

**NATIONAL DEVELOPMENT PLANNING COMMISSION**



REPUBLIC OF GHANA

**GUIDELINES**

**FOR THE PREPARATION OF**

**THE SECTOR MONITORING AND EVALUATION PLAN**

**UNDER**

**GHANA SHARED GROWTH AND DEVELOPMENT AGENDA  
(GSGDA II), 2014-2017**

NDPC, JULY 2014

## Table of Contents

<i>List of Acronyms &amp; Abbreviations</i> .....	3
<b>CHAPTER ONE</b> .....	<b>4</b>
<b>1 INTRODUCTION</b> .....	<b>4</b>
1.1 BACKGROUND .....	4
1.2 RATIONALE .....	5
1.3 STRUCTURE OF THE GUIDELINES .....	6
1.4 PROCESS OF DEVELOPING THE GUIDELINES .....	6
1.5 M&E MANUAL AND TRAINING WORKSHOPS .....	7
<b>CHAPTER TWO</b> .....	<b>8</b>
<b>2 INSTITUTIONAL ARRANGEMENTS FOR SECTOR M&amp;E</b> .....	<b>8</b>
2.1 MONITORING AND EVALUATION MANDATE AND FUNCTIONS OF THE NDPC .....	8
2.2 SECTOR M&E INSTITUTIONS, ROLES AND RESPONSIBILITIES .....	8
2.3 REGIONAL M&E INSTITUTIONS, ROLES AND RESPONSIBILITIES .....	9
2.4 DISTRICT M&E INSTITUTIONS, ROLES AND RESPONSIBILITIES .....	10
2.5 M&E ROLES OF TRADITIONAL AUTHORITIES AND CSOs .....	11
2.6 M&E ROLES OF DEVELOPMENT PARTNERS .....	12
<b>CHAPTER THREE</b> .....	<b>13</b>
<b>3 SEQUENCE OF ACTIVITIES TO PREPARE THE M&amp;E PLAN</b> .....	<b>13</b>
STEP 1: IDENTIFICATION AND ANALYSIS OF STAKEHOLDERS .....	13
STEP 2: ASSESSING CAPACITIES AND CONDITIONS FOR MONITORING AND EVALUATION .....	14
STEP 3: MONITORING INDICATORS .....	15
STEP 4: MONITORING MATRIX .....	16
STEP 5: M&E WORK PLAN AND CALENDAR .....	16
STEP 6: M&E BUDGET .....	17
STEP 7: DATA COLLECTION, VALIDATION AND COLLATION .....	18
STEP 8: DATA ANALYSIS AND USE OF THE RESULTS .....	19
STEP 9: REPORTING .....	20
STEP 10: DISSEMINATION AND COMMUNICATION OF M&E RESULTS .....	21
<b>CHAPTER FOUR</b> .....	<b>23</b>
<b>4 DEVELOPMENT EVALUATION</b> .....	<b>23</b>
4.1 TYPES AND METHODS OF EVALUATIONS .....	23
4.2 THE EVALUATION PROCESS .....	23
4.3 THE EVALUATION MATRIX .....	23
4.4 EVALUATION NORMS AND STANDARDS .....	24
<b>CHAPTER FIVE</b> .....	<b>25</b>
<b>5 PARTICIPATORY M&amp;E</b> .....	<b>25</b>
5.3 PM&E METHODS .....	25
5.2 GUIDELINES ON CARRYING OUT PM&E .....	25
<b>ANNEXES</b> .....	<b>26</b>
ANNEX A: <i>Glossary of some M&amp;E Concepts and Terms</i> .....	26
ANNEX C: <i>Proposed Programme for Preparing the Sector M&amp;E Plan</i> .....	29

## List of Acronyms & Abbreviations

AIDS	Acquired Immune Deficiency Syndrome
APR	Annual Progress Report
BECE	Basic Education Certificate Examination
CBO	Community Based Organisation
CSO	Civil Society Organisation
CSPG	Cross Sectoral Planning Group
CWIQ	Core Welfare Indicators Questionnaire
DA	District Assembly
DACF	District Assembly Common Fund
DBO	District Budget Officer
DCD	District Coordinating Director
DCE	District Chief Executive
DFO	District Finance Officer
DPCU	District Planning Coordinating Unit
DMTDP	District Medium-Term Development Plan
DP	Development Partner
DPO	District Planning Officer
GDHS	Ghana Demographic and Health Survey
GLSS	Ghana Living Standards Survey
GPRS I	Ghana Poverty Reduction Strategy
GPRS II	Growth and Poverty Reduction Strategy
GSGDA I	Ghana Shared Growth and Development Agenda (2010 – 2013)
GSGDA II	Ghana Shared Growth and Development Agenda (2014 – 2017)
GSS	Ghana Statistical Service
HIPC	Highly Indebted Poor Country (initiative)
HIV	Human Immune Deficiency Virus
ICT	Information and Communication Technology
IGF	Internally Generated Fund
M&E	Monitoring and Evaluation
MDAs	Ministries, Departments and Agencies
MMDA	Metropolitan, Municipal and District Assembly
MICS	Multiple Indicator Cluster Survey
MLGRD	Ministry of Local Government and Rural Development
MOF	Ministry of Finance
MOGCSP	Ministry of Gender, Children and Social Protection
MTEF	Medium Term Expenditure Framework
NDPC	National Development Planning Commission
NDPF	National Development Policy Framework
NGO	Non-Governmental Organisation
PM	Presiding Member
PM&E	Participatory Monitoring and Evaluation
PPMED	Policy, Planning, Monitoring and Evaluation Division
RCC	Regional Coordinating Council
RPCU	Regional Planning Coordinating Unit
SMTDP	Sector Medium Term Development Plan
TA	Traditional Authority

## CHAPTER ONE

### 1 INTRODUCTION

#### 1.1 Background

The Government of Ghana is committed to prudent management and accountability practices within the public service that result in effective and efficient delivery of services for the benefit of all people living in Ghana. Government is further committed to the Medium Term Expenditure Framework (MTEF) that links resource allocation to the national development policy objectives and the delivery of specified outputs and outcomes.

Annually, Government commits significant resources to support a wide range of development interventions that are designed to improve the general standards of living in the country. The Ghana Poverty Reduction Strategy (GPRS I), implemented from 2003 to 2005, was a broad-based development strategy for accelerated growth and poverty reduction. It focused heavily on poverty reduction programmes and projects. The emphasis in the Growth and Poverty Reduction Strategy (GPRS II), implemented from 2006 to 2009, was on growth-inducing policies and programmes which have the potential of supporting wealth creation for sustainable poverty reduction. The Ghana Shared Growth and Development Agenda (GSGDA I), 2010 – 2013 placed emphasis on human development, transparent and accountable governance and infrastructural development, in support of agricultural modernisation, natural resource development, particularly oil and gas, private sector development, Information and Communication Technology (ICT), housing and energy for accelerated employment creation and income generation for poverty reduction. The Ghana Shared Growth and Development Agenda (GSGDA II), 2014 – 2017 re-emphasised the themes of GSGDA I but focused on structural transformation. The framework also envisages protecting the environment and minimizing the impacts of climate change.

#### **Box 1.1 Monitoring**

*Systematic collection of data on specified indicators to track the use of resources and progress towards the achievement of stated goals, objectives and outputs*

All government agencies responsible for the implementation of the programmes and projects of GSGDA II should demonstrate, through evidence-based information, that these interventions are having the desired impacts in terms of positively transforming the lives of all targeted beneficiaries. In the context of good public sector governance, the application of Monitoring and Evaluation (Box 1.1 and 1.2) tools to generate reliable and accurate information to help government make sound policies and decisions is becoming increasingly relevant. Indeed, the establishment of a comprehensive national Monitoring and Evaluation (M&E) system is key to facilitating the realisation of Ghana's vision of becoming a higher middle income economy.

#### **Box 1.2 Evaluation**

*The systematic and objective assessment of the design, implementation and results of an on-going or completed project, programme or policy*

The Sector M&E Guidelines seek to place the practice of monitoring and evaluation within this broader public sector management and accountability framework. Systematic reviews of GPRS I&II and

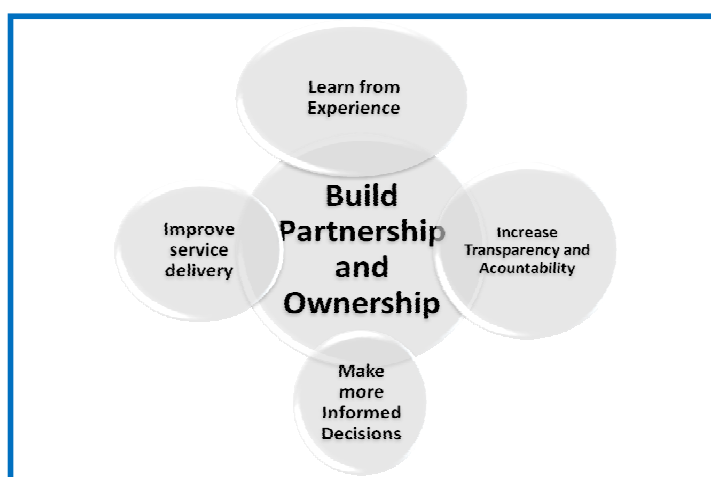
GSGDA I implementation produced Annual Progress Reports (APRs) for the years 2002 to 2012. Increased efforts were also made to ingrain the culture of M&E in all Ministries, Departments and Agencies (MDAs).

