Results Based

Monitoring and Evaluation

Toolkit

2nd Edition 2009

Local Livelihoods

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Contents

1.   Introduction

This short Toolkit provides an outline for the monitoring and evaluation of development and regeneration projects and programmes.

Results Based Management is a whole system which should be incorporated into the culture of an organisation and its programme of projects: its values; operational systems and decision making procedures. Staff, and their skills and capacity, and partners should be focused on achieving outcomes and impact rather than activities and inputs.

The evidence from organisations such as UNDP, OECD, DIFD, etc indicates that in order to implement Results Based Management there is need for strong organisational leadership supporting a learning culture which values evidence based information and openness.

Results Based Management is a shift from focusing on the inputs and activities (the resources and procedures) to focusing on the outputs, outcomes, impact and the need for sustainable benefits (the results of what you do). Results are the changes occurring as an effect of a development intervention and imply that a change of behaviour by individuals, groups of people, organisations, government bodies or society has taken place.

A programme or project's strategy will aim to achieve positive results by carrying out activities that produce certain products or services (i.e. outputs) for specific stakeholders. If these stakeholders utilise the outputs they will then change the way of doing a certain thing and experience a benefit (an outcome) as a result. These outcomes may contribute, together with the results of other development interventions, to higher development goals (these are impacts).

Results Based Management applies a Results Chain to plan a clear logical process and manage the implementation.

A results chain is an iterative process, the planning starts with a clear view of the project purpose and outcomes, planning backwards to the inputs and then implementing the project from the inputs to the outcomes. When monitoring and evaluating the whole plan is kept in focus, the details of implementation existing within the context of the chain.

Results Chain
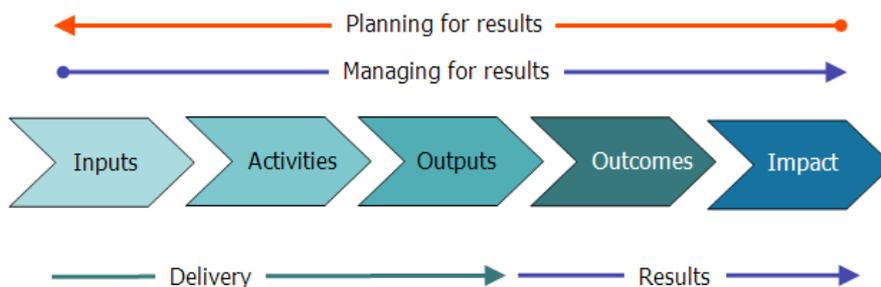
The failure rate of donor funded programmes and projects to achieve sustainable outcomes has been far too high, inefficiency has been caused by misplaced measures, targets and timelines that skew project design to focus on externally imposed 'conditionality'. Results Based Management aligned as it is with the Paris Declaration and the Accra Agenda for Action is designed to minimise any undue imposed external conditions.

The Paris Declaration 2005

- **Ownership** - Developing countries set their own strategies for poverty reduction, improve their institutions and tackle corruption.
- **Alignment** - Donor countries align behind these objectives and use local systems.
- **Harmonisation** - Donor countries coordinate, simplify procedures and share information to avoid duplication.
- **Results** - Developing countries and donors shift focus to development results and results get measured.
- **Mutual Accountability** - Donors and partners are accountable for development results.

The Accra Agenda for Action (AAA) 2008 builds on the Paris Declaration

- **Predictability** – donors will provide 3-5 year forward information on their planned aid to partner countries.
- **Country systems** – partner country systems will be used to deliver aid as the first option, rather than donor systems.
- **Conditionality** – donors will switch from reliance on prescriptive conditions about how and when aid money is spent to conditions based on the developing country's own development objectives.
- **Untying** – donors will relax restrictions that prevent developing countries from buying the goods and services they need from whomever and wherever they can get the best quality at the lowest price

Conditionality has been used to guide and police the disbursement of funds: conditionality can be useful when directing public funds at regional and national level, but at the community and project level it often becomes a barrier to good practice and creates exclusivity by pre-empting participation by beneficiaries in developing and implementing initiatives that they are expected to sustain in the long term. Results Based Management provides a robust enough methodology to develop projects that are able to focus on a direct solution to a perceived problem and create their own measurement milestones and indicators that can withstand scrutiny and be trusted to represent the reality of the situation.

