People

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UNDP

Result Based Management & Community Based Approaches for Development Implementation

Capacity Building of Afghan CSOs to adopt result oriented approaches and best practices to design community driven interventions in complex settings for more sustainable and prosperous communities.

22nd to 27th July 2023
Badakhshan at Qasri Kokcha Hotel, Afghanistan

Introduction

Civil Society Organisations (CSOs) play a critical role in enhancing transparency and accountability and providing effective and efficient services at the national, sub–national level and community levels. they provide both immediate relief and long – term transformative change by promoting collective interests, accountability, public participation, influencing decision making, directly engaging in service delivery and acting as a bridge between duty bearers and right holders.

In view of recent political change and socio-economic landscape Civil Society Organizations (CSOs) have become more critical than ever to outreach and support the Afghan people at such critical moments and operate in a complex context and face several immediate challenges such as most carry out activities in unstable conditions and insecurity. Currently CSOs are limited by operational factors such as financial and technical capacity –internal environmental dynamics that impact programme results and sustainability.

During last several years ACTION project continued the engagement with the national civil society organizations (CSOs) to further strengthen the anti – corruption efforts by mobilizing local communities and creating an enabling environment to fight corruption such as reporting corruption cases by media, conducting community-based monitoring of health facilities, and carrying out social audits of service delivery. The project is highly relevant in relation to the UNDP Strategic Plan (2022-2025) outcome 3 "strengthening countries and institutions to prevent, mitigate and respond to crisis, conflict, natural disasters, climate and social and economic shocks" and UNSF outcome 3.1 addressing formal and informal governance, community-based institutions, and decision-making platforms and mechanisms are more inclusive, responsive, accountable, and better able to contribute to social cohesion and reconciliation.

Session 1 – Introduction

Objectives and Agenda

OBJECTIVES: By the end of the workshop, CSO representatives will be able to:

1. Explain different elements of the results chain and the smart criteria, and how these can be incorporated to increase the quality and effectiveness of their existing project and activities interventions for achieving sustained results.

2. Understanding of RBM concept and its usage in the humanitarian and development interventions

3. Mainstream RBM concepts and techniques within the Project Management Cycle.

4. Contribute to harmonizing result-oriented business approaches around 'contributing to national efforts for achieving development results

> **Commented [NY1]:** 1.Complete understanding of RBM concept and its usage in the humanitarian and development interventions
>
> **Commented [SB2R1]:** Added as new objective.

AGENDA

Day 1
Session 1 - Introduction
o Pre-Test
o Creative Introduction
o RBM Training Objective
o Participant Experiences of RBM
Session 2 – Managing Projects
o Project Cycle Management (PCM)
o What is Result?
o What is Result Chain?
o What is the Difference between PCM & RBM
Session 3 - -Results Based Management (RBM)
o What is Changed?
o Results & Result Chain
o What is RBM?
o The History of RBM?
o Program Glossary (QUIZ)
o RBM Life Cycle Approach

Day 2
Recap
o Role Play LSO for solving a community problem
Session 3.1 – RBM in Planning
o What is Indicator its Purpose and Type
o Indicators Validation Checklist
o Assumptions and Risks
o Baseline and Targets
Session 3.2 – RBM in Managing
o Key Challenges and Strategies
o Managing Outcomes
Session 3.3 – RBM in Monitoring
o Purpose of Monitoring
o Levels of Monitoring
o Outcome Monitoring
o Performance Monitoring
o Monitoring Tools & Plan
o CSOs Monitoring Assessment

Day 3
• Recap
Session 3.4 – RBM in Evaluation
o Functions of Evaluation
o Focus of Evaluation
o Performance Evaluation
o Who can Evaluate
o How to use an Evaluation
o Inter-Linkages and Dependencies between Planning, Monitoring & Evaluation
Session 3.5 – RBM in System
Session 3.6 – RBM in Reporting
o Effective Reports
o 7Cs of Report Writing
o Sample Reports

Day 4
• • Recap
Session 3.7 – RBM in Learning, Adjustment and Decision Making
o Internal Audit and Management Review
o **Building RBM Framework - Group Exercise**
Session 4 –Community Led Development
o What is Community?
o What is Development?
o What is Community Led Development?
o Core Principles of CLD
o 10 Learnings about CLD
o Core Values of Community Development
o Beliefs of Community Development Work
o Principles of Community Development

> **Commented [NY3]:** What about RBM components?. There should be some brief reflections on the RBM components
>
> **Commented [SB4R3]:** Already discussed below
>
> **Commented [NY5]:** To ensure consistency, Session two and three should be shifted to each other.
>
> **Commented [SB6R5]:** The flow is as per trainers own method and sequence. So far, let this go, will consider during training.

Day 5	Day 6
• Recap	• Recap
Session 4.1 – Planning for CLD	**Session 4.3 – CLD Monitoring & Evaluation**
o Problem Analysis	o CLD Monitoring (Link with RBM)
o Fishbone analyses	o CLD Evaluation (Link with RBM)
o Objective Hierarchy	
o Define Goals and Objective	**Session 5 – Evaluation & Close**
o Stakeholders Analysis	o Post-test
Session 4.2 – CLD Communication	o Evaluation & close
o Types of Communication for CLD	
o Developing CSO Communication Strategy for a Specific Project.	

Session 2 – Managing Projects

What is Project Cycle Management?

Project cycle management (PCM) is a method based on years of development, focused on organizing and planning projects through foundational principles and defined phases. This process covers the inception of the project to its planning, execution, and evaluation.

Stages and Phases of PCM

Need of Result Based Management

PCM emphasizes to enhance programming and proposal design, while RBM seems to focus on institutional accountability, effectiveness, and efficacy. These approaches seem to be strongly complementary to each other.
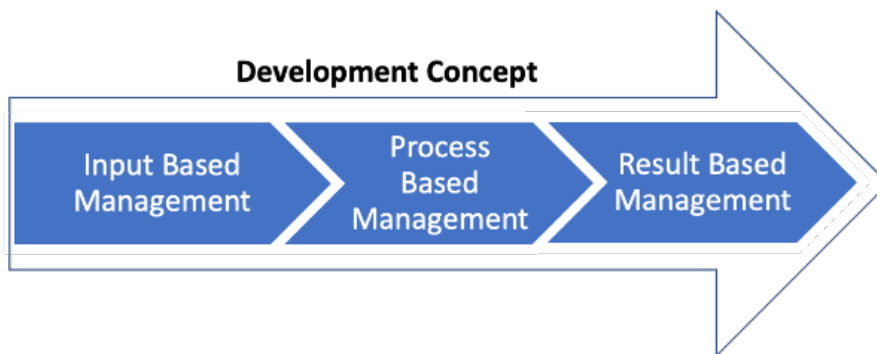
Session **3** – Results Based Management

What is Changed?

Focus on Implementation

Focus on Result

Action Language	Change Language
• Express results from a provider's perspective • Usually to promote or strengthen perspective; something	• A future condition enjoyed by people and countries, such as the Millennium Development Goals
Examples	
• Training of civil servants	• Civil servants able to deliver better quality services
• Rehabilitation of 350 km of road in the province	• Better access between urban/rural areas in the province
• Support to establishment of micro-credit schemes	• Increased access of the poor to digital financing instruments (formal, informal, micro).
•	•
•	•

Results

What is a Result?

Change in a state or condition (intended or unintended, positive or negative) ….. which derive from a cause-and-effect relationship ….. set in motion by development intervention – its output, outcome and impact. (Harmonized Definition (UNDG)
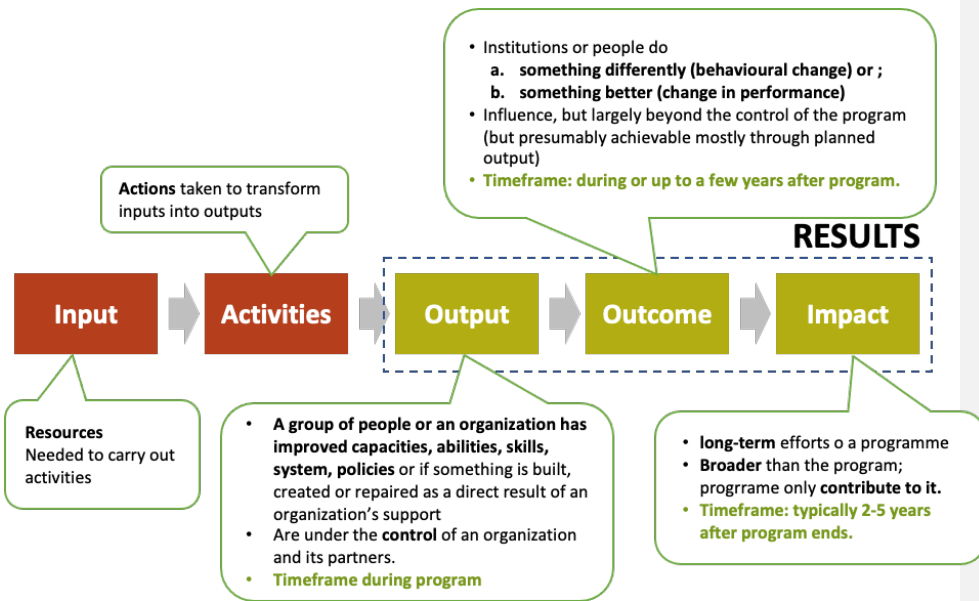
Levels of Results

Moreover, results within the United Nations system correspond to three levels:

1. Outputs of a programme/project
2. Outcomes
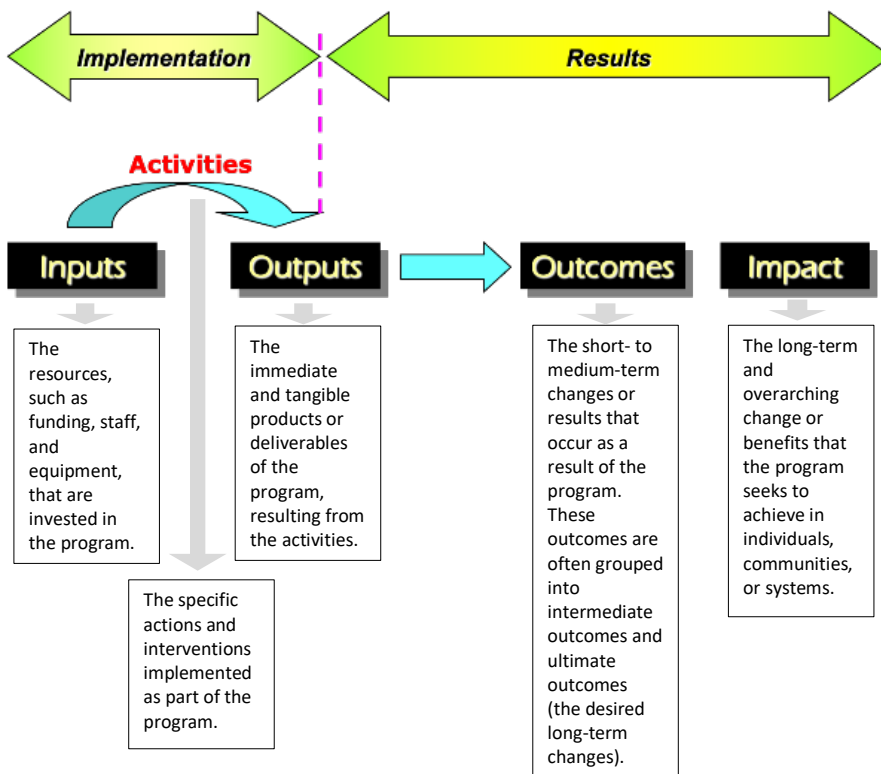3. Goal/national priority levels

What is Result Chain?

- Institutions or people do
  a. **something differently (behavioural change) or** ;
  b. **something better (change in performance)**
- Influence, but largely beyond the control of the program (but presumably achievable mostly through planned output)
- **Timeframe: during or up to a few years after program.**

RESULTS

Actions taken to transform inputs into outputs

| Input | Activities | Output | Outcome | Impact |

Resources Needed to carry out activities

- **A group of people or an organization has improved capacities, abilities, skills, system, policies** or if something is built, created or repaired as a direct result of an organization's support
- Are under the **control** of an organization and its partners.
- **Timeframe during program**

- **long-term** efforts o a programme
- **Broader** than the program; programme only **contribute to it.**
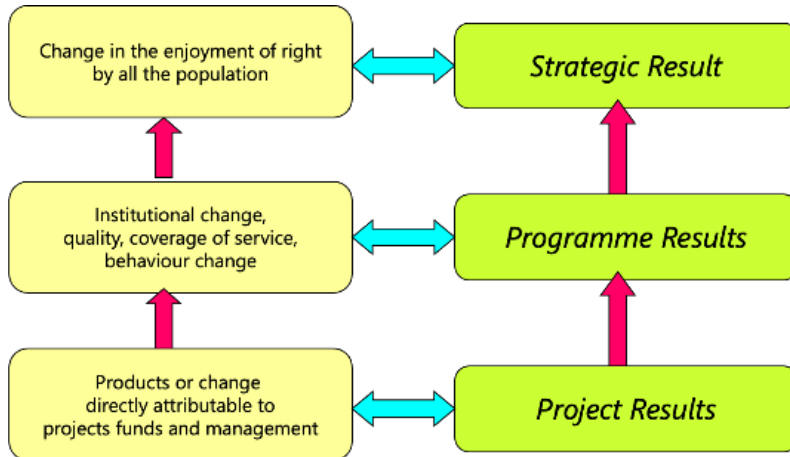- **Timeframe: typically 2-5 years after program ends.**

Theory of Change may include

The Theory of Change (ToC) is a conceptual framework that outlines the causal pathways through which a program or intervention is expected to bring about the desired change or impact. It provides a logical and systematic explanation of how and why the desired outcomes will occur.