The Guidelines underpin the development of an integrated national M&E system. Monitoring the implementation of the Sector Medium Term Development Plans (SMTDPs) from 2014 to 2017 will be a continuation of the collaborative effort to develop an efficient results-based National M&E system. It will facilitate the collection, processing, analysis and dissemination of information on performance and outcomes. It will further enable the National Development Planning Commission (NDPC) and other MDAs to feed the analysis from the District and Regional APRs directly into policy and decision making processes.

## 1.2 Rationale

There are many reasons for the increasing efforts to strengthen and fully institutionalize an M&E system in Ghana. The core argument for M&E is that services can be continually improved through informed decision making, leading to improved standard of living. The recognition that resources are limited and the ever-rising expectations from citizens for better services are enough reasons to find more cost effective ways of operating so that

**Figure 1:1 M&E Core Values**



government can do more with less resources. Civil society, parliament and other stakeholders are also putting accountability pressures on government to publicly report on performance. This is particularly true in Ghana, where government is committed to deliver on public sector transparency and accountability. As a result, government has taken purposive steps to establish and progressively refine the M&E systems in support of its core functions. M&E in the country now places more emphasis on being results-based (assessing if real changes have occurred) rather than being implementation-based (concerned with the implementation of activities).

The main purpose of the Sector M&E Guidelines is to provide guidance for MDAs to prepare M&E plans for their Medium-Term Development Plans. The Guidelines therefore ensures that a uniform approach is used for a results-based M&E system in all sectors. It is primarily meant to institute an effective and efficient system for tracking the progress of programmes and projects in each sector. The key outputs from the Guidelines will be the Sector Monitoring and Evaluation Plans and the Sector quarterly reports and APRs. Copies of all the sector reports should be forwarded to NDPC and shared with other stakeholders.

Systematic monitoring and evaluation of the SMTDP and reporting will show the extent of progress made towards the implementation of GSGDA II and will further help to:

- 1) Assess whether SMTDP targets were being met
- 2) Identify achievements, constraints and failures so that improvements can be made to the SMTDP and project designs to achieve better impact

- 3) Identify the appropriate interventions that will increase the responsiveness of targeted beneficiaries
- 4) Provide information for effective coordination of sector development
- 5) Document lessons learned from the implementation of programmes and projects
- 6) Improve service delivery and influence allocation of resources in the sector
- 7) Demonstrate results to stakeholders as part of accountability and transparency
- 8) Reinforce ownership of the SMTDP and build M&E capacity within each Sector (Figure 1.1).

**Box 1.3: The M&E Plan**

*The M&E plan is a concise document that provides a roadmap on how M&E will be conducted. This plan will assist MDAs to measure progress toward achievement of the SMTDP goals and objectives in a structured way. It provides a clear direction on how specific activities and expected results of the SMTDP will be utilised. The plan incorporates components that will make it possible to understand the SMTDP, reflect and learn lessons from its implementation. The process of developing the plan must be as participatory and collaborative as possible. A strong feedback from public hearings is highly recommended. The plan write-up should be kept as simple as possible.*

### **1.3 Structure of the Guidelines**

The Guidelines presents a step by step process for developing the Sector M&E Plan (Box 1.3). It assigns M&E responsibilities and:

- 1) Recommends ways of assessing needs and creating the necessary supporting capacities and conditions
- 2) Provides guidance on indicator development and how to link them to the goal and objectives of the SMTDP
- 3) Recommends ways of developing the M&E work plan and budget
- 4) Provides a guide on M&E data collection and analysis
- 5) Stipulates what reports to generate, the reporting times and formats
- 6) Recommends the preparation of a dissemination and communication strategy
- 7) Provides definitions for some of the key terms used in the Guidelines
- 8) Proposes a programme for preparing the Sector M&E Plan.

### **1.4 Process of Developing the Guidelines**

The NDPC prepared the first M&E Guidelines under GPRS II with inputs from several partners and stakeholders following the following process:

- The first draft was produced after reviewing numerous M&E literature and Guidelines.
- The second draft was reviewed internally and distributed to other stakeholders for their inputs.
- Key stakeholders thoroughly reviewed the third draft at a workshop and their comments incorporated.
- A retreat was organised by staff of the M&E Division to edit and format the final document.

A second edition of the M&E Guidelines was produced under GSGDA I. The process involved literature review, discussions and a review workshop by staff of the M&E Division.

This third edition of the Guidelines under GSGDA II was produced after perusal of the previous guidelines followed by a review workshop. A second workshop was organised for key stakeholders to review the revised draft. Staff of the M&E Division incorporated the comments from the stakeholders, edited and formatted the document for printing.

## **1.5 M&E Manual and Training Workshops**

NDPC in collaboration with other stakeholders has developed an M&E Manual. The manual provides detailed information on key M&E topics. This manual will form the basis for the capacity building exercises for DPCUs, Presiding Members of District Assemblies, District Chief Executives (DCEs), RPCUs, PPMEDs, Chief Directors, Members of Parliament and Ministers, etc.

## CHAPTER TWO

### 2 INSTITUTIONAL ARRANGEMENTS FOR SECTOR M&E

Chapter two outlines the institutional arrangements that will support and sustain effective M&E at all levels. It defines roles and responsibilities of NDPC, other government agencies and officials in accordance with the relevant legal provisions. It lays emphasis on the involvement of traditional authorities, civil society organisations, the general public and development partners to create a holistic and participatory approach, effective feedback mechanisms and demand for M&E information.

#### 2.1 Monitoring and Evaluation Mandate and Functions of the NDPC

The NDPC is the institution established and mandated by Articles 86 and 87 of the 1992 Constitution to guide the formulation of development policies and plans and to undertake the Monitoring and Evaluation of the country's development efforts. The NDPC advises the President and Parliament (on request) on the performance of public policy and programmes, their impacts, and on the need for policy reforms. Whereas the National Development Planning Commission Act, 1994 (Act 479) established the Commission; the National Development Planning (System) Act, 1994 (Act 480) specifies the planning, coordination, monitoring and evaluation functions.

In fulfilment of its constitutional mandate, NDPC is in continuous dialogue with the Ministry of Finance (MOF), the Ghana Statistical Service (GSS), Office of the President, Ministry of Local Government and Rural Development (MLGRD), other MDAs, Development Partners as well as civil society on all planning and M&E matters. For policy formulation, planning, monitoring and evaluation purposes, NDPC also works through Cross-Sectoral Planning Groups (CSPGs). The CSPGs are composed of state and non-state actors drawn from MDAs, academic and research institutions, Civil Society Organizations (CSOs) and the private sector and selected individuals. The NDPC will continue to organise the CSPGs to define core indicators, review M&E reports and perform other M&E functions.

#### 2.2 Sector M&E Institutions, Roles and Responsibilities

Ministries, Departments and Agencies (MDAs), especially their Policy, Planning, Monitoring and Evaluation Divisions (PPMEDs) and the decentralised departments at the regional and district levels all have important roles and responsibilities in M&E. Section 12, sub-section 1(b) of the Civil Service Act, 1993 (PNDC Law 327) established the PPMED to coordinate and monitor programmes of the Ministries and their M&E functions are prescribed by legal instruments and regulations. For example, Section 10 of the National Development Planning (Systems) Act, 1994 (Act 480) requires the Ministries to monitor the implementation of their Sector Medium-Term Development Plans (SMTDPs) and submit reports at intervals in prescribed formats to the NDPC.

Some of the specific roles and responsibilities of the MDAs and their decentralised departments are the following:

##### **Sector Ministers and Chief Directors**

They have the ultimate responsibility for:



- ☑ Development and implementation of Sector M&E Plans
- ☑ M&E capacity building within the MDA
- ☑ Providing the necessary funds and supporting conditions for M&E in the sector

**The PPMEDs**

- ☑ Prepare M&E Plans for the SMTDPs
- ☑ Define and select sector specific indicators in collaboration with NDPC as core national indicators
- ☑ Demand and collate M&E data from the regions and districts for production of the Sector APRs
- ☑ Periodically visit key project sites and report on development progress at all levels
- ☑ Forward Sector APRs to NDPC and facilitate its dissemination to all stakeholders
- ☑ Ensure that gender equality/equity indicators and other cross cutting issues, such as HIV& AIDS, environment, vulnerability and exclusion are considered in the M&E Plans
- ☑ Facilitate evaluation of their SMTDPs and make recommendations for the review of policies and strategies.