2.   What is Results Based Monitoring and Evaluation?

Results Based Management, Monitoring and Evaluation: the word 'result', in this context, means that monitoring is focused on the higher level objectives/outcomes and not the lower level activities. This approach uses the Logical Framework as the basis for the project design, and establishes the quantifiable monitoring indicators against the objectives and measures the qualitative results against assumptions, risks and stakeholders.

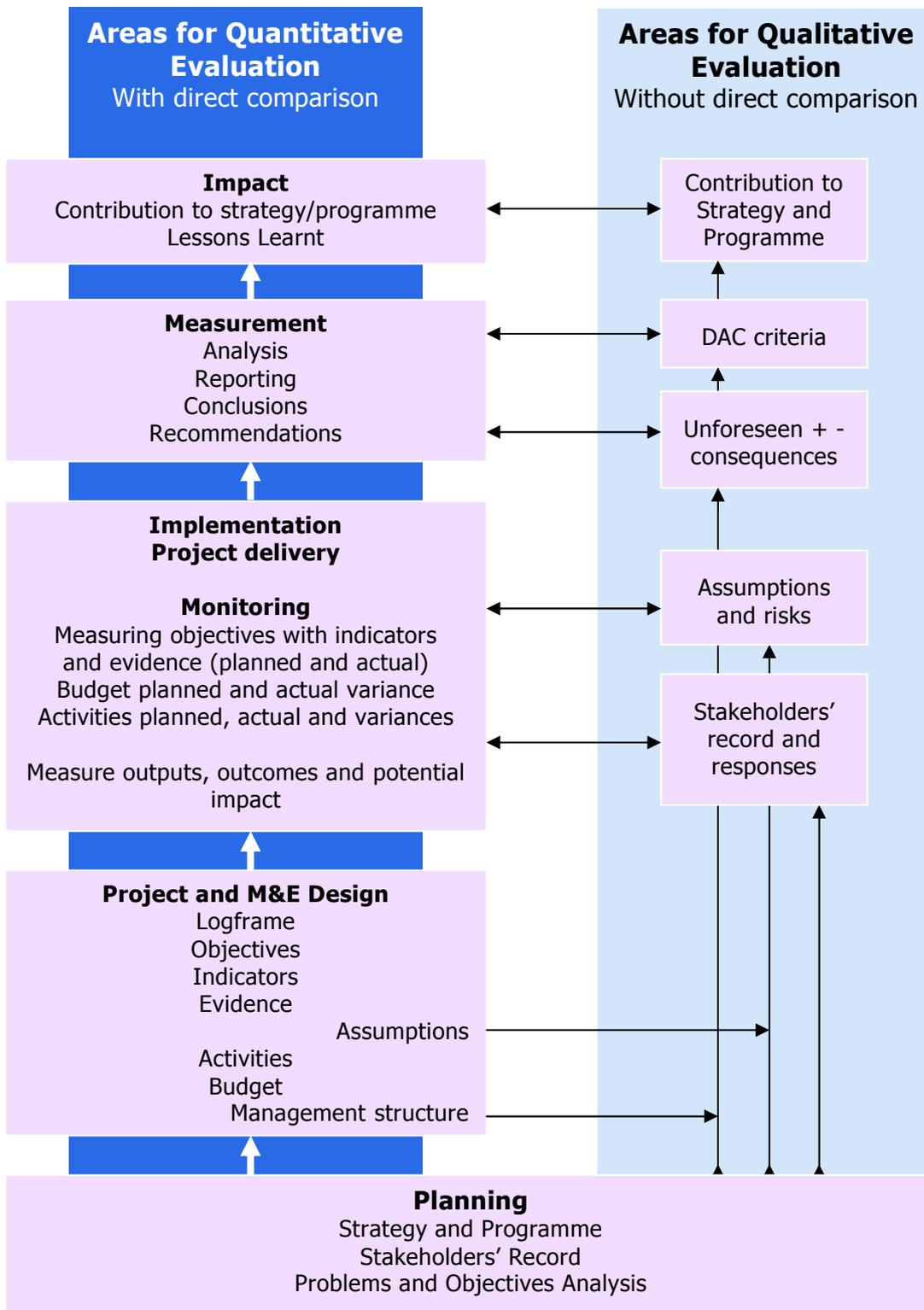The term Results Based Management, Monitoring and Evaluation is used to mean:
- clearly identifying programme/project beneficiaries', and other stakeholders', problems and opportunities
- setting clear and agreed objectives, monitoring targets and milestones
- ensuring adequate resources to achieve the objectives
- monitoring progress towards results, and resources consumed, with the use of appropriate indicators
- identifying and managing assumptions/risks, while bearing in mind expected results and the necessary resources
- using quantifiable indicators and qualitative narratives to measure progress
- increasing knowledge by learning lessons and integrating them into decisions
- changing objectives as a consequence of learned lessons
- reporting on results achieved and the resources involved