The Theory of Change helps organizations and stakeholders to articulate their assumptions, beliefs, and strategies underlying the intervention. It provides a roadmap that connects inputs, activities, outputs, outcomes, and impacts, illustrating the cause-and-effect relationships between them. By doing so, it helps to clarify the logic and rationale behind the program design and implementation.

Implementation → **Results**

Activities

Inputs	Outputs	Outcomes	Impact
The resources, such as funding, staff, and equipment, that are invested in the program.	The immediate and tangible products or deliverables of the program, resulting from the activities.	The short- to medium-term changes or results that occur as a result of the program. These outcomes are often grouped into intermediate outcomes and ultimate outcomes (the desired long-term changes).	The long-term and overarching change or benefits that the program seeks to achieve in individuals, communities, or systems.

The specific actions and interventions implemented as part of the program.

Levels of Results

Change in the enjoyment of right by all the population ⟷ *Strategic Result*

Institutional change, quality, coverage of service, behaviour change ⟷ *Programme Results*

Products or change directly attributable to projects funds and management ⟷ *Project Results*

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Distinguishing Between Result Chain Actors

Instruction: Label the statement action, activity result, output result, outcome result, impact result or indicator, and write the statement number in the respective cell. Justify your decision.

Actions	Activity Results	Output Results	Outcome Results	Impact Results	Indicators to Measure Progress towards Results

1	# of complaints made about environmental waste in neighboring communities
2	Improved knowledge and skills of m/f staff of environment department.
3	# of new national policies and regulations developed on waste management
4	Sustainable health and safety education programs designed and launched
5	Situation of Child Labour in carpet industry improved.
6	# of environmentally friendly technological innovations adopted by participating enterprises
7	Distribution of financial literacy communication materials.
8	Infant mortality decreased and number of female patient increased for personal health.
9	Personal Health communication campaign designed
10	Rate of m/f worker illnesses related to exposure to industrial waste is decreased.
11	Managers (m/f) of CSOs trained in RBM concepts.
12	New policy on girls education formulated.
13	Girls child drop in rate decreased due to awareness by local CSOs.
14	Religious peace & harmony session organized in 13 districts.
15	Community safe water points installed.

Identify the Changes in Different Results Levels

Changes in Conditions

IMPACT / GOAL	•	•
	•	•
	•	•
	•	•

Results are nationally owned.

Changes in capacity and performance of the primary duty bearers.

OUTCOME	•	•
	•	•
	•	•
	•	•

CSOs contributes at this level.

What All Implementors Produce

OUTPUTS	•	•
	•	•
	•	•
	•	•

Government, professionals, CSOs, Donor, Stakeholders

What All Implementors Do

ACTIVITTIES	•	•
	•	•
	•	•
	•	•

Primarily national, often supported by the CSOs, donor and partners

What All Implementors Invest in

INPUTS	•	•
	•	•
	•	•
	•	•

Led by stakeholders

What is Results-Based Management (RBM)

RBM is a management strategy by which all actors, contributing directly or indirectly to achieving a set of results, ensure that their processes, products and services contribute to the achievement of desired results (outputs, outcomes and higher-level goals or impact). The actors in turn use information and evidence on actual results to inform decision making on the design, resourcing and delivery of programmes and activities as well as for accountability and reporting.

By Results-Based Management We Mean…

- o Defining realistic results
- o Using indicators to monitor & evaluate progress towards results
- o Identifying and managing risks, issues and quality
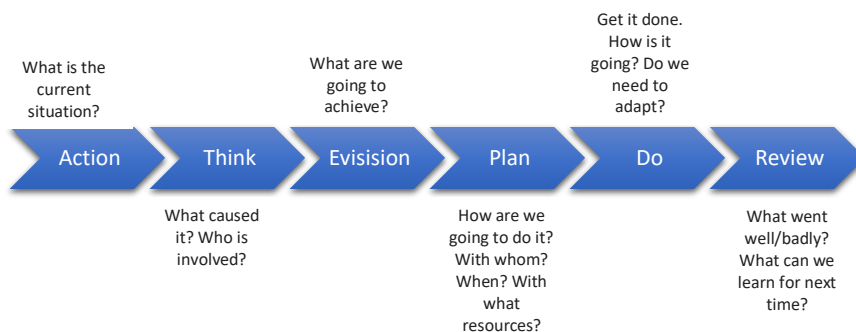- o Integrating Lessons Learned into decisions
- o Reporting on results

Why RBM? Rationale & Intended Gains:

- o Improved focus on results and targets instead of actions and inputs
- o Improved transparency
- o Improved accountability
- o Improved measurement of programme achievements
- o An evolving industry standard

So what is RBM? While there are numerous definitions, generally they agree on the following points:

- RBM is a Management process to ensure activities are being applied to the priorities of the organization.
- RBM is management strategy by which an organization ensures that its processes, products and services contribute to the achievement of desired results.
- RBM rests on clearly defined accountability for results, and requires monitoring and self-assessment of progress towards results, and reporting on performance.
- RBM uses systematic tools and processes to identify what should be done and how success will be measured.
- TBM through performance reporting and analysis, focuses on continuous learning and improvement to the process.

Key Steps of RBM

| Action | Think | Evision | Plan | Do | Review |

What is the current situation?

What caused it? Who is involved?

What are we going to achieve?

How are we going to do it? With whom? When? With what resources?

Get it done. How is it going? Do we need to adapt?

What went well/badly? What can we learn for next time?

History of RBM

|	
1950s	Peter Drucker – 'command and control of workforce' gave way to 'Management'
1960s and 70s	Adoption of 'Management by Objectives' to motivate staff around SMART objectives with established timelines
1980s	USAID's LFA and GTZ's ZOPP and the UN shift from line-item budgets to budgeting around objectives
1990s	Adoption of Results-based management
2000s	Results-based budgeting [Aid Coordination Databases & Evolution of ERP Tools]

Program QUIZ

Accountability	Feedback	Program evaluation
Activity	Finding	Project evaluation
Analytical tools	Formative Evaluation	Project or program objective
Appraisal	Goal	Purpose
Assumptions	Impacts	Quality Assurance
Attribution	Independent evaluation	Reach
Audit	Indicator	Recommendations
Base-line study	Inputs	Relevance
Benchmark	Institutional Development	Reliability
Beneficiaries	Impact	Results
Cluster evaluation	Internal evaluation	Results Chain
Conclusions	Joint evaluation	Results framework
Counterfactual	Lessons learned	Results-Based Management
Country Program Evaluation	Logical framework (Logframe)	(RBM)
Data Collection Tools	Meta-evaluation	Review
Development Intervention	Mid-term evaluation	Risk analysis
Development objective	Monitoring	Sector program evaluation
Economy	Outcome	Self-evaluation
Effect	Outputs	Stakeholders
Effectiveness	Participatory evaluation	Summative evaluation
Efficiency	Partners	Sustainability
Evaluability	Performance	Target group
Evaluation	Performance indicator	Terms of reference
Ex-ante evaluation	Performance measurement	Thematic evaluation
Ex-post evaluation	Performance monitoring	Triangulation
External evaluation	Process evaluation	Validity

RBM is seen as taking a life-cycle approach. It starts with elements of planning, such as setting the vision and defining the results framework. Once partners agree to pursue a set of results through a programme, implementation starts, and monitoring becomes an essential task to ensure results are being achieved. M&E provide invaluable information for decision-making, and lessons learned for the future.

Summary of key RBM principles is to:
- **Planning** = stakeholders identify a shared vision of the goals and objectives to be achieved.
- **Monitoring** = regular feedback on the progress being made towards achieving the goals and objectives is obtained.
- **Evaluation** = rigorous and independent assessment.
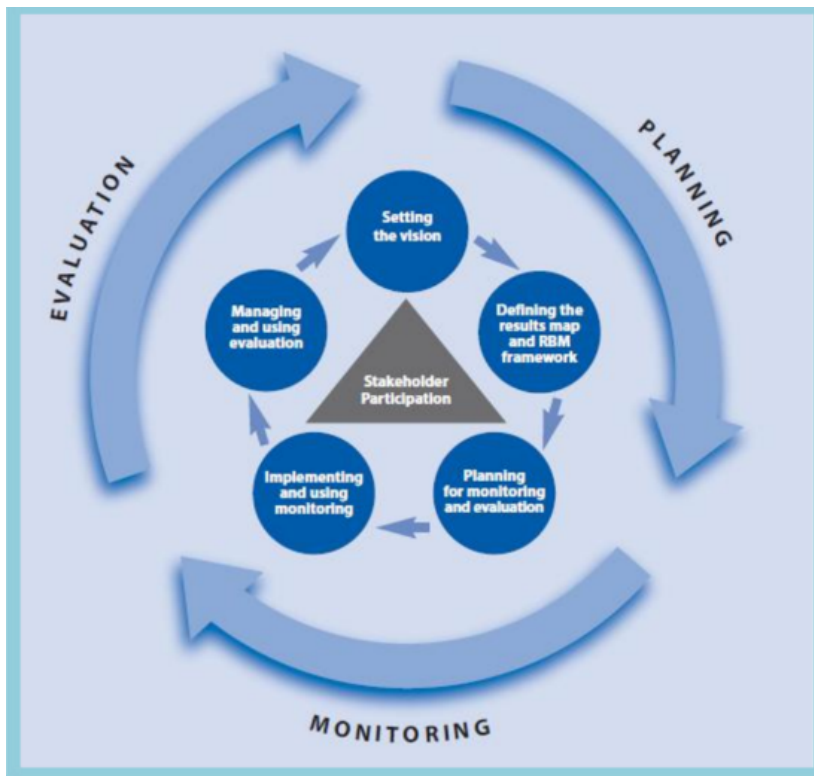
- **Reporting =** result and evidence and facts based reports and documents.

Session **3.1** – RBM in Planning

Developing Indicators?

A quantitative or qualitative variable that allows the verification of changes produced by a development intervention relative to what was planned

(UNDG Harmonized Terminology, 2003)

IN OTHER WORDS, ….

Means of measuring what actually happens against what has been planned in terms of quantity, quality and timeliness, for every level of result.

Purpose of Indicators

Indicators 'indicate' that change is happening or not happening.

THEY CAN….

- o *Clarify the scale and scope of a result in the results framework*
- o *Demonstrate progress when things go right*
- o *Provide early warning when things go wrong*
- o *Assist in identifying changes that need to be made in strategy and practice*
- o *Inform decision making*
- o *Facilitate effective evaluation*

Difference between Indicators & Results

Indicators and results are both important concepts in the context of monitoring and evaluation, particularly in Results-Based Management (RBM). While they are related, there are key differences between them:

Indicators:	Results
Indicators are specific and measurable variables or measures that provide evidence of progress or achievement towards a particular result or outcome. Indicators are used to track and monitor changes and provide data for assessing performance and measuring results. They serve as quantitative or qualitative benchmarks against which progress and success can be measured.	Results are often classified into two categories: **Outputs:** Outputs are the immediate and tangible products or deliverables of a program. They represent the direct results of program activities and interventions. **Outcomes:** Outcomes are the broader and longer-term changes that occur as a result of the program.

For example, if the result or outcome being measured is "Increased literacy rates," the corresponding indicator might be "Percentage of population with basic reading and writing skills."

Types of Indicators

QUANTITATIVE	QUALITATIVE
• Factual (yes/no) Exístanse (yes/no) • # of government officials trained • # of regional networks on aid effectiveness created • % of government budget devoted to social sectors • % of population with access to basic health care • Ratio of female to male school enrolment	• Involve people's perceptions about a subject • Process, Behavioral and Attitudinal changes • Quality of, extent of, degree of…
EXAMPLE • 85% of government schools in project area establish school management committees	**EXAMPLE** • Quality of education as perceived by men and women • Extent to which women councilors affect decision making at local council level

S **SPECIFIC**
- In terms of quantity, quality, time, location, target groups, baseline and target for the indicator

M **MEASURABLE**
- Will the indicator show desirable change?
- Is it a reliable and clear measure of results?
- Is it sensitive to changes in policies & programmes?
- Do stakeholders agree on exactly what to measure?

A **ACHIEVABLE**
- Are the result (s) realistic and based on risk assessment, partnership strategy and other factors contributing to the underlying result

R **RELEVANT**
- Is it relevant to the intended result?
- Does it reflect the expectations and success criteria for change in the target groups?

T **TRACKABLE/TIMEBOUND**
- Are data actually available at reasonable cost & effort?
- Can proxy indicators be used?
- Are data sources known?