**Decentralised Sector Departments at the Regional Level**

- ☑ Provide guidance to the decentralised departments at the district level on how to implement their sector M&E Plans
- ☑ Collate and validate sector data from the decentralised district departments through site inspections and regional workshops
- ☑ Harmonise and forward the collated district M&E reports to the RPCUs and PPMEDs

**Departments at the District Level**

- ☑ Collect data on sector specific indicators and report on these to the DPCUs and heads of department at the regional level
- ☑ Support the DPCUs to conduct evaluations and Participatory M&E (PM&E) relating to the sector
- ☑ Support GSS formal survey interventions relating to the sector

**2.3 Regional M&E Institutions, Roles and Responsibilities**

**The Regional Ministers and District Chief Executives**

Regional Ministers, District Chief Executives and their Coordinating Directors should facilitate the work of the RPCUs and DPCUs by ensuring that:

- ☑ M&E capacities of the RPCUs and DPCUs are developed to the required standard
- ☑ RPCUs and DPCUs are adequately resourced with vehicles, the necessary logistics and operational costs to enable them collect, analyse data and generate reports in an accurate and timely manner
- ☑ All programmes and projects in the regions and districts are systematically monitored and evaluated in accordance with the district M&E Plans.

**Box 2.1: Members of the Regional Planning Coordinating Unit**

<b>1</b>	Regional Coordinating Director (as Head)
<b>2</b>	Regional Economic Planning Officer (as Secretary)
<b>3</b>	Regional Budget Officer
<b>4</b>	Regional Local Government Inspector
<b>5</b>	Regional Director of Health
<b>6</b>	Regional Director of Education
<b>7</b>	Regional Director of Agriculture
<b>8</b>	Chief Works Superintendent
<b>9</b>	Regional Town and Country Planning Officer
<b>10</b>	Regional Statistician
<b>11</b>	Regional Coordinating Council Nominee

**Monitoring and Evaluation Mandate and Functions of the RPCU**

The Local Government Act, 1993 (Act 462), section 143 (2) established the Regional Planning Coordinating Unit to provide a secretariat for the Regional Coordinating Council (RCC) to perform its coordination, monitoring, evaluation and harmonization functions. These functions are specified under Section 8 of the National Development Planning (Systems) Act, 1994 (Act 480).

The composition of the RPCU derives its source from the Local Government Act, 1993 (Act 462) section 143 (3). The RPCU shall consist of 11 members (Box 2.1). To perform its M&E functions effectively, the RPCU should co-opt other sector agency heads, persons from the private sector and civil society organizations whose inputs will be needed. The Regional Coordinating Director shall convene all meetings, issue circulars to the regional sector agencies, etc. The Regional Economic Planning Officer shall manage the RPCU secretariat; maintain the documentation centre, lead monitoring visits, etc. These two officials will also serve as a link between the RPCU and the RCC. There should be gender balance in the membership of the group.

To fulfil its M&E functions, the roles and responsibilities of the RPCU include the following:

- 1) Provide guidance to the districts in the development and implementation of their M&E Plans
- 2) Demand, collate and evaluate data from district level M&E for onward transmission to the NDPC and other stakeholders
- 3) Evaluate, recommend and support capacity building and other M&E needs for the MMDAs
- 4) Review data and verify inconsistencies
- 5) Support GSS formal survey interventions relating to National Development Policy Framework (NDPF)
- 6) Verify the indicators submitted from the districts through workshops
- 7) Periodically visit key project sites and report on development progress in the Districts
- 8) Facilitate dissemination of NDPF and other M&E reports to all the districts and stakeholders
- 9) Ensure that gender equality or equity indicators are clearly outlined in the M&E Plans and the information analysed from a gender perspective
- 10) Hold annual workshops to involve all DAs within the region for NDPF review with policy recommendations
- 11) Review and collate the district Annual Progress Reports to produce the regional APR
- 12) Facilitate evaluation of the DMTDPs and make recommendations for policy review.

<b>Box 2.2: Members of the District (Metropolitan/Municipal) Planning Coordinating Unit</b>	
<b>1</b>	District Coordinating Director
<b>2</b>	District Planning Officer
<b>3</b>	District Budget Officer
<b>4</b>	District Finance Officer
<b>5</b>	District Director of Health Services
<b>6</b>	District Director of Education
<b>7</b>	District Director of Agriculture
<b>8</b>	District Director of Social Welfare or Community Development
<b>9</b>	District Physical Planning Director
<b>10</b>	District Director of Works or Engineering
<b>11</b>	Nominee of the District Assembly

**2.4 District M&E Institutions, Roles and Responsibilities**

**Monitoring and Evaluation Mandate and Functions of the DPCU**

Section 46, Sub-section 3 of the Local Government Act, 1993 (Act 462) established the District Planning Coordinating Unit (DPCU) to assist the District Assembly (DA) to execute designated

planning functions. The National Development Planning (Systems) Act, 1994 (Act 480) defines the DPCU's planning, programming, monitoring, evaluation and co-ordinating functions.

In line with Section 46, Sub-section 4 of the Local Government Act, 1993 (Act 462), the DPCU shall be made up of a minimum of eleven officers (Box 2.2). To perform its M&E functions effectively, the DPCU should co-opt representatives from other sector agencies, persons from the private sector and civil society organizations whose inputs will be needed. The District Coordinating Director should lead the group and be responsible for convening meetings, issuing of circulars to Heads of Departments of the DA, etc. The District Planning Officer shall act as the secretary and be responsible for documenting all M&E working sessions, ensuring participation of all stakeholders, etc. There should be gender balance in the membership of the group.

To fulfil its M&E functions, the DPCU shall perform the following roles and responsibilities:

- 1) The development and implementation of the District M&E Plan
- 2) Convene quarterly DMTDP performance review meetings with all stakeholders
- 3) Undertake periodic project site inspections
- 4) Liaise with RPCU to agree on goals and targets
- 5) Define DMTDP indicators for measuring change, especially on gender equality or equity and other cross-cutting themes in NDPF such as environment, vulnerability, exclusion and social protection
- 6) Collect and collate inputs from the sub-district levels for preparation of the District APR
- 7) Facilitate dissemination and public awareness on NDPF, the Annual Progress Reports and other documents from NDPC at district and sub-district levels
- 8) Provide support to GSS to undertake national surveys and census
- 9) Produce District Annual Progress Reports and make recommendations for policy review
- 10) Conduct mid-term and terminal evaluations of the DMTDP.

## **2.5 M&E Roles of Traditional Authorities and CSOs**

Traditional Authorities (TAs), i.e. Chiefs and Queen Mothers, the Youth and Civil Society Organizations (*Non- Government Organizations - NGOs, Community Based Organisations - CBOs, voluntary, professional and faith-based organisations, universities, research institutions, think-tanks, the media, etc.*) play several roles as producers and users of M&E data and information. The participation of TAs and CSOs in the NDPF monitoring can add real value to the process itself and its policy outcomes. TAs and CSOs have contacts with the people at the grassroots and are therefore well positioned to express the views and experiences of people whose needs the NDPF aims to address. On the whole, TAs and CSOs can hold MDAs and DAs more accountable and responsible for the delivery of goods and services as well as exposing malpractices, corruption and choices which do not benefit those needs the NDPF is supposed to address.