Within a Results Based Management, Monitoring and Evaluation system we suggest using templates to provide a standard method that enables people to engage in the monitoring process even if they have not been involved in monitoring before. Templates can be used to set targets, test actual results against those targets, analyse any variance between planned and actual, assess the wider context in which projects operate and indicate any necessary actions to keep the project on track and guide project management to a successful conclusion. If standard Templates are used the results across a number of projects, locations, sectors and countries can be aggregated and analysed.

We have included 9 generic Templates in this Toolkit. You can add, change or delete templates to suit your project's needs in relation to the particular circumstances of a project and its environment. The templates are directly related to the Logical Framework process: they use the same structure; and the Logical Framework process is the source for the planned data against which the actual data is compared and analysed.

The Results Based Monitoring and Evaluation Outline, on the next page, describes on the left hand side the stages; from the broad strategic plans, at the bottom, in which projects operate going through to project and M&E design, implementation, measurement and to impact at the top. These stages all use planned and actual quantitative measurement. The right hand side of the diagram are the external components that affect the project, and which the project can affect, and which need to be monitored using qualitative measurement to gather actual perceptions of how different stakeholders view the project.

Results Based Monitoring and Evaluation Outline

Areas for Quantitative Evaluation
With direct comparison

Areas for Qualitative Evaluation
Without direct comparison

Impact
Contribution to strategy/programme
Lessons Learnt

Contribution to Strategy and Programme

Measurement
Analysis
Reporting
Conclusions
Recommendations

DAC criteria

Unforeseen + - consequences

**Implementation
Project delivery**

Monitoring
Measuring objectives with indicators
and evidence (planned and actual)
Budget planned and actual variance
Activities planned, actual and variances

Measure outputs, outcomes and potential impact

Assumptions and risks

Stakeholders' record and responses

Project and M&E Design
Logframe
Objectives
Indicators
Evidence

Assumptions

Activities
Budget
Management structure

Planning
Strategy and Programme
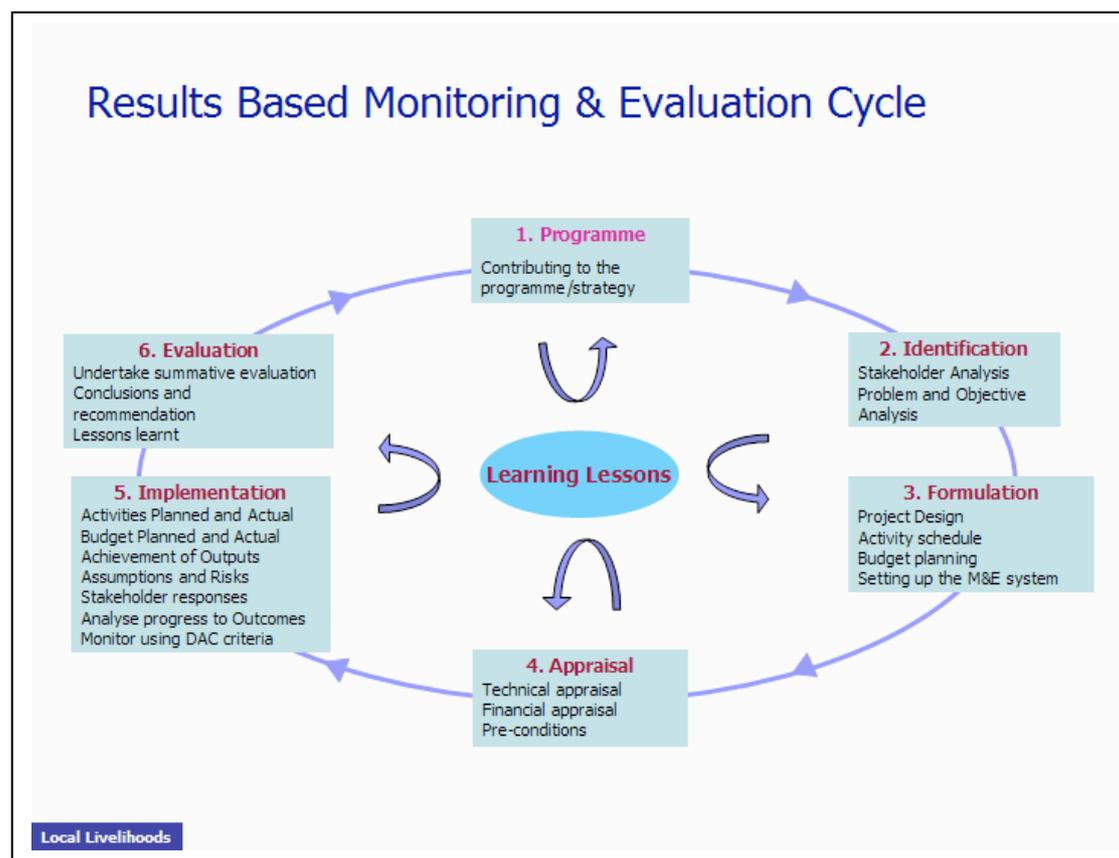Stakeholders' Record
Problems and Objectives Analysis