Indicators Validation Checklist

Sr.	Indicator	Yes	No
1	The definition of indicators has involved those whose performance will be measured.		
2	Those whose performance will be judged by the indicators will have confidence in them.		
3	The indicator describes how the achievement of the result will be measured.		
4	Each and every variable included in the indicator statement is measurable with reasonable cost and effort.		
5	The indicator is clear and easy to understand even to a layperson.		
6	The indicator lends itself to aggregation.		
7	The indicator can be disaggregated by sex, ethnicity or social condition.		
8	A baseline current value can be provided for each and every variable in the indicator statement.		
9	There is a target during a specified timeframe for each and every variable in the indicator.		
10	The indicator is not repeated in any of the results below or above the results framework.		

Assumptions and Risk

Assumptions	Risk
are the variables or factors that need to be in place for results to be achieved. Assumptions can be internal or external to the particular programme or organization.	corresponds to a potential future event, fully or partially beyond control that may (negatively) affect the achievement of results. Since potential impacts can be both posi- tive and negative, some agencies have chosen to widen the definition of risks to include both threats that might prevent them from achieving their objectives and opportunities that would enhance the likelihood that objectives can be achieved. Such a definition has the advantage that it enables a more balanced consideration of both opportunities and threats, thereby promoting innovation and avoiding risk aversion.
Example	
In a reproductive SRH health service programme, an assumption might be that there are adequately trained personnel and extension services. In a SRH campaign project, a higher number of female visitors among the rural population is expected to visit the health centers, an assumption would be that health centers are actually operational and infrastructure are in place so that the population can reach health centers after the awareness campaign.	In the context of election support programme, a potential risk may be that rising ethnic tension and violence in rural areas may make people reluctant to travel to voting centers on election day. On the other hand, a potential decision by the government to double the number of voting centers would represent a significant opportunity to increase participation since travel distances may be reduced.

Risk Matrix

Risk	Likelihood of Risk (L, M, H)	Impact of Risk (L,M,H)	Risk Mitigation Strategy
Result			
Risk			

Programmes and projects are expected to manage the risks related to their programme and project. The following are a range of risk mitigation strategies that may be considered:

- **Prevention:** Prevent the risk from materializing or prevent it from having an impact on objectives;
- **Reduction:** Reduce the likelihood of the risk developing or limiting the impact in case it materializes;
- **Transference:** Pass the impact of the risk to a third party (e.g., via an insurance policy);
- **Contingency plan:** Prepare actions to implement should the risk occur;
- **Acceptance:** Based on a cost/benefit analysis, accept the possibility that the risk may occur and go ahead without further measures to address the risk.
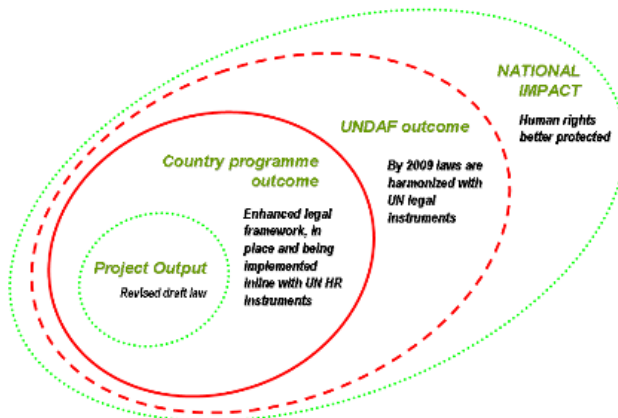
Baseline

- A baseline is the situation just before, or at the outset of a new program, project, service or operation against which progress can be measure or comparisons can be made as part of monitoring and evaluation.
- Effective monitoring is nearly impossible without an established baseline.

Targets

A target is an explicit statement or result derived for an indicator over any specified time period (to be provided at the level of output, outcomes and impact).

EXAMPLE: THE HIERARCHY OF RESULTS IN UNDP CONTEXT

NATIONAL IMPACT
Human rights better protected

UNDAF outcome
By 2009 laws are harmonized with UN legal instruments

Country programme outcome
Enhanced legal framework, in place and being implemented inline with UN HR instruments

Project Output
Revised draft law

Session 3.2 – RBM in Managing

The 'M' in RBM is often overlooked. Yet without good management it is unlikely that results will be achieved. Managing effectively for better results requires the flexibility to change strategies and activities if and when needed. It also means using a team-based approach to ensure that all stakeholders concur with any proposed changes or actions. Good management ensures that results matrices are updated at least once a year with the agreement of all stakeholders.

Key Challenges and Overcoming Strategies

Defining realistic results Make results commensurate with available resources and reach.

Key Challenges to RBM	Strategies To Overcome The Challenges
Developing a results-based culture	Use RBM at each stage of a programme and project cycle, and reward results performance.
Reporting on results or the effects of completed activities vs. reporting on activities	Practice writing results based reports comparing them to your previous type of reporting.
Ongoing support, training and technical assistance in RBM	Establish RBM focal points and coaches, and organize training workshops.
Moving from outputs to outcomes	Underline the difference between outputs and outcomes and reward performance that manages for outcomes.
Ensuring a cause and effect relationship and coherence between programme outputs and agency/UNDAF outcomes and national goals.	Be realistic with the definition of results so that outputs and outcomes can be realistically achieved.

Managing Outcomes

An important dimension of the project is managing outcomes. While the planning phase with government stakeholders and United Nations agencies serves to prepare a framework for joint collaboration, more attention needs to be placed on managing and monitoring outcome results. Flow and consistency of results should be maintained among the various programming instruments, including programme documents.

Action Plan, programme action plans, and other operational plans down to annual work plans. It needs attention in each project meeting. It involves:

- Monitoring financial commitments
- Monitoring the completion of major activities and the achievement of outputs
- Tracking that they are contributing to outcomes
- Supporting government efforts to monitor outcome indicators - many of which should be aligned with indicators in the national development framework
- Reflecting on the key assumptions and risks which underpin the project design and which are necessary for the achievement of outcomes
- Using this evidence to engage more regularly and effectively with national authorities and actors to discuss program performance and how to better align it with government resources for greater effectiveness.

Output/Outcome Management Checklist

How Often Do you Do That?

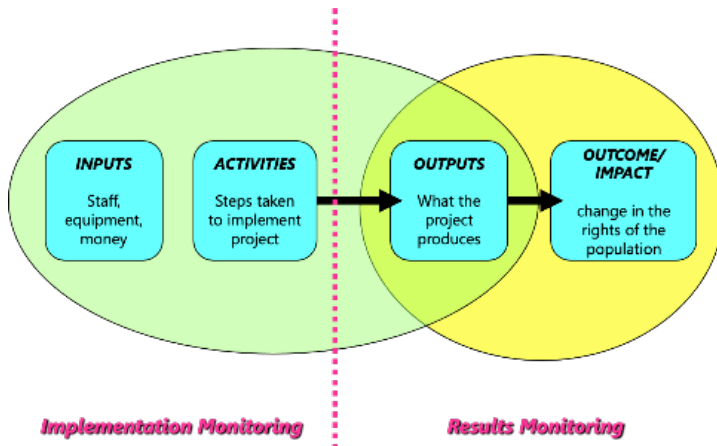| Sr.	Indicator	Never	Once	Periodiically
	Planning			
1	Scoping the project (goal & objectives setting; deliverables definition)			
2	Planning Process			
3	Monitor basic activities of the planning process			
4	Creating the work breakdown structure and task decomposition			
5	Estimating time and effort			
6	Scheduling tasks and setting milestones			
7	Costing and resourcing the project			
8	Analyzing risks and creating risk mitigation strategies			
9	Setting roles and responsibilities for project stakeholders			
	Implementation Process			
10	Resources (time, people, money, technology, information) allocation and distribution			
11	Meeting milestones			
12	Budgeting and Cost Control			
13	Task management			
14	Quality assurance and control			
15	Staff training and team support			
16	Assess effectiveness & efficiency of communication system			
17	Measure functioning and team commitment			
	Monitoring & Evaluation			
18	Project progress at each stage			
19	Efficiency of decision-making processes			
20	Activities of the management/authority structures			
21	Efficiency of risk mitigation strategies			
22	Budget expenditure			

Session 3.2 – RBM Monitoring

Monitoring is an important task in the life of a programme or project. It involves regular and systematic assessment based on participation, reflection, feedback, data collection, analysis of actual performance (using indicators) and regular reporting. Monitoring makes it possible to gauge where programmes stand in terms of international norms and standards. It helps the project team to understand where programmes are in relationship to results planned, to track progress (on the basis of intended results and agreed indicators), and to identify issues and analyze relevant information and reports that become available as implementation occurs. The project management also monitors to fulfill accountability requirements; communicate, review and report results to stakeholders; adjust approaches to implemen- tation if necessary; and inform decision-making. Monitoring feeds into evaluation and real-time learning.


Purpose for Monitoring, is…

- to systematically check on a condition or set of conditions
- to keep an eye on progress to ensure that results are likely to be reached
- to provide the basis for making decisions and taking action
- to alert to problems so that corrective actions can be taken
- to adjust specific objectives and revise the work plan
- to identify shortcomings before it is too late
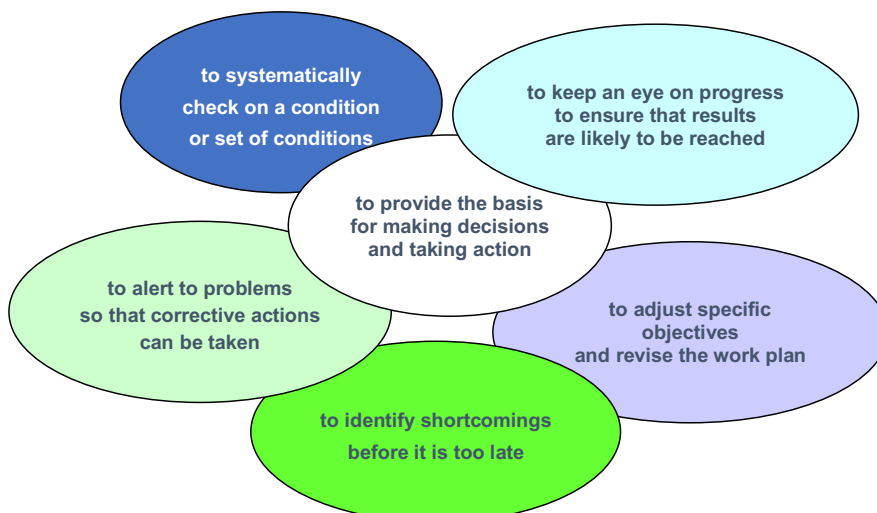
Different Levels of Monitoring

Outcome Monitoring

- **Objective -** Track changes from baseline conditions to desired outcomes
- **Focus:** Outputs, programmes, partnership, soft assistance
- **Methodology:** Analysis and comparison of indicators
- **Actors:** Programme Manager, Project Manager, key partners
- **Use:** Alerts to problems, corrective actions, accountability

Performance Monitoring

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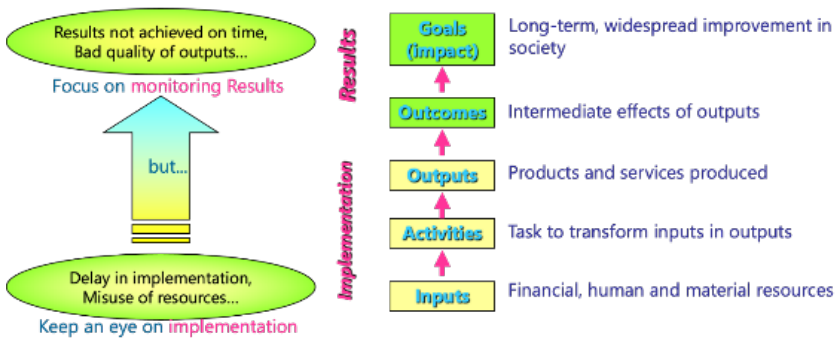
Monitoring Tools & Trackers

The results matrix can be used in a number of ways. It serves as:

1. *Inputs trackers:* supply delivery, human resources, financial resources reports…
2. *Implementation trackers:* time tables, work plans, issues log, disbursement, progress reports, spot-checks…
3. *Quality trackers:* quality log, lesson learnt log, field visits…
4. *Outputs delivery trackers:* risk log, surveys, field visits, implementing partners meetings, donor reports, annual review, ROAR…
5. *Outcomes trackers:* surveys, studies, reports review and analyses, stakeholder meetings, mid-term evaluation…

Developing Monitoring Plan

The methodology for baseline collection and M&E plan indicators need to be considered. The methods used depend on the time and resources available and the depth required to adequately complete the monitoring or evaluation of the programme or project.