TAs and CSOs, as partners in social and economic development, are a source of independent and useful information and perspectives on how the DAs and other key government officials are performing. Specifically CSOs play important roles in the M&E framework as follows:

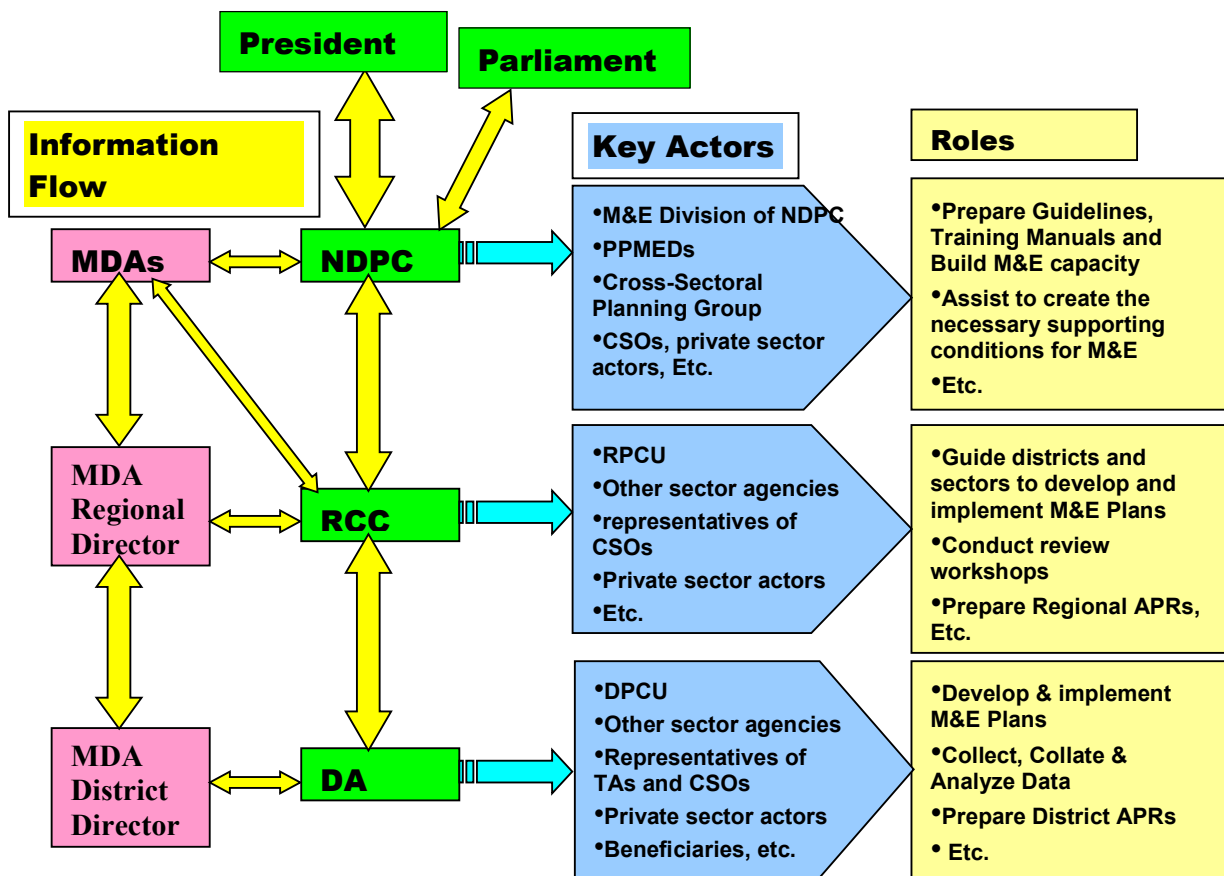
- 1) Provide an independent view on policy formulation and implementation of NDPF programmes and projects
- 2) Serve on the CSPGS, especially during the preparation of the Annual Progress Report
- 3) Collaborate with RPCUs and DPCUs to undertake policy, programme and project reviews and performance assessments

- 4) Undertake social and gender audits of budget releases, DACF, funds from Development Partners as well as internally generated funds
- 5) Assist NDPC, Sectors and Districts to disseminate the national, sector and district APRs
- 6) Strengthen advocacy on socio-economic and cross-cutting issues such as environment, gender, disability, minorities, vulnerable and the excluded.

**2.6 M&E Roles of Development Partners**

Development Partners (DPs) play a significant role in shaping and enhancing M&E at the national, sector and district levels. Specifically, DPs should:

- ☑ Support the strengthening of the Sector/District level institutional framework for evidence-based policy formulation, planning, monitoring and evaluation
- ☑ Provide support to enhance capacity building in M&E for the preparation and implementation of the sector M&E Plans and APRs.
- ☑ Assist government agencies to develop efficient computer based Management Information Systems (MIS)



**Figure 2.1 The Institutional and Reporting Framework**

## CHAPTER THREE

## 3 SEQUENCE OF ACTIVITIES TO PREPARE THE M&amp;E PLAN

The following are the steps for developing the M&E Plan.

### STEP 1: IDENTIFICATION AND ANALYSIS OF STAKEHOLDERS

An initial activity of the PPMED is to identify and classify all organisations and groups of people with interests in development in the sector. Next is to assess their needs and responsibilities as well as a determination of how to involve them in all M&E activities. The

identification and participation of all stakeholders will lead to sustained capacity building, dissemination and demand for M&E results. See an example of some stakeholders identified in Table 3.1.

<b>Box 3.1: M&amp;E Plan Format</b>	
CHAPTER 1	<b>Introduction</b>
	<input checked="" type="checkbox"/> Background
	<input checked="" type="checkbox"/> Goal and Objectives of the SMTDP
	<input checked="" type="checkbox"/> Purpose of the M&E Plan
	<input checked="" type="checkbox"/> Process of developing the M&E Plan
CHAPTER 2	<b>M&amp;E Activities</b>
	<input checked="" type="checkbox"/> Stakeholders Analysis
	<input checked="" type="checkbox"/> M&E Capacities and Conditions
	<input checked="" type="checkbox"/> Monitoring Indicators
	<input checked="" type="checkbox"/> Monitoring Matrix
	<input checked="" type="checkbox"/> M&E Work Plan and Calendar
	<input checked="" type="checkbox"/> M&E Budget
	<input checked="" type="checkbox"/> How Data will be Collected and Collated
	<input checked="" type="checkbox"/> How Data will be Analysed and Used
	<input checked="" type="checkbox"/> How and when to report on findings
	<input checked="" type="checkbox"/> Dissemination and communication strategies
CHAPTER 3	<b>Other issues of Relevance to M&amp;E</b>
	<input checked="" type="checkbox"/> Assumptions, Risk and Risk Management
	<input checked="" type="checkbox"/> Etc.

**Table 3.1: Example of stakeholders' analysis at the sector level**

Stakeholders	Classification	Needs/Interests/ Responsibility	Involvement in M&E Activities
NDPC	Primary	Policy direction, guidelines, capacity building, etc.	M&E Plan preparation, evaluations, M&E results dissemination, etc.
Ministry of Finance (MoF)	Primary	Financial resources, budget guidelines and ceilings, etc.	M&E workshops & meetings, project inspection, M&E results reporting and dissemination, etc.
Departments at the District level	Primary	Project/programme implementation, feedback on results, etc.	M&E plan preparation and implementation, evaluations, PM&E, data collection, M&E, project inspection & supervision, workshops & meetings, M&E results reporting & dissemination, etc.

## Sector M&E Guidelines

RCC	Primary	Technical assistance, advisory services, capacity building, performance targets, etc.	M&E plan preparation, evaluations, PM&E, data collection, M&E workshops & meetings, supervision, project inspection, M&E results reporting and dissemination, etc.
Traditional Authorities	Primary	Advisory services, transparency and accountability, etc.	M&E workshops & meetings, project inspection & supervision, M&E results reporting and dissemination, etc.
Other MDAs	Secondary	Collaboration at the policy & implementation levels, advisory services, etc,	Data collection, workshops & meetings, M&E results reporting and dissemination, etc.
Consultants	Secondary	Technical assistance	M&E Plan preparation, evaluations, PM&E, etc.
CSOs	Secondary	Advocacy, financial and material resources, transparency and accountability, etc.	M&E workshops & meetings, project inspection & supervision, PM&E, data collection, M&E results reporting, etc.
DPs	Secondary	Transparency and accountability, Financial and material resources, technical assistance, etc.	M&E workshops & meetings, project inspection & supervision, data collection, M&E results reporting, etc.
Media	Secondary	Transparency and accountability, etc.	Dissemination and Communication of M&E results

## STEP 2: ASSESSING CAPACITIES AND CONDITIONS FOR MONITORING AND EVALUATION

The purpose of this step is to assess the capability of the sector to develop and implement the M&E Plan. Assessing the necessary M&E capabilities of the sector means determining if the requisite funds, human and material resources are available for M&E. The rationale is to ensure that the appropriate incentives, material and human resources are in place for effective SMTDP implementation, monitoring and evaluation. This process should involve all stakeholders. The crucial roles of the Sector Ministers and Chief Directors in this process were outlined in Section 2.2. PPMED should use the operational questions in Table 3.2 as a guide to assess the M&E capacities and conditions in the sector.

**Table 3.2: Example of some questions that could guide the situation analysis**

Issues	Questions
SMTDP	<input checked="" type="checkbox"/> Is there an approved SMTDP?
Human Resources	<input checked="" type="checkbox"/> What are the capacity and human resource requirements for M&E in the Sector?
	<input checked="" type="checkbox"/> How is the skill base of the stakeholders identified and their ability to contribute to the M&E plan preparation and implementation
	<input checked="" type="checkbox"/> How many PPMED staff lack the requisite M&E skills?