3.   Overview of the Monitoring and Evaluation Cycle

Within Results Based Management monitoring and evaluation are integral to the whole management cycle. It is difficult to talk about Monitoring and Evaluation without talking about project design and implementation: design clarity is imperative if monitoring is to take place.

Monitoring and Evaluation should be planned for and designed at the same time as planning and designing a project. Monitoring and Evaluation requires resources such as skills, time, access to stakeholders and communication channels that if not planned and budgeted for weaken a project's management and accountability; careful planning for these elements needs to be in place from the beginning.

At each stage of the project cycle there are tasks that will plan and implement the project and also monitor and evaluate it therefore in order for M&E to be successful the whole cycle needs to be understood and approached as a whole entity.

Results Based Monitoring & Evaluation Cycle

1. Programme
Contributing to the programme/strategy

2. Identification
Stakeholder Analysis
Problem and Objective Analysis

3. Formulation
Project Design
Activity schedule
Budget planning
Setting up the M&E system

4. Appraisal
Technical appraisal
Financial appraisal
Pre-conditions

5. Implementation
Activities Planned and Actual
Budget Planned and Actual
Achievement of Outputs
Assumptions and Risks
Stakeholder responses
Analyse progress to Outcomes
Monitor using DAC criteria

6. Evaluation
Undertake summative evaluation
Conclusions and recommendation
Lessons learnt

Learning Lessons

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Stage 1 Programme – Set the context for Monitoring and Evaluation

A successful project depends on having a clear strategy against which criteria can be developed to assist the design, appraisal and measurement process.

The Programme stage is where the strategy framework in which projects can be initiated, funded and implemented is established. Lessons learnt from previous evaluations can be reviewed at this point to inform programme strategy. The importance of linking projects to programme and strategy is that not only should project outcomes contribute to strategy, but that in order to achieve sustainable benefits the programme strategy will create the context in which support for these benefits can exist.
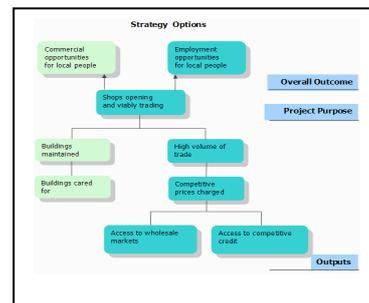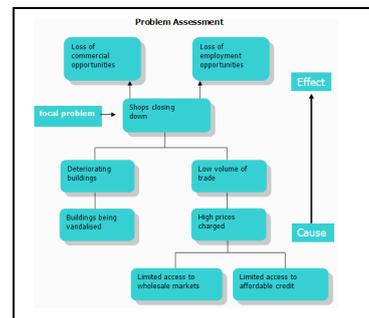

Stage 2 Identification – Plan to solve problems

The Identification stage is where the stakeholders are defined, the problem(s) is defined, and a number of possible solutions are identified. At this stage the project design team should undertake a number of exercises to analyse the problems faced by stakeholders:

- stakeholder Mapping, Analysis and Recording
- a Problem and Objective Assessment
- determine acceptable Strategy Options

The results of these exercises establish the rationale for the project objectives and stakeholder expectations which will need to be monitored throughout the project.

Stage 3 Formulation – Designing

The information developed in Stage 2 is used in Stage 3 to prepare a Logical Framework in which the objectives, the assumptions, indicators and evidence are ordered. The activity schedule for the project and the budget for the project is prepared from the Logical Framework, and then the full project proposal is prepared.