> *The M&E plan is developed through consultation with partners, the government, donor agencies, local stakeholders and, when possible, beneficiaries. Inclusion of wide range of stakeholders – particularly the rights-holders – ensures the M&E plan is realistic and feasible.*

Monitoring Methods
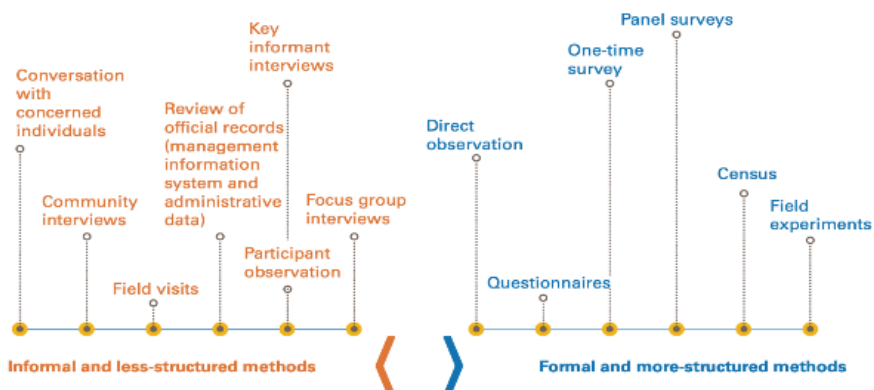
Which Tool Have you been Using

Sr.	Tool	Why	When	Result
1	Semi-structured interviews			
2	Focus groups			
3	Surveys and questionnaires			
4	Workshops and roundtables			
5	Field visits			
6	Testimonials			
7	Scorecards			
8	Referencing existing reports from government, donor or partners.			
9	Any other tool…….			

Session 3.4 – RBM in Evaluation

Evaluation is an essential step in the RBM life cycle. Evaluation is an assessment, as systematic and impartial as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area, institutional performance, etc. It focuses on expected and achieved accomplishments, examining the results chain, processes, contextual factors of causality, in order to understand achievements or the lack thereof. It aims at determining the relevance, impact, effectiveness and sustainability of the interventions and contributions of the project or program.

An evaluation should provide evidencebased information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons into the decision making processes of the organizations its management, members and stakeholders[1].

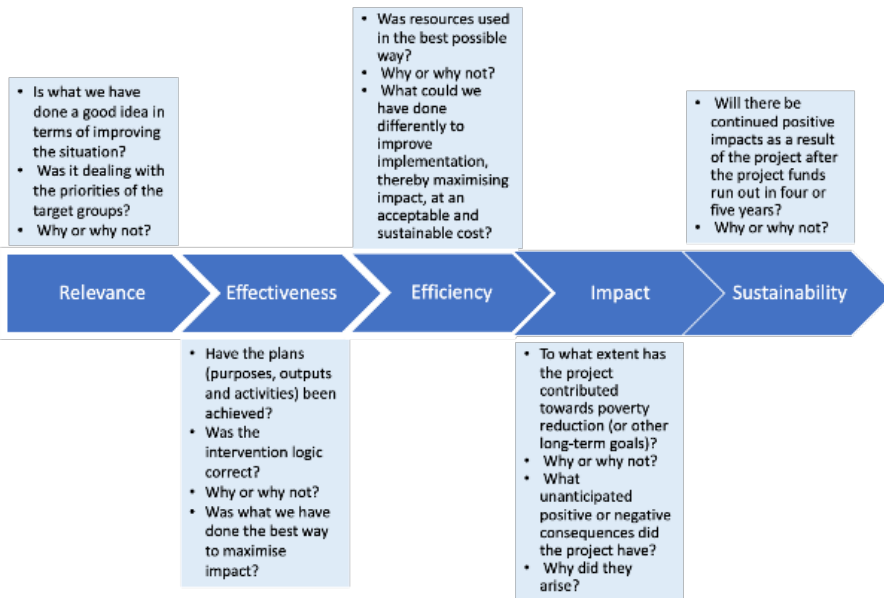It is important to distinguish the role of evaluation in RBM in the following two aspects:

- as a critical management tool for achieving better results; and
- as a quality assurance tool during RBM processes.

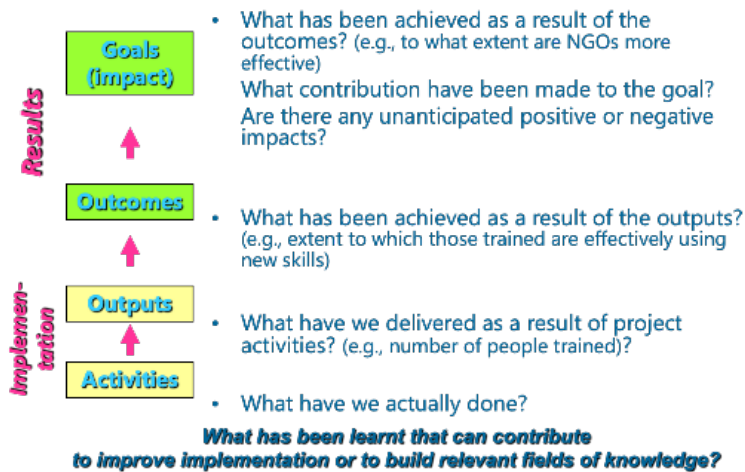**Evaluation has three key fuctions:**

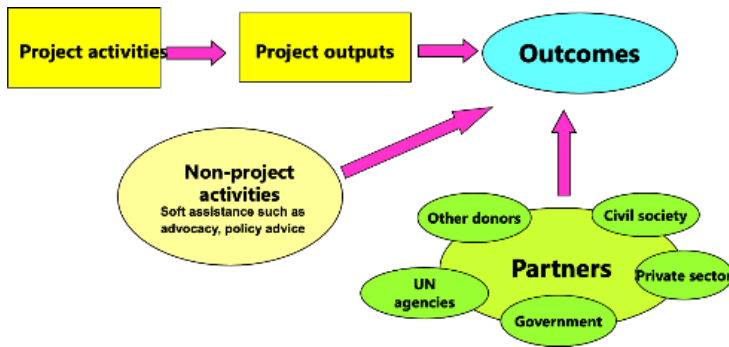| Programme Improvement	Accountability	Organizational Learning
Evaluation is a management tool for achieving better results. Evaluation provides decision-makers with evidence and objective information about performance and good practices that can help them to improve programmes. Evaluation allows managers to make informed decisions and plan strategically. The ability of organizations to carry out credible evaluations and use them to make informed decisions is critical when managing for results with a goal of improving development effective- ness. The focus is on what works, why and in what context. Decision makers use evaluations to make necessary improvements, adjustments to the implementation approach or strategies, and to decide on alternatives.	Objective and independent evaluations help United Nations organizations to be held accountable to their governing boards, donors, governments, national partners, the general public and beneficiaries. An evaluation determines the merit and quality of an initiative or programme. An effective accountability frame-work requires credible and objective information; evaluations can deliver such information.	Evaluations build knowledge for institutional learning, policy making, development effectiveness and orga- nizational effectiveness. Evaluations are not an event, but part of an ongoing exercise in which different stakeholders participate in the continuous process of generating and applying evaluative knowledge. An evaluation framework that generates knowledge, promotes learning and guides action is an important means of capacity development and sustainability of results.

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[1] excerpt from UNEG Norms for Evaluation in the UN System, 2005, (p. 4)

Focus of Evaluation

- Is what we have done a good idea in terms of improving the situation?
- Was it dealing with the priorities of the target groups?
- Why or why not?

- Was resources used in the best possible way?
- Why or why not?
- What could we have done differently to improve implementation, thereby maximising impact, at an acceptable and sustainable cost?

- Will there be continued positive impacts as a result of the project after the project funds run out in four or five years?
- Why or why not?

Relevance → Effectiveness → Efficiency → Impact → Sustainability

- Have the plans (purposes, outputs and activities) been achieved?
- Was the intervention logic correct?
- Why or why not?
- Was what we have done the best way to maximise impact?

- To what extent has the project contributed towards poverty reduction (or other long-term goals)?
- Why or why not?
- What unanticipated positive or negative consequences did the project have?
- Why did they arise?

Performance Evaluation

Goals (impact)
- What has been achieved as a result of the outcomes? (e.g., to what extent are NGOs more effective)
  What contribution have been made to the goal?
  Are there any unanticipated positive or negative impacts?

Outcomes
- What has been achieved as a result of the outputs? (e.g., extent to which those trained are effectively using new skills)

Outputs
- What have we delivered as a result of project activities? (e.g., number of people trained)?

Activities
- What have we actually done?

Results (Goals, Outcomes)
Implementation (Outputs, Activities)

What has been learnt that can contribute to improve implementation or to build relevant fields of knowledge?

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Who Can Evaluate?

- **Self-Evaluation -** involved in the intervention
- *Internal Evaluation -* not directly involved, reporting to donor, partner or implementer
- *Participatory Evaluation -* different donors and/or partners agencies, stakeholders, beneficiaries
- *Independent Evaluation -* independent from design and implementation
- *External Evaluation -* outside of donors and implementers

When to Evaluation?

- Planning   -   **Pre-implementation Evaluation**
- Implementation   -   **Ongoing or Mid-term Evaluation**
- Completion   -   **Project Completion or Post-implementation Evaluation**
- Reporting and Communication – **End-ine Evaluation or Impact Assessment**

How to Use an Evaluation

What information is needed?

- the relevance of intended outputs or outcomes and validity of the results framework and results map
- the status of an outcome and factors affecting it
- the effectiveness of the UNDP partnership strategy
- the status of project implementation
- cost of an initiative relative to the observed benefits
- lessons learned

Who will use Evaluation Information?

The intended users of an evaluation are those individuals or groups who have a vested interest in the results and who are in a position to make decisions or take action based on the results. Users of evaluations are varied, but generally fall within the following categories:

- Program management and programme or project officers, as well as others involved in programme or project design and implementation
- National government counterparts, policy makers, strategic planners
- Development partners
- Donors and other funders
- The general public and beneficiaries
- United Nation agencies' Executive Board and other national oversight bodies

How the Information be Used?

- design or validate a development strategy - make mid-course corrections
- improve project or programme design and implementation
- ensure accountability
- make funding decisions
- increase knowledge and understanding of the benefits and challenges of development programme and projects intended for the enhancement of human development

Source: adapted from the Handbook on Planning, Monitoring and Evaluating for Development Results, UNDP, September 2009

Inter-Linkages and Dependencies between Planning, Monitoring and Evaluation[2]

- Without proper planning and clear articulation of intended results, it is not clear what should be monitored and how; hence monitoring cannot be done well.
- Without effective planning (clear results frameworks), the basis for evaluation is weak; hence evaluation cannot be done well.
- Without careful monitoring, the neces- sary data is not collected; hence evaluation cannot be done well.
- Monitoring is necessary, but not sufficient, for evaluation.
- Monitoring facilitates evaluation, but evaluation uses additional new data collection and different frameworks for analysis.
- M&E of a programme will often lead to changes in programme plans.
  This may mean further changing or modifying data collection for monitoring purposes.

The intended use of an evaluation determines the timing, its methodological framework, and the level and nature of stakeholder participation. Therefore, the use has to be determined in the planning stage of the process.

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[2] **Source:** Adapted from *UNEG Training— What a UN Evaluator Needs to Know?*, Module 1, 2008.

Session 3.5 – RBM in System

Every CSO need to ensure that an effective M&E system is in place to monitor and evaluate its work prior to the implementation of programmatic work. In practice, monitoring has to be considered and initially planned in the planning and analysis stages when key issues such as data, national M&E capacities and stakeholder needs and engagement are first encountered. It is best to develop M&E plans at the beginning in the project development process and then gradually strengthen them as the project moves on to implementation stages.

A number of tasks fall under the purview of these inter-agency outcome/M&E groups, including:

- Meet regularly with partners to assess progress;
- conduct coordinated joint monitoring missions as appropriate;
- Report regularly on the above and to bring objective monitoring evidence, lessons learned and good practices to the attention of policy-makers;
- Conduct and document annual progress reviews of the program/projects, using the M&E plan as a framework.
- the program management can itself support group members in fulfilling these roles by:

  o recognizing their inter-agency responsibilities in assessing performance at the outcome level; and

  o ensuring that M&E groups have resources, technical and secretariat support.

Session 3.6 – RBM in Reporting

Results-based reporting is one of the key challenges of RBM. All too often reports do not adequately tell the story of the effects that interventions are having. Results-based reporting seeks to shift attention away from activities to communicating important results that the programme has achieved at the level of norms and standards in relation to national commitments to international treaties and human rights instruments.

What is not reported did not happen.

In writing the results story, the CSOs should:
- describe what was achieved and list the indicators of success;
- compare actual results with expected results;
- quantify achievement whenever possible against a baseline;
- illuminate findings with quotes, testimonials, photos, etc;
- explain the reasons for over or under achievement;
- highlight any unforeseen problems or opportunities that may require new strategies or a redesign of the initiative;
- tell the story of how the results were achieved, and highlight when there is potential for wider learning of lessons;
- recognize the involvement of others (partners, stakeholders, rights-holders) and assign a degree of attribution, if possible;
- ensure there is sufficient data to describe the effects of activities undertaken.

By presenting credible, reliable and balanced information, the project team will be able to produce an effective resultsbased report. An effective report can also be one that highlights challenges and areas of inefficiency and poor results. Quality criteria for results reporting include the following five areas:
1. Completenes
2. Balance (good and bad)
3. Consistency (between sections)
4. Substantiveness and reliability
5. Clarity

7Cs of Effective and Result Oriented Report

Clear	Make objective clear. Avoid complex words & phrases.
Concise	Keep it clear and to the point. Avoid filler words & sentences.
Concrete	Be specific not vague. Use facts and figures to support your message.
Correct	Try to avoid typos. Use correct facts and figures. Use the right level of language.
Coherent	Does your message make sense? Ensure it flows logically. Avoid covering too much.
Complete	Does the message contain everything it needs to? Include a call-to-action.
Courteous	Being polite builds goodwill. Ensure message is tactful.