## Sector M&E Guidelines

	<p>What training will be required? E.g. Courses on:</p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Monitoring and Evaluation</li> <li><input checked="" type="checkbox"/> Development Planning</li> <li><input checked="" type="checkbox"/> Team and consensus building techniques</li> <li><input checked="" type="checkbox"/> Database management and other computer programs</li> <li><input checked="" type="checkbox"/> Report writing</li> <li><input checked="" type="checkbox"/> Facilitation skills</li> <li><input checked="" type="checkbox"/> Etc.</li> </ul>
	<input checked="" type="checkbox"/> Does the sector have its entire PPME staff?
	<input checked="" type="checkbox"/> What technical support (consultancy services) will be required?
<b>Material Resources</b>	<input checked="" type="checkbox"/> Is there a vehicle for M&E?
	<input checked="" type="checkbox"/> What M&E information must be stored - when, how and for whom?
	<input checked="" type="checkbox"/> What level of computerization is required?
	<input checked="" type="checkbox"/> Is there internet connectivity?
	<input checked="" type="checkbox"/> Are there enough computers and accessories (printers, scanners, LCD Projector, etc.)?
	<input checked="" type="checkbox"/> Is there a documentation centre (with periodicals, acts and legislative instruments, development plans, guidelines, manuals, etc.)?
	<input checked="" type="checkbox"/> What is the situation with regards to office space, incentives, , etc.
	<input checked="" type="checkbox"/> Are there photocopiers, flip charts, cameras, etc.
<b>Financial Resources</b>	<input checked="" type="checkbox"/> Are the financial resources to carry out M&E activities such as M&E plan preparation, data collection and analysis, report writing, dissemination and communication, evaluations, PM&E, etc. available?
<b>Recommendations</b>	<input checked="" type="checkbox"/> What are the solutions for the challenges identified?

## STEP 3: MONITORING INDICATORS

One of the critical steps in preparing the M&E Plan is developing the most appropriate indicators and targets that are achievable and directly related to the SMTDP goal and objectives. Indicators are needed for measuring progress whilst targets are the sign post that will lead us to the stated goal and objectives.

The NDPC in collaboration with other MDAs, CSOs and DPs will select some core indicators to be monitored under GSGDA II. In addition to these indicators, sector specific indicators based on the SMTDP should be determined through a participatory and collaborative process. It is important to make

each indicator Specific, Measurable, Attainable, Reliable and Time bound (SMART). See lead questions in Box 3.2 as a guide. The core and sector specific indicators should also:

- 1) Be categorised into input, output, outcome or impact indicators

### Box 3.2. Lead Questions for defining a SMART indicator

1. Are there areas of overlap in the content of the indicator with that of other indicators or will it measure only this condition or event **(Specific)?**
2. Is the indicator measurable or quantifiable **(Measurable)?**
3. What measurement costs (human and financial resources) does the indicator require **(Affordable and Attainable)?**
4. Will the indicator measure only what it is supposed to measure and produce the same results when used more than once to measure the same condition or event **(Reliable)?**
5. Will the indicator be able to measure changes over time **(Time bound)?**

- 2) Be disaggregated (where possible) by age, gender, communities, location, etc.
- 3) Have information on how it will be measured and by whom
- 4) Indicate the frequency of monitoring
- 5) Have annual targets for the SMTDP implementation period
- 6) Have baselines (they should be established where they do not exist).

### STEP 4: MONITORING MATRIX

One of the main features of the M&E plan is a monitoring matrix. It shows the linkage of the SMTDP to GSGDA II objectives. The matrix provides a format for presenting the input, output, outcome, and impact indicators for each SMTDP objective. It provides the frequency for collecting data on each indicator as well as data sources and who is responsible for collecting the data. Table 3.3 shows some key elements of a matrix.

**Table 3.3: Example of a Monitoring Matrix**

<b>DMTDP Goal:</b> To improve livelihoods through increased food security and incomes of farmers								
<b>GSGDA II Policy Objective:</b> Promote crop development of selected staple and horticultural crops								
<b>Objective 1:</b> To increase and diversify crop production in a sustainable way								
Indicators	Indicator Type	Baseline 2013	Targets 2014 - 17			Data Sources	Monitoring Frequency	Responsibility
Change in yield of selected crops (%)	Output					Primary	Semi-annually	DAD, DPCU
Number of new crop varieties introduced	Output					Primary & Secondary	Annually	DAD, DPCU, GSS, Etc.
Change in farmers' income (%)	Outcome					Primary & Secondary	Annually	DAD, DPCU, GSS, Etc.
<b>Objective 2:</b>								
ETC.								

### STEP 5: M&E WORK PLAN AND CALENDAR

A vital component of the M&E Plan is the Work Plan. The work plan is a costed action plan to guide the implementation of the M&E plan. The work plan ought to indicate the time frame and a budget relating to each activity and the actors (who should do what). It should be developed through a participatory process.

Work Plan should further be broken down to an Annual M&E Calendar. The calendar must depict specific dates for the various activities. Table 3.4 shows a simplified M&E work Plan.

**Table 3.4: Example of an M&E Work Plan**

ACTIVITIES	TIME FRAME				ACTORS	BUDGET (GH¢)
	2014	2015	2016	2017		
<b>SMTDP Evaluations</b>						
Mid-term Evaluation	Start 15 <sup>th</sup> March 2016				PPMED, +	
Terminal Evaluation	Start 15 <sup>th</sup> March 2017				PPMED, +	



## Sector M&E Guidelines

Specific Evaluations and studies	Start 5 <sup>th</sup> of July bi-annually	PPMED, +	
Participatory M&E	Start 25 <sup>th</sup> April bi-annually	PPMED, +	
<b>Implementation Monitoring</b>			
Monthly or Quarterly field visits	1 <sup>st</sup> Tuesday of every month or quarter	PPMED, +	
Monthly or Quarterly review meetings	1 <sup>st</sup> Wednesday of every month or quarter	PPMED, +	
<b>APR Preparation and Dissemination</b>			
Data collation	From 15 <sup>th</sup> Jan. annually	PPMED, +	
Prepare Draft Sector APR	15 <sup>th</sup> Jan. annually	PPMED, +	
Organise APR review workshop	20 <sup>th</sup> Jan. annually	PPMED, +	
Final APR submitted to RCC/NDPC	End of Jan. annually	PPMED, +	
Disseminate Sector APR	From Feb. annually	PPMED, +	

### STEP 6: M&E BUDGET

M&E has over the years received little priority in MDA budgets and comparatively insignificant actual disbursements. It is strongly recommended that all PPMEDs draw the M&E budget through a participatory process. International best practice suggests that 2-5% of the total budget of a proposed project or plan should be reserved for M&E activities. Inflated budgets are signals of waste whilst budgets that are too low cast doubts on effective implementation of the M&E plan. The M&E budget will require the approval of the Sector Minister. Some operational questions to guide the preparation of the budget are presented in Table 3.5.

**Table 3.5: Example of some questions that could guide the budget preparation**

The key question is whether there is a separate M&E budget and if sufficient resources have been allocated for M&E?
1. What are the human and material costs to consider in the budget? E.g.:
<input checked="" type="checkbox"/> <b>Staff time</b> – travel and sitting allowances, facilitation costs, over-time, etc.
<input checked="" type="checkbox"/> <b>Training events</b> – venue, travel, accommodation, materials, per diems, course fees, etc.
<input checked="" type="checkbox"/> <b>Office equipment</b> – computer and accessories (hardware and software), etc.
<input checked="" type="checkbox"/> <b>Documentation</b> – printing and distribution, display boards, services, etc.
<input checked="" type="checkbox"/> <b>Technical assistance</b> – fees paid to consultants for: developing the M&E plan, establishing management information systems, evaluations, report writing and data analysis, editorial assistants, etc.
<input checked="" type="checkbox"/> <b>M&amp;E Plan</b> – plan preparation, review workshops, training, etc.
<input checked="" type="checkbox"/> <b>Logistics and Supplies</b> - office supplies, stationery, display boards, cost of printing documents and their distribution, etc.
<input checked="" type="checkbox"/> <b>Communications</b> - telephone, fax, e-mail, internet, media, network maintenance, etc.
2. Is there a vehicle for field monitoring exercises?
3. What will it cost to fuel and maintain the vehicle?
4. What will it cost to monitor and evaluate each project?
5. How much will it cost to disseminate the M&E results?
6. What will be the total cost of all the monitoring exercises in the Sector?
7. What will be the total cost of conducting Ex-ante, Mid-term, Terminal, Ex-post and other evaluations in the Sector?
8. What will be the total M&E cost of the plan?