Successful Monitoring and Evaluation is dependent on the clarity of project design achieved in this stage.

Stage 4 Appraisal - Conditionality

In accordance with the donor procedures the project proposal is submitted for appraisal: it should have been prepared to meet all the necessary conditions. If it has not the previous stages may have to be repeated until the design is feasible.

Stage 5 Implementation – Delivery

The project is now implemented: monitoring and evaluation supports the management to make decisions and steer the project to success. Activities, budget schedules, outputs and assumptions, stakeholder responses and the project's contribution towards the longer term outcomes will be monitored during this stage. The projects progress towards its objectives, contribution to the strategy and meeting the DAC criteria should begin to be measured at this stage.

Stage 6 Evaluation – Measurement

Evaluation of the project's outcomes, impact and contribution to the strategy is carried out. This will use the DAC criteria and qualitative and quantitative analysis. Conclusions, recommendations, impact and lessons learnt will complete the evaluation.

For further information on how to construct the Problem and Objective Tree analysis and the Logical Framework project design please download a free copy of the Project Cycle Management Toolkit from www.locallivelihoods.com Publications.

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4. Designing the Monitoring and Evaluation System

For the purpose of this Toolkit it is anticipated that the stakeholders have been identified, mapped and categorised, the problems and objectives have been analysed and a strategic decision has been made with regards to which set of issues are to be included in the project. The next step is to design the project and the monitoring and evaluation system.

The Logical Framework is the main tool used for designing, implementing and evaluating projects. In particular, you must see it as a dynamic tool, which you will use to re-assess and revise the project as it develops and as circumstances change during project implementation. The Logical Framework lies at the heart of the project and establishes a clear hierarchy of objectives, from input resources at the bottom to overall outcome at the top. The clearer the hierarchy of objectives are, and the tighter the link between them, the easier it is to monitor and measure their progress, to make changes to the project and track the consequence of each change made.

Indicators are placed against each output level objective: stating the quantity, time, quality and target group clearly. The indicators are supported by evidence: they clarify who and how data is collected and analysed, to enable progress to be measured. The indicators and assumptions are used to analyse results.

The Logical Framework is a matrix, with four columns and four rows, which is completed in a particular order as described later on. You write brief descriptions in each box and then test the logical relationship between the statements. You may have to re-write the boxes a number of times to get the logical relationship right. It is an iterative process which may require the design team to go through the process a number of times. The benefit of using a matrix is that it is visible and helps groups of people to discuss and think through all the implications of project ideas; it is particularly suited to participative ways of planning and decision-making.

The structure of the Logical Framework forces the design team to:

- identify the critical assumptions that may affect project feasibility, and eventual mainstreaming if appropriate; and
- specify the indicators and evidence of information that will be used to plan the details and monitor implementation.

The Logical Framework is technically not difficult but it can be intellectually challenging because it requires you to think vertically in a structured way when establishing the hierarchy of objectives; as well as laterally in a flexible and interactive way when trying to clarify how stakeholders will respond to different levels of objectives.

The vertical hierarchy has a direct relationship to the incremental steps of achieving the objectives, from activities at the bottom to overall outcome at the very top. The relationship is between the initiatives undertaken by the project and their impact, ultimately, on policy: the vertical column tests this means to end relationship. This part of the Logframe requires vertical thinking; this tends to be structured, it has a longer
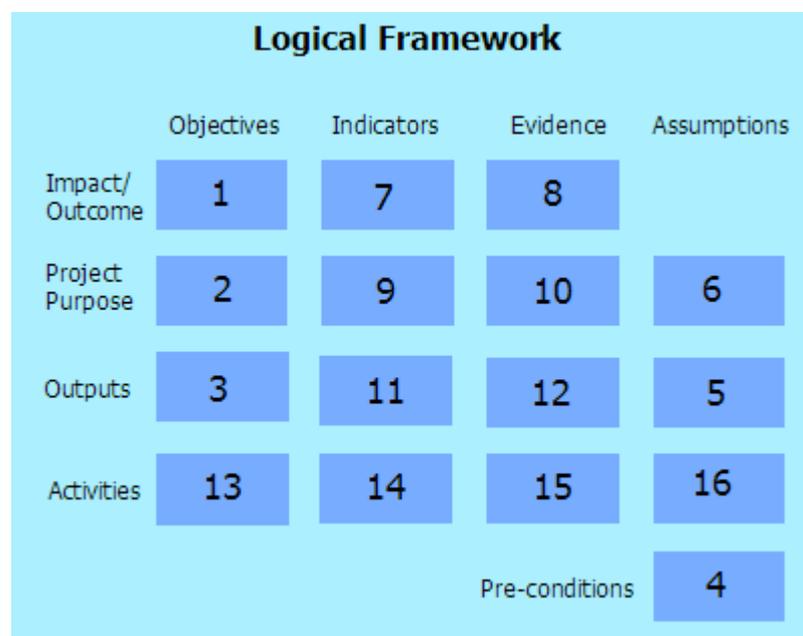
term view with a clear end position. When we are thinking vertically it is easy to communicate what is expected to happen and to make decisions in relation to that expectation. There is an element of control when planning vertical hierarchies of objectives.