Example of UNDAF Results-Based Report

| OUTPUT INDICATORS	BASELINE	TARGET	END-LINE DATA
Overall progress on UNDAF outcome (including assessment of key strategies, their effectiveness and lessons learned): Greater access and equity in health services for adolescent and vulnerable groups. While the programme is in its initial phases, preliminary results look promising. Data collection around the access and equity on health services is showing a 5% increase per year. Special efforts have also been made to ensure that marginalized groups - like indigenous women and men and adolescent boys and girls - have greater access to health services. The special programme targeting adolescent youth and reproductive health with outreach and theater has been very successful in promoting the importance of reproductive health.			
Output 1: Strengthened national capacity to develop and implement a human resource development plan for safe motherhood, within the national human resource development plan.			
• Human Resource development plan for safe motherhood developed • # of people trained	• Comparison of new development plan with the old development plan	• Assessment in 3 provinces of HR situation in regard to safe motherhood. • 30 men and 70 women professionals trained.	• Human Resource Development Plan is developed and the report is available. • At the end of year two, target was achieved.
Overall Progress for Output # 1 (including assessment of key strategies, their effectiveness and lessons learned): The National Human Resource Development Plan for Reproductive Health with a focus on Safe Motherhood Initiative for 2008-2020 developed with technical assistance of UNFPA along with other stakeholders. An implementation plan for the National Human Resource Development Plan was also developed with the participation of various stakeholders which has led to increased commitments from civil society and government ministries. Implementation of the Human Resource Development Plan is progressing well and there is beginning to be an increase in use of adolescent sexual and reproductive health services.			
Output # 2: Strengthened reproductive health information and services for young people within the context of the national adolescent health strategy.			
• Life skills education incorporated into the adolescent health strategy. • Satisfaction of youth with reproductive health information and services. • Models for strength- ening reproductive health and	• 0 • 0 • 0	• 1 • 70% of youth satisfied • 2 models	• 1 • 60% of youth satisfied with health services • 2 models

OUTPUT INDICATORS	BASELINE	TARGET	END-LINE DATA
HIV/AIDS information and services for out-of-school young people created.			

Overall Progress for Output # 2 (including assessment of key strategies, their effectiveness and lessons learned):

Young people's multisectoral needs, rights and necessary reproductive health related health skills have been incorporated into the adolescent health strategy, which is being finalized in 2009. Similarly, two models for adolescent sex and reproductive health information dissemination have been developed, which are currently functioning and operational. A survey of adolescent youth reveals about a 60% satisfaction level with the new health information and services in place. Youth made recommendations to increase the extension services available to them. Both the models are being handed over to the respected ministries – the Ministry of Public Health and the Deputy Ministry of Youth Affairs - with the goal of scaling up these efforts in multiple provinces.

Output # 3.....

Session 3.7 – RBM in Learning, Adjustment & Decision Making

Like all management systems for planning, as M&E becomes more results based, it is expected that the process of implementation will lead to greater learning, adjustment and decision making. This continual process of feedback and adjustment, seeks to make programmes more responsive to the environment within which they operate.

A number of mechanisms can be put into place to ensure this, including:
- Establish and support data collection and analysis at the community level
- Utilize biannual meetings and yearly reviews to review programme performance
- establish electronic systems to post questions, share technical information and offer assistance to facilitate knowledge sharing and exchange
- Organize cross-regional learning processes, such as workshops and retreats, to take stock and analyze results
- Explore CSO/project events as venues for the dissemination of successful organizational initiatives and practices to inform a wider audience
- Actively participating in 'communities of practice' –many of which are online – to share best practices and seek advice for ongoing challenges from peers and experts
- Optimizing performance between and among donor, implementing agencies and key stakeholders is the key to ensuring accountability, national ownership, buy-in and sustainability of development interventions and long-term change
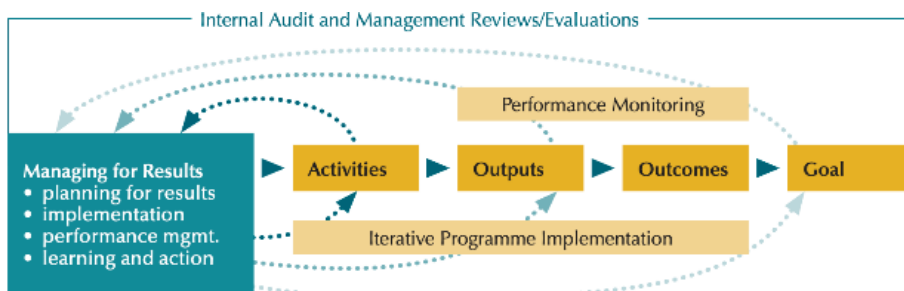
Means of Verification

Means of verification (MOV) refer to the methods and sources used to gather evidence or information to assess the progress, achievements, or impact of a project, program, or intervention. They are the tools or mechanisms employed to validate or verify the claims made about the outcomes or results of an initiative. Means of verification are important for monitoring and evaluation purposes and help ensure that the reported data and information are accurate, reliable, and credible.

Purpose of MOVs

1. The means of verification show where one can obtain the data necessary to verify the indicator.
2. When suitable means of verification beyond the immediate framework of the project cannot be identified, the information necessary to verify the indicator must be collected, processed and recorded internally by the project itself.
3. Data collection over time can be both costly and time consuming. It is thus important to carefully select which data would be most representative of the subprogramme's effectiveness.

Common Means of Verifications

Sr.	MOVs	Detail	Purpose
1	**Data collection tools**	Surveys, questionnaires, interviews, and focus group discussions are commonly used to collect quantitative and qualitative data directly from individuals or groups.	These tools provide firsthand information and allow for systematic data collection
2	**Document reviews**	Reviewing official documents, reports, records, or secondary data sources can provide valuable information for verification purposes.	This can include reviewing financial records, project plans, meeting minutes, progress reports, or other relevant documents that provide evidence of project implementation or outcomes.
3	**Observations**	Direct observations of project activities, events, or processes can serve as a means of verification	This involves physically witnessing and documenting the implementation of activities or the conditions on the ground to validate reported information.
4	**Site visits and inspections**	Conducting site visits or inspections allows for firsthand observation and verification of project activities, infrastructure, or facilities. assess progress, quality, and compliance with established standards or requirements.	It involves physically visiting project sites or locations to
5	**Expert opinions**	Seeking expert opinions or conducting peer reviews can provide external validation and verification of project outcomes or results.	Experts in the field can assess the methodologies, data analysis, and interpretations to ensure credibility and accuracy.

Sr.	MOVs	Detail	Purpose
6	**Data triangulation**	Data triangulation involves cross-referencing and comparing multiple sources of data or information to ensure consistency and validity	By using different methods or sources, such as surveys, interviews, and observations, data triangulation helps identify patterns, discrepancies, or commonalities, enhancing the reliability of the findings.
7	**Baseline studies**	Baseline studies are conducted at the beginning of a project to establish a benchmark against which progress or change can be measured.	Comparing data from baseline studies with data collected during or after project implementation provides a means of verification by assessing the extent of achieved outcomes or impact.
8	**External evaluations**	Independent external evaluations conducted by third-party evaluators or experts provide an objective means of verification.	These evaluations assess project performance, outcomes, and impacts, ensuring impartiality and credibility.
9	**Feedback mechanisms**	Establishing feedback mechanisms, such as suggestion boxes, hotlines, or online feedback forms, allows for community members, beneficiaries, or stakeholders to provide feedback or report on the accuracy of project claims.	This feedback can be used as a means of verification, ensuring that reported information aligns with the experiences and perceptions of those directly affected.

Means of verification should be selected and tailored based on the specific objectives, indicators, and context of the project or program. They should be designed to provide accurate and reliable information that can be used to assess progress, inform decision-making, and ensure accountability.

Session 4 – Community Led Development

What is a Community?

The term is used differently in different situations and three definitions are given below:

- A territorial unit of society- e.g. a village, a town, a district, a city or refugee camp
- A unit of social organization which can be based around common interests (e.g. the academic community), a shared living situation (e.g. a residential home) or around a territorial unit (e.g. a village or district)
- A particular type of social interaction typically characterized by:
    - A sense of belonging
    - A sense of purpose and common goals
    - A high degree of co-operation and participation in pursuing common goals
    - An inter-personal climate characterized by mutual respect, a sense of fraternity or fellowship

Communities begin with an individual, therefore recognizing that every individual is core to forming a community, every member in society is very important in a community. Therefore social identity recognizes the individual:

- **As a person**
- **As a member of a family**
- **As a member of a group/clan**
- **As a member of society**
- **As a member of a community**

Based on the social identity that contributes to the formation of communities, communities will reflect certain commonalities and Characteristics:

Characteristics	Commonalities
- Interest - Communion - Boundary and Community - Community as network and local social system	- Language - Expression - Habit - Religion - Social Customs - Behaviours - Norms

There are many types of communities that can be identified by: place, identity, transient, workplace, spatial/virtual and interest. Communities are built through networks. Community networks are connections established around a common interest or place like school, the workplace, sporting club or community organisation. Some community networks link people to social institutions where they can join in decision making.

Communities are important because they:

- are where people live, play, work and meet both physically and virtually
- are where children grow up and make friends
- shape people's identities and sense of belonging and provide the security and freedom to shape their futures
- are places of learning and decisions about people's lives and environment
- provide the opportunity/medium for people to seek support and advice
- provide a place to contribute
- encourage network building to foster relationships that help people feel happier, healthier and improve their lives

What is Development?

Development is a process of improvement and changes required for better living & existence of human being.

Development is a process that increases choices. It means new options, diversification, thinking about apparent issues differently and anticipating change (Christenson et.al., 1989). Development involves change, improvement and vitality, a directed attempt to improve participation, flexibility, equity, attitudes, the function of institutions and the quality of life. It is the creation of wealth, - wealth meaning the things people value, not just money (Shaffer, 1989).

Terms & Phrases of Development

human development

change   economic growth   self-determination

economic development   education   equity   goals

positive change   freedom   justice

consumption   participation   livelihoods   income

responsibilities

equality   health   poverty reduction   progress

social development

good governance   peace   MDGs

human rights

gender equity   Disability   reducing vulnerability

production   wealth   sustainability

social inclusion   targets

entitlements   SDGs   process of change

Putting the two terms together, community development – means that a community itself engages in a process aimed at improving the social, economic and environmental situation of the community. The community is both the means and the end of community development. The community itself takes action and participates together. It is through this action that the community becomes more vital, not just economically but as a strong functioning community in itself.

The United Nations[9] defines **community development** as "a process where community members come together to take collective action and generate solutions to common prob- lems". It is a broad concept, applied to the practices of civic leaders, activists, involved citi- zens, and professionals to improve various aspects of communities, typically aiming to build stronger and more resilient local communities.

Community-led development (CLD) involves a community working together on a shared vision to govern and learn from local action to achieve social change objectives. This framework for development promotes the use of internally generated evidence and external data. It boosts the skills of community leaders in planning, designing, and delivering projects, and involves as much of the community as possible to choose and implement projects.

Research[3] showed that:

Capacity-building	Community-building	Ownership-building
through engaging local leaders and community members in constructive collaboration to implement development programs while modeling high standards of accountability and transparency.	through bringing stakeholders together to collectively identify and address community needs, encouraging a culture of inclusivity and cooperation, and mitigating competition over resources.	through increasing people's capacity and willingness to participate and invest in efforts to improve their communities. For each of these central concepts, a series of indicators were developed to measure both processes and outcomes involved with community-led methods of development. Respondents evaluated INGOs, government, local NGOs, and Provincial Reconstruction Teams (PRTs, or joint civilian-military units) on each of the different indicators.

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[3] LEAPP Iraq and Afghanistan | MERCY CORPS, June 2010

Core Values of Community Development

- Democratic processes;
- Protection of the rights of the minority;
- Capacity-building; which focus on strengths;
- Acceptance, respect for and sensitivity to diverse viewpoints;
- Non-authoritarian, non-hierarchical structures;
- Self-help, self-reliance;
- Community ownership;
- Community participation;
- Working with natural networks and developing/extending networks;
- Beneficial community services are planned, developed and monitored by community members;
- Community involvement in decision-making; and
- Promotes social justice and equity

Beliefs of Community Development Work

- People have the right to participate in decisions that have an effect on their well-being
- Participating democracy is superior method of conducting affairs
- People have the right to strive to create that environment which they desire
- People have the right to reject an externally imposed environment
- Maximising human interaction in a community will increase the potential of human development
- Every discipline and/or profession is potentially a contributor to a community's development process
- Motivation is created in man by association with his environment
- Community development is —interested‖ in developing the ability of human beings to meet and deal with their environment

Principles of Community Development

- *Seek and promote ownership and leadership* from the community. Centre all activities, from problem definition to solution design and testing, on the communities.
- *Prioritise local expertise,* knowledge*, and community-defined values.*
- *Advocate for inclusivity*. Explore power dynamics within the community to ensure equitable engagement with different groups. Everyone brings value and every voice should be heard.
- *Cultivate relationships and trust*. Build equitable relationships with communities, seeking buy-in and support from leadership and community structures.
- *Communicate transparently and effectively with communities.* Create and utilise clear and effective communication channels with communities to ensure equitable access to information.
- *Reimagine and shift roles,* so we are consciously taking on a supportive role and putting communities at the centre of the work, as leaders.

