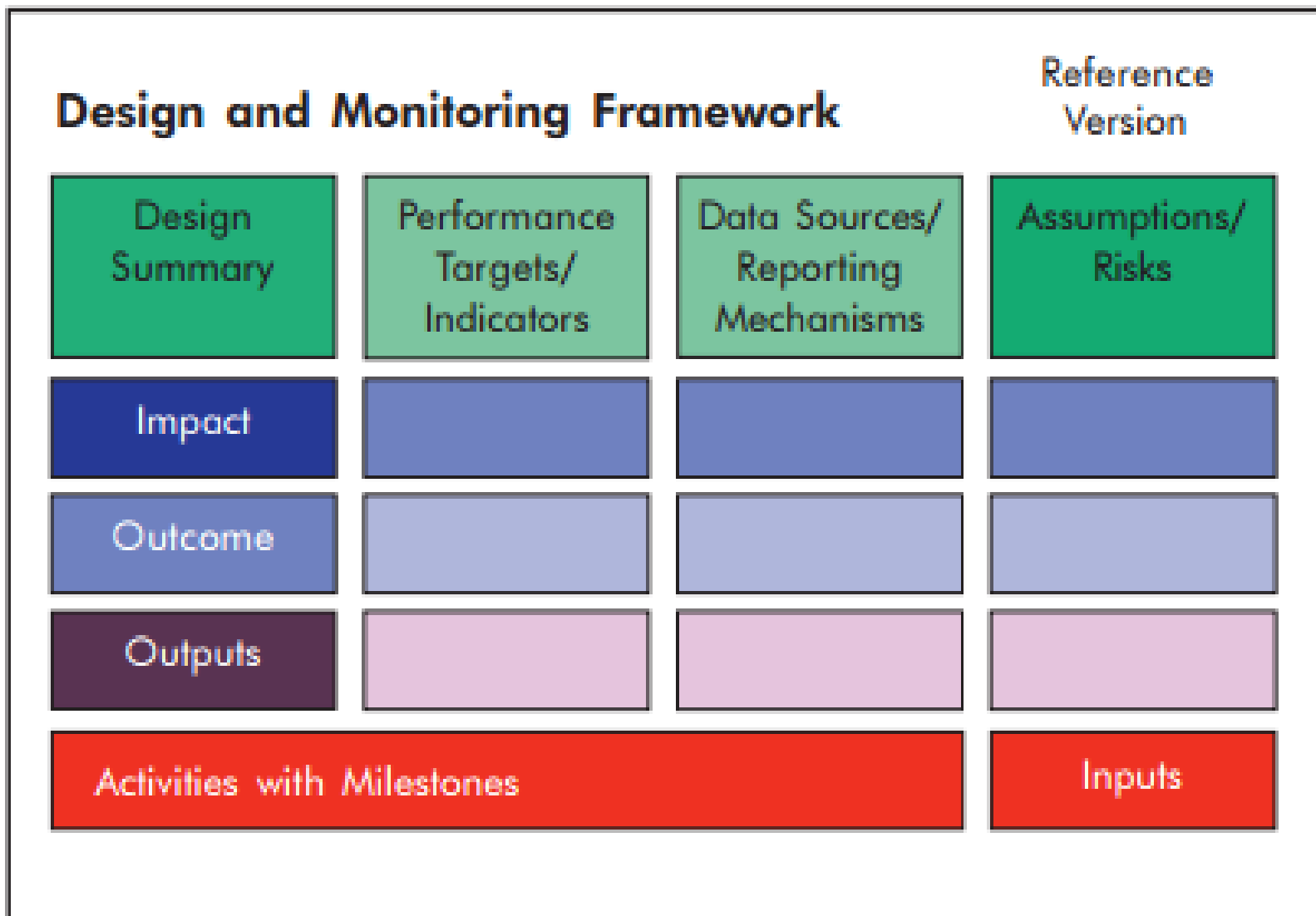| H.1.1. Paradigm Shift Objectives and Impacts at the Fund level						
Project outputs	**Outputs that contribute to outcomes**					
Expected Result	**Indicator**	**Means of Verification**	**Baseline**	**Target**		**Assumptions**
				Mid-term	Final	
Improved agricultural practices and alternative livelihood options in the wetland catchment	Percentage increase in agricultural incomes and alternative livelihoods in the project sites.	Field impact surveys, End of project independent evaluation reports	Determined during year 1 through field survey		100% increase in agricultural incomes. 50,500HHs	Farmer acceptability of risky adaptation measures may limit project implementation. Commitment from the community
	Number of women involved in livelihoods and employability interventions in the project sites.				At least 50% of the people involved in the interventions at each site are women (this includes management committees)	

"Building Resilient Communities and Ecosystems through Restoration of Wetlands and Associated Catchments in Uganda" submitted by UNDP

H.1.1. Paradigm Shift Objectives and Impacts at the Fund level

Project outputs | **Outputs that contribute to outcomes**

Expected Result	Indicator	Means of Verification	Baseline	Target Mid-term	Target Final	Assumptions
Strengthening access to climate and early warning information to farmers and other target communities	% of population with access to improved climate information and drought, flood and severe storm warnings (disaggregated by gender).	Review of agricultural practices and plans to validate incorporation of risk, weather and/or climate information Gender-sensitive field surveys undertaken within identified priority sites, representative of the Ugandan population; consultant reports.	Currently climate information and early warning are not provided to the majority – 3,950 people	70% of men and women in the project area have access to improved climate information and flood, drought and severe weather warnings		Awareness raising activities, and the demonstration of the advantages of responding to the information provided through the established EWS, will ensure the commitment of the communities in participating in the GCF project.

Design and Monitoring Framework

Reference Version

Design Summary	Performance Targets/ Indicators	Data Sources/ Reporting Mechanisms	Assumptions/ Risks
Impact			
Outcome			
Outputs			
Activities with Milestones			Inputs

A Step by Step Guide to Monitoring and Evaluation. Oxford University School of Geography and the Environment.
http://www.geog.ox.ac.uk/research/technologies/projects/mesc/guide-to-monitoring-and-evaluation-v1-march2014.pdf

Finland Ministry of Foreign Affairs Guidelines for Programme Design, Monitoring, and Evaluation.
https://www.oecd.org/derec/finland/38141776.pdf

Ten Steps to a Results-Based Monitoring and Evaluation System.
https://openknowledge.worldbank.org/bitstream/handle/10986/14926/296720PAPER0100steps.pdf

THANK YOU!

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