The horizontal rows of the Logical Framework require lateral thinking because we are dealing with stakeholders and external influences over which we have no control. When we are thinking laterally we have to be less prescriptive of the outcome: therefore it becomes more difficult to communicate what is likely to happen.

Sufficient time and resources should be allocated to the design stage in order to enable the project to fit with the unique social, cultural and physical environment of the beneficiaries. It is important to recognise that although the problem and the solution may be common, the internal relationships, values, history and how stakeholders respond to the initiative will be unique.

When completed the Logical Framework is used as the basis for writing the project proposal; preparing a terms of reference for job descriptions and commissioning work; for monitoring planned and actual; for making changes to the project design during implementation, if required; and finally for the evaluation of the project.

The following diagram summarises how the Logical Framework is filled in, the numbers refer to the order in which it is filled in.

Logical Framework

	Objectives	Indicators	Evidence	Assumptions
Impact/ Outcome	1	7	8	
Project Purpose	2	9	10	6
Outputs	3	11	12	5
Activities	13	14	15	16
Pre-conditions				4

Sequence for filling in the Logical Framework

1.   The Objectives column is filled in first by working vertically from the top to the bottom filling in boxes 1, 2 and 3. This information can come from the results of a Problem and Objective analysis or a Programme Strategy Option. Activities (box 13) is not filled in until the end.

The logic of the Objective column is that if an Activity is delivered and an Output is received, then a Project Purpose is realised and a contribution to the Impact/Outcome is assured.

Impact/Outcome
The Impact/Outcome relates to the high level policies, criteria and local circumstances, set out in government plans, funders' criteria and the programme strategy to which the project will contribute. The project will contribute to the Impact/Outcome but not achieve it alone: other inputs and initiatives will also contribute to the same level objective.

Project Purpose
This describes what it will be like when the solution to the problem has been achieved. It is at the Project Purpose level that project success or failure is measured; and where you define the central objectives in terms of the sustainable flow of benefits to be experienced by beneficiaries. The Project Purpose can only be achieved by beneficiaries making use of the services provided. It should not describe the delivery of the services, but the change of behaviour as a result of the service use.

Outputs
These are the delivered services and facilities that the project provides. Each Output will be the result of a series of activities.

Check the Linkages
The key to designing good projects is to make sure that each level of the objectives directly links with and achieves the higher level. Sometimes the linkage is not strong enough, in which case one or other of the objectives needs to be changed. Often higher objectives are too ambitious and the link between Outputs and Project Purpose is unrealistic, in which case you may need to add a new Output or tone down the Project Purpose statement. Before moving to the Assumptions column, test the logic of what you have established so far: the important thing is to make it realistic and workable.

2.   The Assumptions column is filled in second by working vertically from the bottom (Pre-conditions) to the top (Project Purpose) filling in boxes 4, 5 and 6. The relationships between the Objectives and the Assumptions are tested for the level of risk. The Assumptions column in the matrix includes the external factors that affect the project's success, but are outside the control of the project and tests them against the logic of the objectives.

3.   The second and third columns (Indicators and Evidence) then need to be filled horizontally to establish the basis for measuring the effectiveness and clarity of the objectives. Fill in boxes 7 and 8, 9 and 10, and 11 and 12.