- ***Document and use locally-generated evidence.*** *Learn with and from communities to improve practice. Document and share these learnings.*
- ***Deploy a flexible approach*** *that allows adequate time, resources, and regular space for reflection and feedback from the community.*
- Community-led innovation partnership has a foundational belief that leadership and ownership in humanitarian innovation directly and positively affects its results and sustainability.

Community Development Approaches

- **Community Action:** It focuses on the organization of those adversely affected by the decisions, or non-decisions, of public and private bodies and by more general structural characteristics of society. The strategy aims to promote collective action to challenge existing socio-political and economic structures and processes, to explore and explain the power realities of people's situations and, through this two-pronged approach; develop both critical perspectives of the status quo and alternative bases of power and action.

- **Community Organization involves** the collaboration of separate community or welfare agencies with or without the additional participation of statutory authorities, in the promotion of joint initiatives. This approach generally assumes that social change necessarily involves conflict and social struggle in order to generate collective power for the powerless.

- **Community Engagement**; focuses on relationships at the core of facilitating "understanding and evaluation, involvement, exchange of information and opinions, about a concept, issue or project, with the aim of building social capital and enhancing social outcomes through decision-making" .

- **Participatory planning includes community-based planning (CBP);** involving the entire community in the strategic and management processes of urban planning; or, community- level planning processes.

- **Social Planning:** This involves the assessment of community needs and problems and the systematic planning of strategies for meeting them. Social planning comprises the analysis of social conditions, social policies and agency services; the setting of goals and priorities; the design of service programmes and the mobilization of appropriate resources; and the implementation and evaluation of services and programmes.

- **Social capital formation:** also focuses on benefits derived from the cooperation between individuals and groups

- **Service Extension -** this is a strategy that seeks to extend agency operations and services by making them more relevant and accessible. This includes extending services into the community, giving these services and the staff who are responsible for them a physical presence in a community.

- **Capacity Building** to develop the ability of local groups and networks to function and to contribute to social and economic development. Large Group Capacitation is also an adult education and social psychology approach grounded in the activity of the individual and the social psychology of the large group focusing on groups of unemployed or semi-employed participants, many of whom with Lower Levels of Literacy (LLLs).

- **Women Self-help Group;** focusing on the contribution of women in settlement groups.

- **Community capacity building**; focusing on helping communities obtain, strengthen, and maintain the ability to set and achieve their own development objectives.

- **Nonviolent direct action;** when a group of people take action to reveal an existing problem, highlight an alternative, or demonstrate a possible solution to a social issue which is not being addressed through traditional societal institutions (governments, religious organizations or established trade unions) to the satisfaction of the direct action participants.

- **Economic development,** focusing on the "development" of developing countries as measured by their economies, although it includes the processes and policies by which a nation improves the economic, political, and social well-being of its people. Community economic development (CED) is an alternative to conventional economic development which encourages using local resources in a way that enhances economic outcomes while improving social conditions. For example, CED involves strategies which aim to improve access to affordable housing, medical, and child care.

- **Sustainable development;** seeks to achieve, in a balanced manner, economic development, social development and environmental protection outcomes over a period of time.

- **Community-driven development (CDD),** an economic development model which shifts overreliance on central governments to local communities.

- **Asset-based community development (ABCD);** is a methodology that seeks to uncover and use the strengths within communities as a means for sustainable development.

- **Faith-based community development;** which utilizes faith-based organizations to bring about community development outcomes

- **Community-based participatory research (CBPR);** a partnership approach to research that equitably involves, for example, community members, organizational representatives, and researchers in all aspects of the research process and in which all partners contribute expertise and share decision making and ownership, which aims to integrate this knowledge with community development outcomes

- **Language-based development;** or Language revitalization focuses on the use of a language so that it serves the needs of a community. This may involve the creation of books, films and other media in the language. These actions help a small language community to preserve their language and culture.

- **Methodologies** focusing on the educational component of community development, including the community-wide empowerment that increased educational opportunity creates. Methodologies addressing the issues and challenges of the Digital divide, making affordable training and access to computers and the Internet, addressing the marginalization of local communities that cannot connect and participate in the global Online community.

1. **Voice**: relates to program planning, design, monitoring and implementation, evaluation, and adaptation. Having a voice means to not only be heard and acted upon in decision-making but also building confidence amongst the poor, women, minorities, anyone typically without a voice, to speak up.

2. **Participation and inclusion:** all major development activities include a broad range of residents from all neighborhoods, people from all socio-economic groups (the very poor, poor, middle, better off), women, and minorities (i.e. transgenders, people with disabilities, youth, other religions, etc.).

3. **Community Assets**: program identifies, mobilizes, and celebrates local resources including finances, material goods, and local knowledge and time.

4. **Capacity Development**: the program is rooted in the belief that communities have the capacity and capability to script their own development; hence the program invests considerably in facilitators, as well as the capacity development of local groups, including locally elected government (if they are part of the process).

5. **Sustainability:** defined as the institutionalization of the CLD approach, as well as continued optimum use and the maintenance and care of community resources. In other words, once the facilitating organization leaves, we expect the CLD participatory and inclusive process to continue and the sustainability of investments to be ensured.

6. **Transformative capacity:** program strengthens the capacities of people to create a vision for themselves and to design pathways to achieve that vision. The program sets people on a journey to transforming social barriers, overcome dependency, and resignation. It is about creating a transformational mindset from clientelism and dependency to strength and vision.

7. **Collective Planning and Action**: The community members or groups within the community are engaged in the analysis process and discussions about the current situation and arrive at strategies and action plans to address issues –i.e. the development process is determined and driven by insiders. [This means the collective and common understanding that is needed for planning is worked up by community members and groups and used to make plans as well as strategies and allocate responsibilities to achieve these plans.]

8. **Accountability:** program practices multi-directional accountability but central remains thevision set by the community. Other types of accountability include ongoing feedback loops between local leaders and communities, these two groups and the facilitating agencies, and/or the facilitating agency and large public institutions.

9. **Community Leadership:** the program creates an environment where every communitymember is seen and sees themselves as a leader (active citizen) who can affect change. The focus of community leadership is co-creation.

10. **Adaptability:** Program uses learning, and adapting strategies based on current context and data; the program is open to failure.

11. **Collaboration:** building horizontal and vertical solidarity within communities and amongst communities. This includes collaboration and working with sub-national governments.

RBM in Development Context

In the development context, RBM, which stands for Results-Based Management, is an approach used to plan, monitor, and evaluate development programs and projects. RBM focuses on achieving results and outcomes by setting clear objectives, defining measurable indicators, and collecting data to track progress and measure impact. It is widely used by development organizations, governments, and donors to improve the effectiveness and accountability of development interventions.

RBM in the development context involves several key elements including:

Results-Oriented Planning	**Performance Monitoring**
Evaluation and Learning	**Accountability and Reporting**

The detail of RBM planning, monitoring, learning and reporting is provided earlier.

RBM and the Humanitarian Context

RBM is an approach used by organizations to manage and measure the performance and effectiveness of their programs and projects.

RBM….

- …is particularly relevant in the field of humanitarian aid and development work, where there is a need for accountability, efficiency, and effective utilization of resources.
- …focuses on achieving desired results and outcomes, rather than solely focusing on inputs and activities.
- …involves a systematic and structured approach to planning, implementing, monitoring, and evaluating projects to ensure that they are achieving the intended goals and making a positive impact on the lives of beneficiaries.
- …in the humanitarian context, RBM helps organizations align their interventions with the needs of affected populations and ensures that their efforts are making a meaningful difference.
- …emphasizes the importance of setting clear objectives, defining measurable indicators, and collecting reliable data to track progress and measure impact.
- …encourages organizations to learn from their experiences and make evidence-based decisions to improve the effectiveness and efficiency of their interventions.
- …help the humanitarian organizations to enhance transparency and accountability, as well as improve their ability to report on results to donors, partners, and other stakeholders. This approach can also support effective resource allocation, as it enables organizations to identify successful strategies and allocate resources accordingly.

Session 4.1 – CLD Problem Identification

A problem is an opportunity for improvement.

"Every Problem has a Gift for you in its Hands"

(Richard Bach)

Someone coined the word "probortunity" – an acronym combining the words "problem" and "opportunity". A probortunity is a reminder to look at problems as possible opportunities. An optimist looks at challenging or problematic events as potential opportunities for improvement.
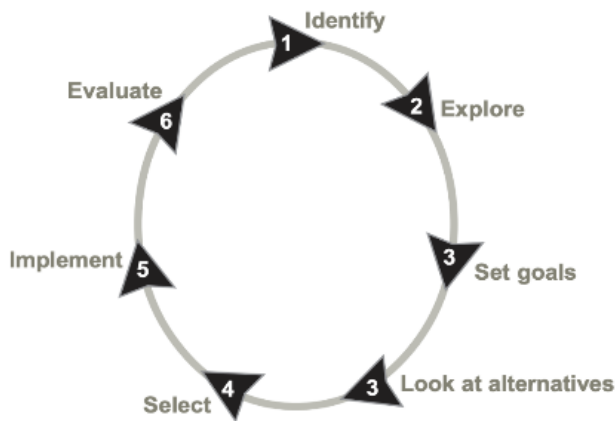
Fishbone /Problem Analyses (Cause and Effect)

A **fishbone diagram** is a problem-solving approach that uses a fish-shaped diagram to model possible root causes of problems and troubleshoot possible solutions. Fishbone diagrams are often used in root cause analysis, to troubleshoot issues in quality management or product development. It is also called …

- Fish Bone Diagram
- Ishikawa Diagram
- 5M+1 or 6M Diagram
- Cause & Effect Diagram
- Herrringbone Diagram

Categories of Causes

Manpower:	Method:	Measurement:
• Unskilled Labor • Lack of consistent training • Failure to follow instructions • Demotivated workers	• Unclear procedures • Lack of quality control policy	• Errors in calculations
Machine: • Lack of proper maintenance • Machine set to overproduction	**Materials:** • Low-quality suppliers • No proper warehouse	**Mother Nature:** • Humid weather • Increased Temperatures

Although the terms "**goals**" and "**objectives**" both refer to the desired outcomes that a person or business wants to achieve, there is a significant difference between them. Setting and using clear objectives and defined goals are strategies you can use to increase the success of your organization or advance your career.

- Goals and objectives are 'direction setting outcomes based' statements.
- Goals are not transport specific - they are higher order general statements of desired economic, social and environmental outcomes.
- Goals are higher level statements than objectives. Objectives describe the measurable contribution of the transport system to achieving the goals.
- Targets are specific desired outcomes that support achievement of the objectives.

Goal	Objectives
Goals are the outcomes you intend to achieve, whereas objectives are the specific actions and measurable steps that you need to take to achieve a goal. Goals and objectives work in tandem to achieve success. If you create goals without clear objectives, you run the risk of not accomplishing your goals.	Objectives are specific, actionable targets that need to be achieved within a smaller time frame, such as a year or less, to reach a certain goal. Objectives describe the actions or activities involved in achieving a goal. For example, to achieve the goal of increasing revenues, a company can have an objective like "Add three new products by the end of October this year."
Examples	
- Maximizing profits - Growing revenues - Increasing efficiency - Providing excellent customer service - Becoming an industry leader - Creating a brand - Becoming carbon-neutral	- Earn a minimum of 15% return on investment in a fiscal year - Increase the company's market share to 7% by the end of the next fiscal year - Cut down the operating costs by 10% within two years - Reduce the response time for sales inquiries to 12 hours by the end of this quarter

Difference between Goals and Objectives

	GOAL	OBJECTIVE
DEFINITION	The direction and overall destination of your company that helps you realize your vision	The exact actions and steps your company must take to reach its goals
SPECIFICITY	General intention or direction	Specific, precise
PLAN	Broad in scope	Narrow in scope
SIZE	Large in size, the whole	Small chunks, part of the whole
EXAMPLE	Increase international customer base	Acquire 28% more customers from the UK, Australia, and Germany in next 3 months
ACTIONS	A general outcome	Specific actions and measurable steps
MEASUREMENT	Difficult; goals are usually intangible and may not be strictly measurable	Easy; it must be measurable and tangible
TIMEFRAME	Long-term	Medium- to short-term