## STEP 7: DATA COLLECTION, VALIDATION AND COLLATION

Data collection is a crucial activity during the implementation of the SMTDP. The data gathered should be both quantitative and qualitative (Box 3.3). Data collected from both primary and secondary sources should include demographic, socio-economic, revenue, expenditure and others as may be requested by the MDA or by the DA, RPCU, NDPC and other stakeholders. The data should be categorised into:

- ☑ Input data e.g. materials and funds from Internally Generated Fund (IGF), government transfers and other transfers from development partners, MDAs, NGOs, etc.
- ☑ Process data e.g. operations of the PPMED, tendering and contract awards, compliance with audit recommendations, etc.
- ☑ Output data (goods and services produced) e.g. projects constructed, crops and livestock produced, etc. (include videos & pictures if available)
- ☑ Outcome/impact data (changes in livelihood as a result of certain interventions) e.g. literacy rate, Basic Education Certificate Examination (BECE) results, infant mortality, etc.

### Box 3.3: Quantitative & Qualitative Data

There are two types of data, both of which are essential for providing a clear picture of progress towards the SMTDP objectives.

- ☑ **Quantitative** data have a numerical value attached to them, e.g. number of boreholes drilled.
- ☑ **Qualitative** data reflect people's observations, judgments, opinions, perceptions and attitudes of a given situation or subject e.g. reasons why a borehole is underutilized.

### Data on Programmes and Projects

The PPMED should compile a register (database) of all ongoing programmes and projects in the sector. This register should be regularly updated with details on each activity such as start-time, costs, location, source of funding, expected completion date, status of project, etc. Box 3.4 shows a simple programme/project report format. As much as possible, the data should also indicate the contributions that programmes and projects are making toward the achievement of the goal and objectives of the SMTDP.

### Box 3.4: Programme/Project Register Format

1.	<b>Programme/Project Name</b>
2.	<b>GSGDA II Thematic Area</b>
3.	<b>District</b>
4.	<b>Project description</b>
5.	<b>Project location</b>
6.	<b>Contractor or consultant</b>
7.	<b>Budget, source and type of funding</b>
8.	<b>Date started</b>
9.	<b>Expected completion date</b>
10.	<b>Contract sum</b>
11.	<b>Expenditure to date</b>
12.	<b>Project implementation status (include videos &amp; pictures if available)</b>
13.	<b>Remarks</b>

It is recommended that a data collection matrix is prepared to summarise the methods used to collect the data for each indicator and the results obtained. Table 3.6 shows an example matrix.

**Table 3.6 Example of an Indicator Data Collection Sheet for a District**

<b>Indicator</b>	<b>Data Collection Period</b>	<b>Data Collection Methods</b>	<b>Data Disaggregation</b>	<b>Results</b>
Yield of maize	Oct. to Nov. 2013	Survey covering all 2,000 maize farmers in the district	<ul style="list-style-type: none"> <li>• Male farmers</li> <li>• Female farmers</li> </ul>	<ul style="list-style-type: none"> <li>• 2 Tonnes per hectare</li> <li>• 5% increase in yield from 2012.</li> <li>• 7% increase for males, and 4% for females</li> </ul>
Proportion of households able to meet minimum nutritional requirements throughout the year	January 2013	Sample survey of 1,000 out of 60,000 permanent settlers in the district	<ul style="list-style-type: none"> <li>• Male headed households</li> <li>• Female headed households</li> <li>• Northern and Southern parts of the district</li> </ul>	<ul style="list-style-type: none"> <li>• 50% of all households - 2% increase from 2012</li> <li>• 70% for male headed - 2% increase from 2012</li> <li>• 40% for female headed - 5% decrease from 2012</li> <li>• 80% for the North - 7% increase from 2012</li> <li>• 40% for the South - 2% increase from 2012</li> </ul>
Etc.				

In addition to the primary data collected using the programme/project register and other methods (e.g. surveys, PRA, focus group discussions, etc.), secondary data should also be collected by the PPMED. Some useful sources of secondary data include Ghana Statistical Service (CWIQ, GLSS, GDHS MICS and the National Census reports), NGOs, MDAs and their decentralized agencies: CWSA, MOFA, GHS, etc.

### **Data Validation**

It is important to review all the data collected with stakeholders before and after collation. A data validation forum will reduce errors and inconsistencies.

### **M&E Information System**

Database systems play important roles in information storing, retrieval, analysis, presentation and sharing. A well-functioning Management Information System (MIS) is required for effective data entry, efficient data processing and easy access to information on the SMTDP implementation. It is therefore important for the PPMED to acquire, build capacity and utilise an MIS for this purpose. Linking the MIS to a Geographic Information System (GIS) will be an added advantage.

## **STEP 8: DATA ANALYSIS AND USE OF THE RESULTS**

M&E data only becomes useful when analysed and interpreted to highlight key areas of concern and to identify interventions for development and poverty reduction. It is the responsibility of the PPMED to:

- Collate all M&E data the ministry (including those gathered by the decentralised departments and agencies as well as CSOs)
- Process and validate the data
- Analyse and generate information for utilisation by the Ministry, NDPC and other stakeholders.

The data should be analysed to show the results being produced by each programme/project. Data analysis will further show how the sector is performing with regards to all the indicators (core and sector specific) and the critical areas of concern for development. Each indicator should be assessed to determine its progress towards the set target. If an indicator has not met the set target, further assessment should be made to address the findings. The basis for the analysis is to report on the progress of each indicator towards meeting the goal, objectives and targets of the SMTDP. However, programme/project data analysis and presentation may also depend on the specific information needs of stakeholders. The data should also be analysed in a systematic way to show the linkages between the various programmes/projects. The findings and lessons learned should be fed into the sector action plans and the next SMTDP.

### STEP 9: REPORTING

After each monitoring exercise, project actors, community leaders and sector departments involved should be made aware of the key observations and findings. PPMED must also brief the Chief Director and heads of other departments on progress of work, observations and gaps identified. This will allow all stakeholders to take the necessary actions that require redress before the next monitoring exercise.

The PPMED will have to prepare written reports on monthly, quarterly and annual basis on their findings. The APR should sum up all the M&E activities and results in the year. Copies of the Quarterly and Annual Progress Reports should be sent to the NDPC, relevant MDAs and other stakeholders. It should be

emphasised that the PPMED should not produce reports just to satisfy national reporting requirements. Rather, the reports must be deliberated upon and used widely within the sector to inform policy and decision making. The quarterly and annual M&E reports must be guided by the outline presented in Box 3.5.

#### Box 3.5: Quarterly and Annual Progress Reports Format

##### Title Page

- ☑ Name of the MDA
- ☑ Time period for the M&E report

##### Introduction

- ☑ Summary of achievements and challenges with the implementation of the SMTDP
- ☑ Purpose of the M&E for the stated period
- ☑ Processes involved and difficulties encountered

##### M&E Activities Report

- ☑ Programme/Project status for the quarter or Year
- ☑ Update on funding sources and disbursements
- ☑ Update on Indicators & Targets
- ☑ Update on Critical Development and Poverty Issues
- ☑ Evaluations conducted; their findings and recommendations
- ☑ Participatory M&E undertaken and their results