The preparation of clear and measurable indicators is the most important part of establishing a monitoring system. The logic of the Logical Framework is based on the achievement of one level of objective leading to a higher-level objective; the indicator is one of the stepping-stones used to manage the link between the levels. An Indicator must be objectively verifiable by collected evidence and define an Objective in a concrete and measurable way. This forms the basis of the project monitoring and

evaluation system and will be used by project managers to measure performance as well as report to funders and other stakeholders.
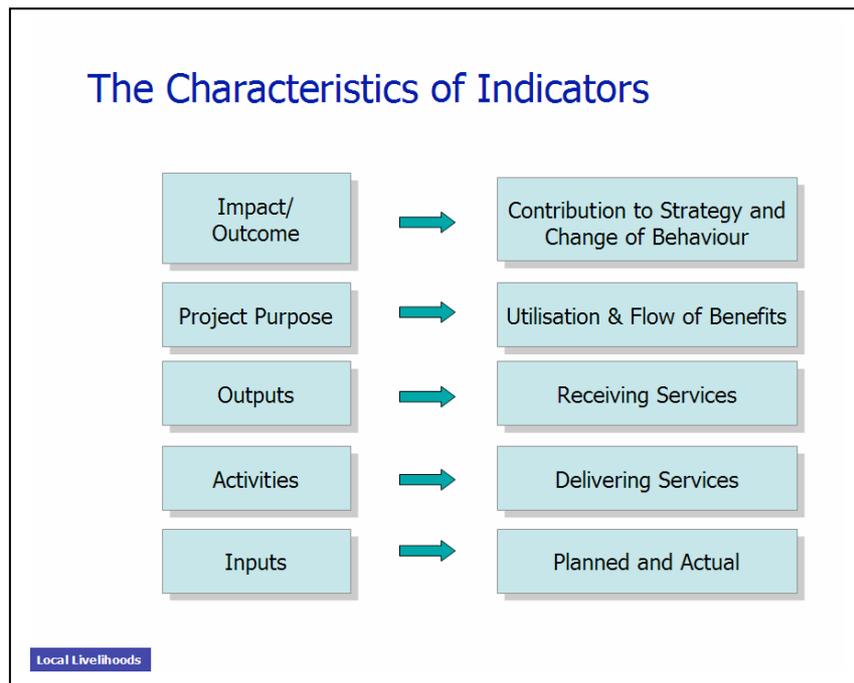
4.   The Activity row is always filled in after all the other components have been filled in and agreed, boxes 13, 14, 15 and 16. This is to ensure that the objectives, and not the activities, lead the project. The activities should be subordinate and flexible to the objectives and are always described as ways of achieving the objectives.

Activities describe the services and facilities that the project delivers. These are written as actions to be done with active verbs, such as 'prepare, construct, design etc'. Activities should support the objectives, especially the Outputs, and be flexible. Some Activities will come from the results of filling in the Assumptions, Indicators and Evidence columns. These should be written in the Activity column as notes and organised later when filling in the Activity column. Activities can also support Assumptions that are felt to be unrealisable and require support as part of the project design.

5. Designing Indicators and Evidence

The preparation of clear and measurable Indicators forms the basis of the project monitoring and evaluation system. The levels of Indicators must measure and match the levels of Objectives and for each Objective, from the Impact/Outcome to the Outputs, there must be an Indicator. An Indicator must be objectively verifiable and define an Objective in a concrete and measurable way. Activity indicators are not included in the Logical Framework; they should be included in a detailed Activity Plan.

Indicators must not be rigid; they are baseline targets and may well need changing in the light of actual implementation; they must be designed to provide information to check progress towards achieving stated objectives and to take remedial action if there is a problem.   Well designed Indicators will give your project a high level of detail. For example, when discussing the target group, Indicators should not talk of people, but talk of men and women, young and old, ethnicity, disability, employed or unemployed, etc. In this way Indicators will design in 'hard to reach groups' and identify the type of staff required to represent the target group the project is planning to work with.

Indicators will also inform the management style and the overall arrangements for implementing the project. The more detail that can be put in the Indicators the easier it will be to assess feasibility. An Indicator should state what is to be measured to show a change from one position to a new position, for example:

Objective: Residents in District X have access to health care.
Indicator: New clinics opening

- Set quantity – number of clinics opened – **how many/much?**
- Set time – number of clinics opened by year X – **when?**
- Set target group – new clinics accessible to local residents – **who?**
- Set quality – type of medical services available – **how good?**

Each Indicator must be supported by Evidence. This should describe **where** the information will come from so you can monitor the indicator; **who** will be responsible for generating the information on a regular basis; **when** the information will be available so that management can monitor the progress of the objective at the stated time; and it should describe **how** the information should be collected. **Evidence:**

- The information needed to measure achievement against an indicator
- Requires source of origin, be traceable, accurate and have a date of entry
- Measure indicators at reasonable costs by existing means or by procedures to be developed by the project
- Responsibility for collecting evidence should be clearly assigned
- Must be available at the appropriate time

Evidence will mostly come from project management records, however, sometimes evidence collection may add an extra activity to the project; for example, if the source of evidence is a beneficiary survey 6 months after the project is completed then the survey will need to be put into the project design as an activity with a budget.