Defining Goals and Objectives in Community Led Development

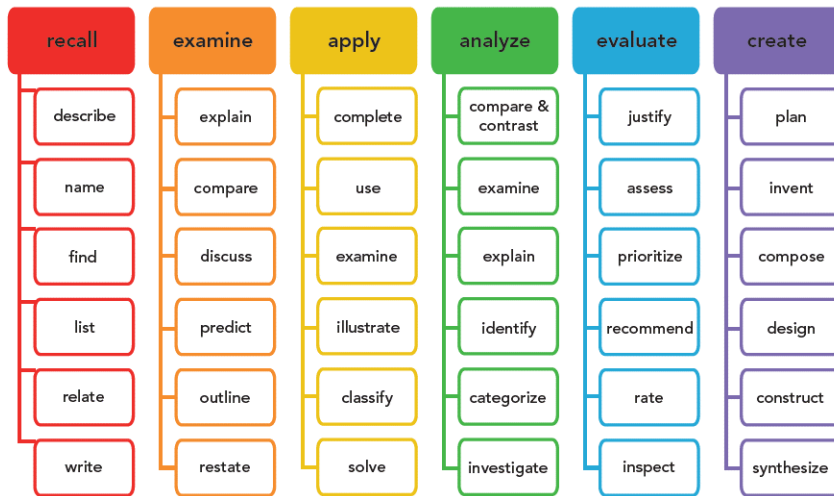| Sr.	Step	Detail
1	Identify the purpose	Clearly understand the purpose of defining goals in the community. Determine what you want to achieve and why it is important. This could be anything from improving community services, addressing a specific issue, or enhancing the overall well-being of the community.
2	Involve the community	Engage community members in the goal-setting process. Conduct surveys, organize community meetings, or establish focus groups to gather input from a diverse range of community stakeholders. Listen to their concerns, ideas, and aspirations to ensure their voices are heard.
3	Assess community needs	Conduct a comprehensive needs assessment to identify the key issues, challenges, and opportunities in the community. This could involve gathering data, conducting interviews, or analyzing existing research. Prioritize the identified needs based on their urgency and potential impact.
4	Set SMART goals/objectives	Use the SMART framework to define goals that are specific, measurable, achievable, relevant, and time-bound. Each goal should be clear, quantifiable, realistic, aligned with community needs, and have a specific timeline for completion. For example, instead of setting a general goal like "improve community safety," a SMART goal would be "reduce crime rate by 20% within the next year through increased community policing efforts and neighborhood watch programs."
5	Collaborate and build partnerships	Foster collaboration among community members, organizations, and local authorities to work towards the defined goals. Engage relevant stakeholders, such as local government, non-profit organizations, businesses, and schools, to leverage their expertise, resources, and networks. Collaborative efforts can enhance the chances of success and sustainability.
6	Develop an action plan	Break down each goal into actionable steps. Create an action plan that outlines the specific tasks, responsibilities, timelines, and required resources for each step. Assign roles and responsibilities to community members or organizations to ensure accountability and ownership.
7	Monitor and evaluate progress	Regularly monitor the progress of the goals and evaluate the outcomes. Set up metrics and indicators to measure the success of each goal. Collect data, conduct surveys, and engage in ongoing dialogue with the community to assess the effectiveness of the strategies and adjust them if needed.
8	Celebrate achievements and adapt	Acknowledge and celebrate milestones and achievements along the way. Recognize the efforts of community members, organizations, and partners who have contributed to the goals. Also, be prepared to adapt and revise goals based on changing circumstances, emerging needs, or new opportunities.

Verbs for Action Objectives

Here are some action verbs categorized with the K.S.A. (Knowledge, Skills, and Abilities) framework commonly used in setting objectives:

Knowledge (K):	Skills (S):	Abilities (A):
• Comprehend	• Analyze	• Adapt
• Demonstrate	• Apply	• Communicate
• Explain	• Coordinate	• Innovate
• Identify	• Design	• Lead
• Recall	• Evaluate	• Negotiate
• Understand	• Implement	• Persuade
• Recognize	• Manage	• Problem-solve
• Retain	• Organize	• Collaborate
• Summarize	• Prioritize	• Influence
• Define	• Research	• Motivate

Remember that these verbs can be used to set specific and actionable objectives, depending on the context and desired outcomes.

Verbs for Results Objectives

recall	examine	apply	analyze	evaluate	create
describe	explain	complete	compare & contrast	justify	plan
name	compare	use	examine	assess	invent
find	discuss	examine	explain	prioritize	compose
list	predict	illustrate	identify	recommend	design
relate	outline	classify	categorize	rate	construct
write	restate	solve	investigate	inspect	synthesize

Retrieved from http://maasd.edublogs.org/2012/26/linking-ipads-blooms-taxonomy/

Define your Goals and Objectives

Think of your community and define the following goals and objective for a potential project.

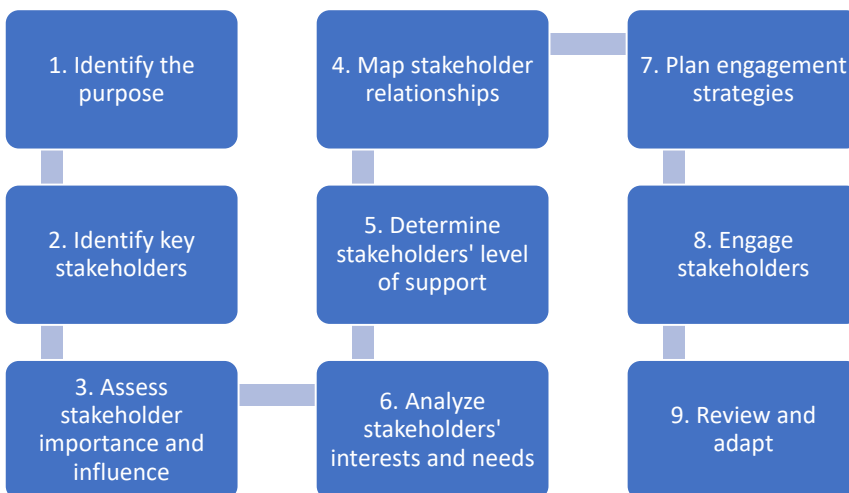| Group	Category	Goal	Objectives
1	Economic		1. 2.
2	Social		1. 2.
3	Legal		1. 2.
4	Environment		1. 2.
5	Inclusiveness		1. 2.

> Alone we can do so little;
> together we can do so much.
> Helen Keller, deaf-blind author and activist, 1880–1968

Performing a stakeholder analysis will help you to identify stakeholders and sort them according to their impact on the project, and the impact the project will have on them. The best time to perform a stakeholder analysis is during the preparation phase of the project, in order to shape your communications plan, and on a regular basis as the plan progresses. The survey process (detailed in Chapter 10) will help you to identify stakeholders you may not have previously considered, determine what they believe about your project already, and what is most important to them. There are many ways to perform a stakeholder analysis depending on the level of depth. Following is the standard procedure to conduct stakeholder analysis.

The WHAT	To identify and segment key people or groups, institutions & processes on which to build a foundation and strategy for stakeholder engagement
The HOW	Stakeholder Mapping Tools, Segmentation, Personas
The WHY	To effectively manage stakeholders' interests and/or power, influence over the 'project'

Steps and Stages of Stakeholder Analysis

```
1. Identify the        4. Map stakeholder      7. Plan engagement
   purpose                relationships            strategies

2. Identify key        5. Determine            8. Engage
   stakeholders           stakeholders' level     stakeholders
                          of support

3. Assess              6. Analyze              9. Review and
   stakeholder            stakeholders'           adapt
   importance and         interests and needs
   influence
```

Map Your Stakeholders

Group/Organization_____ **Sector**_____

Using the above Stakeholder Analysis Step advise the following:

Stakeholder…..

Sr.	Steps	Response
1	**Purpose**	
2	**Stakeholder ?**	
3	**Strength, Importance and influence of Stakeholder**	
4	**Interests and needs**	
5	**Potential level of support**	
6	**Current Relationship Level** (Excellent 1- Poor 10)	
7	**Engaging Strategies**	

CLD Communication Plan

CLD participatory communication is an approach based on dialogue, which allows the sharing of information, perceptions and opinions among the various stakeholders and thereby facilitates their empowerment. It is not just the exchange of information and experiences: it is also the exploration and generation of new knowledge aimed at addressing situations that need to be improved. Participatory communication tends to be associated with community-led development, but it could be used at any level of decision making (local, national, international) regardless of the diversity of groups involved.

By actively engaging stakeholders from the start and by seeking a broader consensus around development initiatives, participatory communication has begun to be considered a crucial tool. This is partly because many conflicts and obstacles can be prevented if addressed quickly. Genuine participation also increases the sense of ownership by local stakeholders, enhancing sustainability.

To be genuinely participatory and truly effective, communication should occur among all parties affected, ensuring all have similar opportunities to influence the outcome of the initiative. Ideally, participatory communication should be part of the whole project process:

Two-way communication	should be adopted from the beginning and be applied consistently.
Full participation	by all stakeholders in any step of the process is not possible and, in some cases probably not desirable. Broad consensus may be sufficient.
Inclusiveness	must be balanced with consideration of stakeholders' time, resources, interests and knowledge. After their input is taken into account, stakeholders may not need to be involved in detailed decisions beyond the scope of their interests.

The communication programme cycle can run parallel to the project cycle when they both start at the same time. The basic phases of a communication programme are:

Phase 1	Phase 2	Phase 3	Phase 4
CLD Communication Assessment	*CLD Communication Strategy Design:*	*Implementation of Communication Activities*	*Monitoring and Evaluation*
Issues are researched and analysed through exploratory two-way communication. For these tasks to be successful, it is necessary to establish an open or common space where key stakeholders can interact freely with each other.	Successful strategy design begins with the definition of the objectives. Instances where strategies are designed on broad, poorly understood objectives are surprisingly frequent.	An action plan is needed to guide implementation and facilitate the management and monitoring of all relevant activities.	Evaluation should be planned from the beginning of an initiative. Furthermore, if participation means that stakeholders are partners in the decision-making process, they must also be partners in impact evaluation.

Developing a Plan for Communication

- A plan will make it possible to target your communication accurately. It gives you a structure to determine whom you need to reach and how.
- A plan can be long-term, helping you map out how to raise your profile and refine your image in the community over time.
- A plan will make your communication efforts more efficient, effective, and lasting.
- A plan makes everything easier. If you spend some time planning at the beginning of an effort, you can save a great deal of time later on, because you know what you should be doing at any point in the process.

Purpose and Rationale of Communication

To develop a plan fsor communication, you have to consider some basic questions:

Why do you want to communicate with the community?	**What's your purpose?**
To whom do you want to communicate it?	**Who's your audience?**
What do you want to communicate?	**What's your message?**
How do you want to communicate it?	**What communication channels will you use?**
Whom should you contact, and what should you do to use those channels?	**How will you distribute your message?**
Why do you want to communicate with the community?	**What's your purpose?**
To whom do you want to communicate it?	**Who's your audience?**

The answers to these questions constitute your action plan, what you need to do to successfully communicate with your audience. The remainder of your communication plan, involves three steps:

- **Implement your action plan.** Design your message and distribute it to your intended audience.
- **Evaluate your communication efforts and adjust your plan accordingly.**
- **Keep at it.**

Planning for communication is an eight-step process. The steps are:

1. Identify the purpose of your communication
2. Identify your audience
3. Plan and design your message
4. Consider your resources
5. Plan for obstacles and emergencies
6. Strategize how you will connect with the media and others who can help you spread your message
7. Create an action plan
8. Decide how you will evaluate your plan and adjust it, based on the results of carrying it out

1.   Identify Your Purpose

What you might want to say depends on what you're trying to accomplish with your communication strategy. You might be concerned with one or a combination of the following:

- Becoming known, or better known, in the community
- Educating the public about the issue your organization addresses
- Recruiting program participants or beneficiaries
- Recruiting volunteers to help with your work
- Rallying supporters or the general public to action for your cause
- Announcing events
- Celebrating honors or victories
- Raising money to fund your work
- Countering the arguments, mistakes, or, occasionally, the lies or misrepresentations of those opposed to your work.
- Dealing with an organizational crisis that's public knowledge – a staff member who commits a crime, for example, or a lawsuit aimed at the organization.

Identify your Purpose	

2.   Identify Your Audience

Who are you trying to reach? Knowing your audience makes it possible to plan your communication logically. You'll need different messages for different groups, and you'll need different channels and methods to reach each of those groups.

There are many different ways to think about your audience and the best ways to contact them. First, there's the question of what group(s) you'll focus on. You can group people according to several characteristics:

- *Demographics*. Demographics are simply basic statistical information about people, such as gender, age, ethnic and racial background, income, etc.
- *Geography*. You might want to focus on a whole town or region, on one or more neighborhoods, or on people who live near a particular geographic or man-made feature.
- *Employment*. You may be interested in people in a particular line of work or in unemployed people.
- *Health*. Your concern might be with people at risk for or experiencing a particular condition – high blood pressure, perhaps, or diabetes – or you might be leveling a health promotion effort – "Eat healthy, exercise regularly" – at the whole community.
- *Behavior*. You may be targeting your message to smokers, for example, or to youth engaged in violence.
- *Attitudes*. Are you trying to change people's minds or bring them to the next level of understanding?
- commits a crime, for example, or a lawsuit aimed at the organization.

Identify your Audience Demographic	

3. The Message

When creating your message, consider content, mood, language, and design.

Content: In the course of a national adult literacy campaign in the 1980s, educators learned that TV ads that profiled proud, excited, successful adult learners attracted new learners to literacy programs. Ads that described the difficulties of adults with poor reading, writing, and math skills attracted potential volunteers. Both ads were designed to make the same points – the importance of basic skills and the need for literacy efforts – but they spoke to different groups.

Proposed Content or Message	

You should craft your message with your audience in mind; planning the content of your message is necessary to make it effective.