##### The Way Forward

- ☑ Key issues addressed and those yet to be addressed
- ☑ Recommendations

## **STEP 10: DISSEMINATION AND COMMUNICATION OF M&E RESULTS**

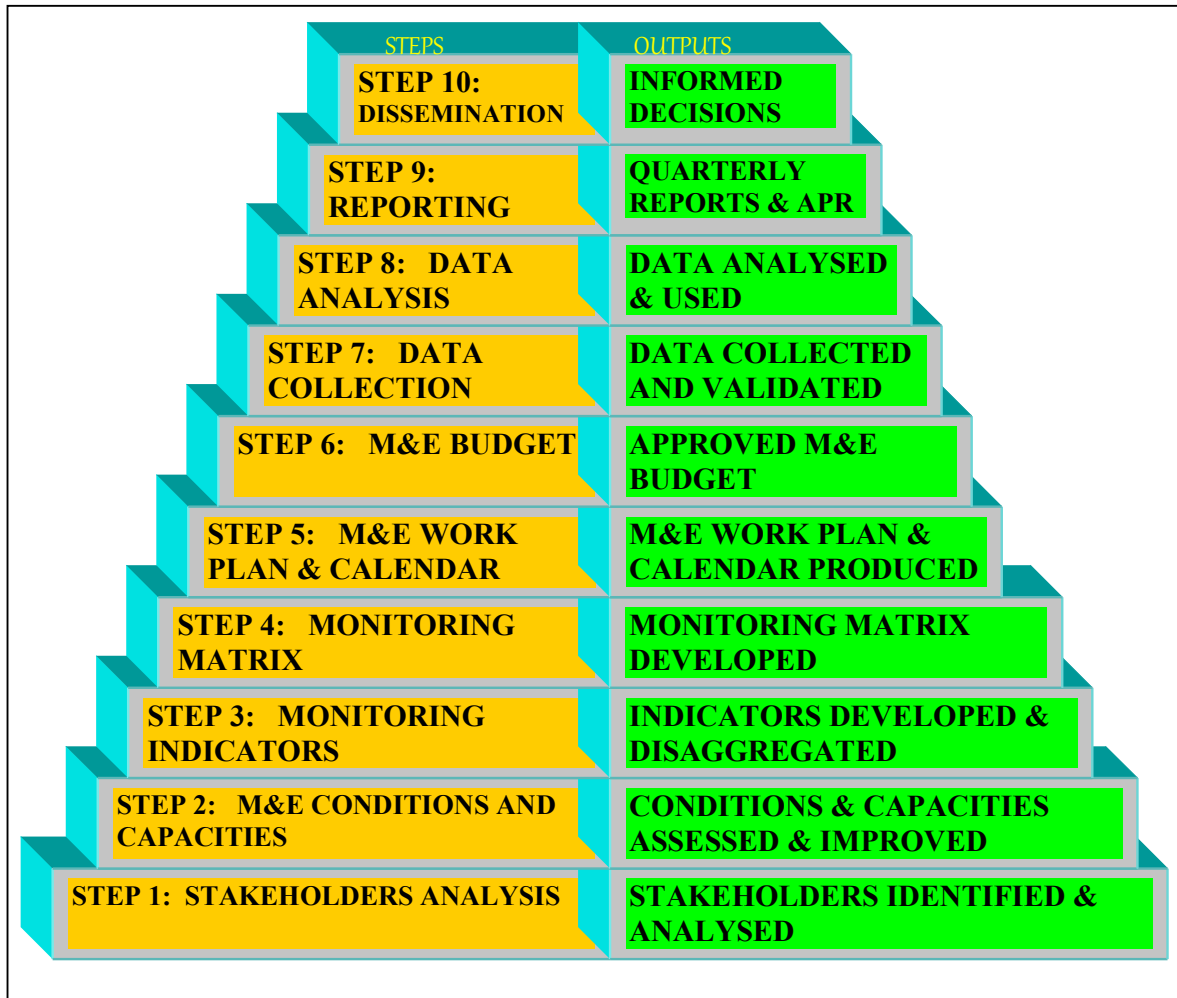
A crucial but often forgotten step is planning how the M&E information will be shared and discussed with relevant stakeholders and decision-makers. Copies of the APR and quarterly reports must be forwarded to NDPC and other stakeholders. Sharing and soliciting feedback on the content of these reports within the sector and other stakeholders will increase accountability and transparency. It will also ensure that lessons learned can be applied to planning and decision making by the Minister and heads of Directorates. Furthermore, it will boost the commitment of stakeholders to support poverty reduction and development interventions in the sector. PPMED should therefore prepare a dissemination and communication strategy.

Some of the dissemination and communication techniques that could be used to target all the stakeholder groups identified in Step 1 include the following:

- Announcements, discussions and broadcast in the local media e.g. local FM station, local newspapers, etc.
- Meeting with CSOs, traditional authorities, representatives of area councils and other opinion leaders and tasking them to take the messages back to their communities
- Organising workshops and meetings.
- Use of social media such as WhatsApp, Facebook, Twitter, etc.

Figure 3.2 summaries the 10 steps discussed above.

**Figure 3.2: Summary of the M&E Plan Preparation Steps and Outputs**



## **CHAPTER FOUR**

### **4 DEVELOPMENT EVALUATION**

The previous Chapter stressed the common steps in building a **Monitoring and Evaluation** System. The emphasis in this chapter is on the specific role that evaluation can and should play.

One of the key features of the sector development effort should be a strong commitment to conducting evaluations. Mid-term and terminal evaluations of the SMTDP must therefore be conducted. The PPMED ought to evaluate each project after completion to ascertain if the intervention achieved its original objectives and assess the overall changes caused by the intervention. The PPMED should further examine the relevance of the development effectiveness of all projects with reference to the objectives of the SMTDP. These evaluations will improve decision making and provide insights for effective programme design and implementation.

#### **4.1 Types and Methods of Evaluations**

Evaluations can be grouped under four main categories based on: the objectives and recipients of the evaluation, the timing of the evaluation, the ‘evaluator’ and the technicality or methodology used. However any evaluation could be a ‘mixture’ of the different categories. The National M&E Manual provides more detail from the design to evaluation methods.

#### **4.2 The Evaluation Process**

The following is an outline of some key steps to be followed in conducting an evaluation. Details are provided in the National M&E Manual.

1. Assess the need for an evaluation (provide the background).
2. Develop clear ideas on the rationale and objectives of the evaluation
3. Determine the type of evaluation to undertake
4. Specify the methods, scope and timing of the evaluation
5. Identify and analyze stakeholders
6. Consider the costs involved – draw a budget
7. Prepare the Terms of Reference (TOR) and contractual agreement based on items 1 to 4 above. The TOR should be prepared by the PPMED in collaboration with stakeholders. It is important to have a broad agreement on the TOR because it will form the basis for the evaluation exercise. More importantly, the TOR will be the formal reference for the consultant or team of consultants to be recruited.
8. Recruit a consultant or a team in accordance with the provisions of the Procurement Act, 2003 (Act 663).
9. Organise meetings to discuss the inception and draft reports with stakeholders
10. Organise a validation meeting with stakeholders before submission of the final report
11. Disseminate the results and act on the findings and recommendations.

#### **4.3 The Evaluation Matrix**

The evaluation matrix is a concrete translation of the TOR into key issues of the evaluation, the main questions and sub-questions that must be addressed and the

indicators and methods to be used for data collection and analysis. All components in the evaluation matrix are interrelated and help us develop the most appropriate work plan for conducting an evaluation. Additional column(s) (e.g., sampling method, gender ratio, etc.) can be added when necessary. Table 4.1 provides an example of an evaluation framework or matrix.

**Table 4.1: Evaluation Matrix**

Evaluation Criteria	Evaluation Questions		Data Needed	Data Sources	Data Collection Methods
	Main Questions	Sub Questions			
Relevance					
Efficiency					
Effectiveness					
Impact					
Sustainability					
Others					

Adapted from JICA, 2004

#### 4.4 Evaluation Norms and Standards

The theory on evaluation has developed basic principles, norms and standards in order to guarantee the quality, reliability and validity of evaluations. The following are some of the criteria to ensure that evaluations commissioned by the sector meet minimum quality standards:

- 1) **Independent** – The PPMED must not impose restrictions on the content, comments and recommendations of any evaluation report. Evaluators must also avoid conflict of interest.
- 2) **Transparent** - The rationale for an evaluation should be clear from the onset (no hidden agenda). Meaningful consultation with stakeholders is essential for the credibility and utilization of the evaluation results.
- 3) **Ethical** – The evaluation should not reflect personal interests. Evaluators must respect the rights of institutions and individuals to provide information in confidence. Evaluators must also be sensitive to local beliefs and customs and to the prevailing social, cultural and physical environment.
- 4) **Impartial**:- The evaluation should be free of political or other biases and deliberate distortions. The evaluation results should be presented with a description of its strengths and weaknesses.
- 5) **Timely** - Evaluations must be designed and completed in a timely fashion so as to enhance the usefulness of the findings and recommendations
- 6) **Relevance** – The evaluation information must be relevant, and written in a simple way.
- 7) **Value for money** - The cost of the evaluation needs to be proportional to the overall cost of the initiative. The sector must avoid using expensive methods for data collection when less expensive means could be used.



## **CHAPTER FIVE**

### **5 PARTICIPATORY M&E**

Participatory Monitoring and Evaluation (PM&E) refers to the practice where all key stakeholders are directly involved in the M&E design and implementation process. The methodology used determines the scope and level of participation. The common practice is to involve stakeholders in the selection of indicators, data collection, data analysis, implementation of the findings and dissemination of the results.

PM&E is a valuable tool that the PPMED must use to capture perceptions and assess whether interventions have met these expectations, especially of the poor and the vulnerable in society. The starting point to develop PM&E in the sector is for the PPMED to promote partnerships between the sector and CSOs. A number of NGOs and CBOs are already engaged in participatory M&E and advocacy activities and could be engaged by sectors to provide training in PM&E. The PPMED is advised to organise workshops for representatives of NGOs and CBOs to discuss how PM&E will be incorporated into the sector M&E system.