Mood: Consider what emotions you want to appeal to. The mood of your message will do a good deal to determine how people react to it. In general, if the mood is too extreme – too negative, too frightening, trying to make your audience feel too guilty – people won't pay much attention to it. It may take some experience to learn how to strike the right balance. Keeping your tone positive will usually reach more people than evoking negative feelings such as fear or anger.

Mood of Message	

Language: There are two aspects to language here. One is the actual language – English, Spanish, Korean, Arabic – that your intended audience speaks. The other is the style of language you use – formal or informal, simple or complex, referring to popular figures and ideas or obscure ones.

Language(s) of the Message	

Channels of communication: What does your intended audience read, listen to, watch, or engage in? (Select the Medium)

Community meetings	Workshops and trainings	Religious Institutions
Influential Groups	Cultural Events	Community radio
Door-to-door visits	Focus groups	Information centers or notice boards
Word of mouth	News stories in both print and broadcast media	Press releases and press conferences
Posters, brochures, and fliers	Outreach and presentations to community groups	Special events and open houses
Mobile phones and text messages	Social media and online platforms	
Newsletters	Promotional materials	Posters
Comic books or other reading material	Internet / Facebook	News stories
Community outreach	Public demonstrations	Music / Movies
Exhibits and public art	Theater and interactive theater	TV / Cable

4. Resources

What do you have the money to do? Do you have the people to make it possible? If you're going to spend money, what are the chances that the results will be worth the expense? Who will lose what, and who will gain what by your use of financial and human resources?

Sr.	Resources	Source
1		
2		
3		
4		
5		

5. Anticipate Obstacles And Emergencies

Any number of things can happen in the course of a communication effort. Someone can forget to e-mail a press release or forget to include a phone number or e-mail address. A crucial word on your posters or in your brochure can be misspelled, or a reporter might get important information wrong. Worse, you might have to deal with a real disaster involving the organization that has the potential to discredit everything you do.

Sr.	Emergency	Rescue Plan
1		
2		
3		
4		
5		

6. Strategize to Connect the Media to Spread Your Message

Establishing relationships with individual media representatives and media outlets is an essential part of a communication plan.

Sr.	Media	Arrangements
1		
2		
3		
4		
5		

7. Create An Action Plan

Now the task is to put it all together into a plan that you can act on. By the time you reach this point, your plan is already done, for the most part. You know what your purpose is and whom you need to reach to accomplish it, what your message should contain and look like, what you can afford, what problems you might face, what channels can best be used to reach your intended audience, and how to gain access to those channels.

8. Evaluation

If you evaluate your communication plan in terms of both how well you carry it out and how well it works, you'll be able to make changes to improve it. It will keep getting more effective each time you implement it.

Plan Ready to Go?	Yes	No

Reference Material

GLOSSARY OF KEY TERMS AND & DEFINITIONS IN RESULTS BASED MANAGEMENT (KEY)

o **Accountability:** Obligation to demonstrate that work has been conducted in compliance with agreed rules and standards or to report fairly and accurately on performance results vis a vis mandated roles and/or plans. This may require a careful, even legally defensible, demonstration that the work is consistent with the contract terms. Note: Accountability in development may refer to the obligations of partners to act according to clearly defined responsibilities, roles and performance expectations, often with respect to the prudent use of resources. For evaluators, it connotes the responsibility to provide accurate, fair and credible monitoring reports and performance assessments. For public sector managers and policy-makers, accountability is to taxpayers/citizens.

o **Activity:** Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs.

o **Analytical tools:** Methods used to process and interpret information during an evaluation.

o **Appraisal:** An overall assessment of the relevance, feasibility and potential sustainability of a development intervention prior to a decision of funding.

o **Assumptions:** Hypotheses about factors or risks which could affect the progress or success of a development intervention.

o **Attribution:** The ascription of a causal link between observed (or expected to be observed) changes and a specific intervention.

o **Audit:** An independent, objective assurance activity 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.

o **Base-line study:** An analysis describing the situation prior to a development intervention, against which progress can be assessed or comparisons made.

o **Benchmark:** Reference point or standard against which performance or achievements can be assessed.

o **Beneficiaries:** The individuals, groups, or organizations, whether targeted or not, that benefit, directly or indirectly, from the development intervention.

o **Cluster evaluation:** An evaluation of a set of related activities, projects and/or programs.

o **Conclusions:** Conclusions point out the factors of success and failure of the evaluated intervention, with special attention paid to the intended and unintended results and

o impacts, and more generally to any other strength or weakness. A conclusion draws on data collection and analyses undertaken, through a transparent chain of arguments.

o **Counterfactual:** The situation or condition which hypothetically may prevail for individuals, organizations, or groups were there no development intervention.

o **Country Program Evaluation/Country Assistance Evaluation:** Evaluation of one or more donor's or agency's portfolio of development interventions, and the assistance strategy behind them, in a partner country.

o **Data Collection Tools:** Methodologies used to identify information sources and collect information during an evaluation.

o **Development Intervention:** An instrument for partner (donor and non-donor) support aimed to promote development.

- o **Development objective:** Intended impact contributing to physical, financial, institutional, social, environmental, or other benefits to a society, community, or group of people via one or more development interventions.

- o **Economy:** Absence of waste for a given output.

- o **Effect:** Intended or unintended change due directly or indirectly to an intervention.

- o **Effectiveness:** The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.

- o **Efficiency:** A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.

- o **Evaluability:** Extent to which an activity or a program can be evaluated in a reliable and credible fashion.

- o **Evaluation:** The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfillment of objectives, development efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision–making process of both recipients and donors.

- o **Ex-ante evaluation**: An evaluation that is performed before implementation of a development intervention.

- o **Ex-post evaluation:** Evaluation of a development intervention after it has been completed.

- o **External evaluation:** The evaluation of a development intervention conducted by entities and/or individuals outside the donor and implementing organizations.

- o **Feedback:** The transmission of findings generated through the evaluation process to parties for whom it is relevant and useful so as to facilitate learning. This may involve the collection and dissemination of findings, conclusions, recommendations and lessons from experience.

- o **Finding:** A finding uses evidence from one or more evaluations to allow for a factual statement.

- o **Formative evaluation:** Evaluation intended to improve performance, most often conducted during the implementation phase of projects or programs.

- o **Goal:** The higher-order objective to which a development intervention is intended to contribute.

- o **Impacts:** Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.

- o **Independent evaluation:** An evaluation carried out by entities and persons free of the control of those responsible for the design and implementation of the development intervention.

- o **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.

- o **Inputs:** The financial, human, and material resources used for the development intervention.

- o **Institutional Development Impact:** The extent to which an intervention improves or weakens the ability of a country or region to make more efficient, equitable, and sustainable use of its human, financial, and natural resources, for example through: (a) better definition, stability, transparency, enforceability and predictability of institutional arrangements and/or (b) better alignment of the mission and capacity of an organization with its mandate, which derives from these institutional arrangements. Such impacts can include intended and unintended effects of an action.

- *Internal evaluation:* Evaluation of a development intervention conducted by a unit and/or individuals reporting to the management of the donor, partner, or implementing organization.

- Related term: self-evaluation.

- *Joint evaluation:* An evaluation to which different donor agencies and/or partners participate.

- *Lessons learned:* Generalizations based on evaluation experiences with projects, programs, or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome, and impact.

- *Logical framework (Logframe):*Management tool used to improve the design of interventions, most often at the project level. It involves identifying strategic elements (inputs, outputs, outcomes, impact) and their causal relationships, indicators, and the assumptions or risks that may influence success and failure. It thus facilitates planning, execution and evaluation of a development intervention.

- *Meta-evaluation:* The term is used for evaluations designed to aggregate findings from a series of evaluations. It can also be used to denote the evaluation of an evaluation to judge its quality and/or assess the performance of the evaluators.

- *Mid-term evaluation:* Evaluation performed towards the middle of the period of implementation of the intervention.

- *Monitoring:* A continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds.

- *Outcome:* The likely or achieved short-term and medium-term effects of an intervention's outputs.

- *Outputs:* The products, capital 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.

- *Participatory evaluation*: Evaluation method in which representatives of agencies and stakeholders (including beneficiaries) work together in designing, carrying out and interpreting an evaluation.

- *Partners:* The individuals and/or organizations that collaborate to achieve mutually agreed upon objectives.

- *Performance:* The degree to which a development intervention or a development partner operates according to specific criteria/standards/guidelines or achieves results in accordance with stated goals or plans.

- *Performance indicator:* A variable that allows the verification of changes in the development intervention or shows results relative to what was planned

- *Performance measurement:* A system for assessing performance of development interventions against stated goals.

- *Performance monitoring:* A continuous process of collecting and analyzing data to compare how well a project, program, or policy is being implemented against expected results.

- *Process evaluation:* An evaluation of the internal dynamics of implementing organizations, their policy instruments, their service delivery mechanisms, their management practices, and the linkages among these.

- *Program evaluation:* Evaluation of a set of interventions, marshaled to attain specific global, regional, country, or sector development objectives. Note: a development program is a time bound intervention involving multiple activities that may cut across sectors, themes and/or geographic areas.

- *Project evaluation:* Evaluation of an individual development intervention designed to achieve specific objectives within specified resources and implementation schedules, often within the framework of a broader program.

- *Project or program objective:* The intended physical, financial, institutional, social, environmental, or other development results to which a project or program is expected to contribute.

- *Purpose:* The publicly stated objectives of the development program or project.

- *Quality Assurance:* Quality assurance encompasses any activity that is concerned with assessing and improving the merit or the worth of a development intervention or its compliance with given standards.

- *Reach:* The beneficiaries and other stakeholders of a development intervention.

- *Recommendations:* Proposals aimed at enhancing the effectiveness, quality, or efficiency of a development intervention; at redesigning the objectives; and/or at the reallocation of resources. Recommendations should be linked to conclusions.

- *Relevance:* The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.

- *Reliability:* Consistency or dependability of data and evaluation judgements, with reference to the quality of the instruments, procedures and analyses used to collect and interpret evaluation data.

- *Results:* The output, outcome or impact (intended or unintended, positive and/or negative) of a development intervention.

- *Results Chain:* The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired objectivesbeginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts, and feedback. In some agencies, reach is part of the results chain.

- *Results framework:* The program logic that explains how the development objective is to be achieved, including causal relationships and underlying assumptions.

- *Results-Based Management (RBM):* A management strategy focusing on performance and achievement of outputs, outcomes and impacts.

- *Review:* An assessment of the performance of an intervention, periodically or on an ad hoc basis.

- *Risk analysis:* An analysis or an assessment of factors (called assumptions in the logframe) affect or are likely to affect the successful achievement of an intervention's objectives. A detailed examination of the potential unwanted and negative consequences to human life, health, property, or the environment posed by development interventions; a systematic process to provide information regarding such undesirable consequences; the process of quantification of the probabilities and expected impacts for identified risks.

- *Sector program evaluation:* Evaluation of a cluster of development interventions in a sector within one country or across countries, all of which contribute to the achievement of a specific development goal.

- *Self-evaluation:* An evaluation by those who are entrusted with the design and delivery of a development intervention.

- *Stakeholders:* Agencies, organisations, groups or individuals who have a direct or indirect interest in the development intervention or its evaluation.

- *Summative evaluation:* A study conducted at the end of an intervention (or a phase of that intervention) to determine the extent to which anticipated outcomes were produced. Summative evaluation is intended to provide information about the worth of the program.

o **Sustainability:** The continuation of benefits from a development intervention after major development assistance has been completed.mnThe probability of continued long-term benefits. The resilience to risk of the net benefit flows over time.

o **Target group:** The specific individuals or organizations for whose benefit the development intervention is undertaken.

o **Terms of reference:** Written document presenting the purpose and scope of the evaluation, the methods to be used, the standard against which performance is to be assessed or analyses are to be conducted, the resources and time allocated, and reporting requirements. Two other expressions sometimes used with the same meaning are "scope of work" and "evaluation mandate".

o **Thematic evaluation:** Evaluation of a selection of development interventions, all of which address a specific development priority that cuts across countries, regions, and sectors.

o **Triangulation:** The use of three or more theories, sources or types of information, or types of analysis to verify and substantiate an assessment.

o **Validity:** The extent to which the data collection strategies and instruments measure what they purport to measure.

CHANGES IN DIFFERENT RESULTS LEVELS (KEY)

Changes in Conditions

IMPACT / GOAL	• MDGs • Social • Economic • Environmental	• Political • Civil • Cultural

Results are nationally owned.

Changes in capacity and performance of the primary duty bearers.

OUTCOME	• Changes in Behaviours and Attitude • Social Action • Viability • Institutional • Policy Formulation	• Decision Making • Norms, Knowledge • Efficiency • Competencies • Opinion • Standards

CSOs contributes at this level.

What All Implementors Produce

OUTPUTS	• Goods & Services • Changes inn Skills and Capacities • Systems • Evaluations	• New products • Reports • Publication Produced

Government, professionals, CSOs, Donor, Stakeholders

What All Implementors Do

ACTIVITTIES	• Develop Curriculum • Train • Evaluate • Recruit	• Procure • Facilitate • Develop Action Plan • Work with Media, etc.

Primarily national, often supported by the CSOs, donor and partners

What All Implementers Invest in

INPUTS	• Human or Financial Resources • Personal • Equipment	• Technology • Time

Led by stakeholders

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