#### **5.1 PM&E Methods**

All PM&E approaches recognize the importance of local knowledge in promoting successful community development. They usually create a positive learning environment, deepen public consultation and provoke thinking and action. They also help release creativity in people and enable people to take a more active role in community projects.

The following PM&E methods have been discussed in detail in the National M&E Manual:

- Participatory Rural Appraisal
- Citizen Report Card
- Community Score Card
- Participatory Expenditure Tracking Surveys

#### **5.2 Guidelines on Carrying out PM&E**

The following is an outline of some key steps to be followed in conducting PM&E. Details are provided in the National M&E Manual.

- 1) Decide on the need for PM&E
- 2) Decide on the PM&E method to use
- 3) Identify the key stakeholders
- 4) Identify a lead facilitator
- 5) Determine the performance questions
- 6) Determine the resources and time available
- 7) Define a TOR for the lead facilitator or consultant
- 8) Train the team to carry out the PM&E
- 9) Disseminate the results and act on the findings and recommendations.

## ANNEXES

## ANNEX A: Glossary of some M&amp;E Concepts and Terms

Term	Definition
<b>A</b>	
Accountability	Obligation of government, public services or funding agencies to demonstrate to citizens that contracted work has been conducted in compliance with agreed rules and standards or to report fairly and accurately on performance results vis-à-vis mandated roles and/or plans. This may require a careful, even legally defensible, demonstration that the work is consistent with the contract terms. Projects commonly focus on upward accountability to the funding agency, while downward accountability involves making accounts and plans transparent to the primary stakeholders. Ensuring accountability is one of the functions of monitoring and evaluation.
Activity	Actions taken or work performed in a project to produce specific outputs by using inputs, such as technical know-how, funds, materials and other types of resources.
<b>B</b>	
Baseline data	Data (usually consisting of facts and figures collected at the initial stages of a project) that provides a basis for measuring progress in achieving project outputs and objectives.
Benchmark	Reference point or standard against which performance or achievements can be compared. A benchmark might refer to what has been achieved in the past by other comparable organisations or what could reasonably have been achieved under the circumstances.
Beneficiary Assessments	A Beneficiary Assessment focuses on understanding the opinions of service users on the quality, relevance and benefits of policies, programmes and projects during and after their implementation.
<b>E</b>	
Effectiveness	A measure of the extent to which a project attains its objectives at the goal or purpose level; i.e. the extent to which a development intervention has attained, or is expected to attain, its relevant objectives efficiently and in a sustainable way.
Efficiency	A measure of how economically inputs (funds, expertise, time, etc.) are converted into outputs.
Evaluation	The systematic and objective assessment of an on-going or completed project, programme, development plan or policy, its design, implementation and results in relation to specified evaluation criteria.
<b>G</b>	
Goal	The higher-order objective to which a development intervention is intended to contribute.

## Sector M&E Guidelines

<b>I</b>	
Impact	Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.
Impact Assessment	The process of identifying the anticipated or actual effects of a development policy or intervention on the factors (social, economic, environmental, etc.) which the policy or intervention was intended to address.
Indicator	Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention or to help assess the performance of a development actor.
Management Information System	A system for inputting, collating, organising, analysing and storing data using a computer software. It also facilitates easy retrieval, presentation and sharing of the data and information generated.
Input	The financial, human and material resources necessary to produce the intended outputs.
<b>M</b>	
Mid-term evaluation	An evaluation performed towards the middle of implementation of policy, plan or intervention.
Monitoring	Systematic collection of data on specified indicators to track the use of resources and progress towards the achievement of stated goals, objectives and outputs.
<b>O</b>	
Objective	A specific statement detailing the desired accomplishments or outcomes of a project at different levels (short to long term).
Outcome	The likely or achieved short-term and medium-term effects of an intervention's outputs.
Outputs	The products, goods and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes.
<b>P</b>	
Participation	Refers specifically to processes in which stakeholders take an active part in planning and decision-making, implementation, learning, monitoring and evaluation
Participatory Monitoring and evaluation	A broad term for the involvement of primary and other stakeholders in monitoring and evaluation.
<b>S</b>	
Strategic Evaluation	An evaluation of a particular issue aiming to advance a deeper understanding of the issue and reduce the range of uncertainties associated with the different options for addressing it. Strategic Evaluation is done when the urgency of an issue poses high risks to stakeholders or has generated conflicting views. A study of this nature will help to reach an acceptable working agreement among the parties concerned.
<b>T</b>	

## Sector M&E Guidelines

Target	A quantifiable level of performance to be achieved by a given time.
<b>v</b>	
Validity	The extent to which the data collection strategies and instruments measure what they purport to measure.

Adapted from the OECD Glossary of Key Terms in Evaluation and Results Based Management

## ANNEX C: Proposed Programme for Preparing the Sector M&E Plan

<b>PLAN PREPARATION ACTIVITIES</b>	<b>PARTICIPANTS</b>	<b>KEY OUTPUTS</b>
1. 1 <sup>ST</sup> Meeting after the guidelines orientation workshop to map out the way forward, draw a budget and do stakeholders analysis	PPMED, Chief Director, Sector Minister, other Heads of Departments	<ul style="list-style-type: none"> <li>• <b>Budget for the M&amp;E plan preparation</b></li> <li>• <b>Stakeholders identified and analysed</b></li> </ul>
2. 2 <sup>nd</sup> Meeting to assess the M&E needs and conditions in the sector	PPMED, other Heads of Departments and representatives from key stakeholder groups	<ul style="list-style-type: none"> <li>• <b>M&amp;E challenges and solutions identified and discussed</b></li> </ul>
3. Two-day workshop to select sector specific indicators, establish baselines and targets and to produce the M&E matrix	PPMED, other Heads of Departments and representatives from stakeholder groups (with knowledge on the subject). It is very important to have a facilitator who is up to the task.	<ul style="list-style-type: none"> <li>• <b>Complete list of the sector indicators (both core and sector specific indicators)</b></li> <li>• <b>The sector M&amp;E matrix</b></li> </ul>
4. Two-day workshop to develop the M&E calendar and the budget.	PPMED, other Heads of Departments and representatives from stakeholder groups (with knowledge on the subject). It is very important to have a facilitator who is up to the task.	<ul style="list-style-type: none"> <li>• <b>M&amp;E work plan and calendar</b></li> <li>• <b>M&amp;E budget for the SMTDP</b></li> </ul>
5. Two-day workshop to work on how to collect, collate, validate and analyse data. How to use M&E results, report and disseminate the reports, as well as evaluations and PM&E.	PPMED, other Heads of Departments and representatives from stakeholder groups (with knowledge on the subject). It is very important to have a facilitator who is up to the task.	<ul style="list-style-type: none"> <li>• <b>Write-up on data collection, analysis and reporting</b></li> <li>• <b>Dissemination strategy</b></li> <li>• <b>Write-up on evaluations and the PM&amp;E</b></li> </ul>
6. Collation of all the reports from the meetings and workshops into the draft M&E plan	Director of PPMED	<ul style="list-style-type: none"> <li>• <b>1<sup>st</sup> M&amp;E Draft Plan</b></li> </ul>
7. A meeting to review the first draft	PPMED, Chief Director, Sector Minister, Other Heads of Departments	<ul style="list-style-type: none"> <li>• <b>2<sup>nd</sup> M&amp;E Draft Plan</b></li> </ul>
8. Meeting with a wide range of stakeholders to present the 2 <sup>nd</sup> draft plan	Director of PPMED and representatives from all stakeholder groups	<ul style="list-style-type: none"> <li>• <b>3<sup>rd</sup> M&amp;E Draft Plan</b></li> </ul>
9. Public hearing on the 3 <sup>rd</sup> M&E Draft Plan	Director of PPMED, other Heads of Departments and general public	<ul style="list-style-type: none"> <li>• <b>4<sup>th</sup> M&amp;E Draft Plan</b></li> </ul>

## Sector M&E Guidelines

<b>10</b>	4 <sup>th</sup> M&E Draft Plan submitted to NDPC	Secretary	<ul style="list-style-type: none"> <li>• <b>Feedback from NDPC</b></li> </ul>
<b>11</b>	Comments discussed and amendments made to the draft	PPMED, Other Heads of Departments and general public	<ul style="list-style-type: none"> <li>• <b>Final M&amp;E Draft Plan</b></li> </ul>
<b>12</b>	Draft submitted to sector Minister for approval (together with the SMTDP) for submission to NDPC	Chief Director and Sector Minister	<ul style="list-style-type: none"> <li>• <b>Approved SMTDP and M&amp;E Plan</b></li> </ul>
<b>13</b>	M&E plan implementation	PPMED, Other Heads of Departments and stakeholders	<ul style="list-style-type: none"> <li>• <b>Quarterly and Annual Progress Reports</b></li> </ul>