6.   Managing the Monitoring

The project cycle - from Programme stage to the final Evaluation stage - can take a number of years and involve many different individuals and organisations (stakeholders). This means that there is often no overall management of all six stages from beginning to end. Results Based Management focuses on outcomes and impact from the beginning of the cycle so everyone involved in the process, throughout all the stages, needs to be focussed on the achievement of outcomes rather than the delivery of inputs. This should be clear to all from the project design as established in the Logical Framework and the associated activity plans.

The process of managing a project is dependent upon knowing what is working and what is not working. Good data capture processes are essential in order to manage project monitoring, provide management with up to date information on the progress of a project's plans and enable evidenced based decision making to take place.

Reporting needs to be regular, formatted, clear and focused and should refer to the results of actions rather than a description of actions. Managing the monitoring may include undertaking exercises, engaging with other stakeholders to involve them at appropriate times during the project cycle to gather information, analysing the findings and making decisions, before deciding whether to do more work, abandon the project or move to the next stage.

6.1   Using templates to manage the monitoring

This toolkit contains nine generic monitoring templates: these are used to record the planned objectives and activities; the actual results; to undertake an analysis of any variances; and indicate actions to correct any underperformance. Templates help break down the project M&E components into manageable units to identify, collect and record data and then enable these to be brought together for analysis.   The templates are described in summary form below: detailed instructions on how to fill in the templates; analyse the results; and carry forward any changes that need to be made to the next monitoring period are described in Annex 1.

The templates are:

- A way of standardising the way data is recorded and stored
- A way of transferring information from one person to many people
- A way of setting agendas for workshops/meetings
- A way of recording and analysing discussions and decisions
- A way of informing and reminding stakeholders
- A way of aggregating data from many projects

Each template has exactly the same factual information at the top and all templates follow the same format: the plans of what is to be achieved are in the left hand column and the actual results are written in the right hand column. The templates will show if you are on target or not and if something has changed or not. If you find that targets are being missed or circumstances have changed then it is likely that you will have to

take action. This means that what you write in the right hand column will sometimes need carrying forward to another template to action any changes that need to occur.

The initial source data for the monitoring templates will come from the original project design tools: the Problem Analysis; the original Stakeholder Record, the Logical Framework and the Activity Plans associated with the Logical Framework. This information is transferred to the relevant templates at the beginning of a monitoring period as the 'planned' for that particular period of time.

Sources of data for the 'actual' will come from the results of activities which should be recorded at the time it happened, and any assessment of the assumptions surrounding the activity should be noted.

Each project can decide which templates to use: it is unlikely that any one project will use all nine so go through them and decide which ones are suitable for your particular project. It is best to start with more, rather than less, and then review their suitability, rather than trying to add them afterwards. If you add more later on the risk is you will not have collected all the data at the time it was generated.

Template 1. Strategy and Project Link.

This is to record the relevant strategies and/or policies that the project is designed to fit in with and contribute to, and to monitor how well the project contributed to them.

Template 2. Problems or Opportunities Assessment.

This is to record the original rationale and justification for the project hierarchy, and to monitor the on going relevance of the original problem or rationale. The template will enable management to continuously review the relevance of the project in relation to solving the problem.

Template 3. Stakeholder Analysis.

This to record and categorise the stakeholders and monitor why, how and when, the project engaged with them and how they respond to the project's outputs and outcomes.

Template 4. Monitoring against the Logical Framework.

This is to record and monitor all planned objectives, activities, indicators and assumptions within a planned period.

Template 5. Logical Framework Monitoring

Template 5. Activity Record

This is to record and monitor all the activities from the Logical Framework. They are placed in a schedule for management planning.

Template 6. Activity Plan

Template 6. Project Management and Reporting.

This is to monitor how the project is being managed and how stakeholders and partners perceive the quality and style of management.

Template 7. Project Management and Reporting

Template 7. Project Impact.

This is to monitor the degree to which the project is starting to have an impact.

Template 8. Project Impact

Template 8. Mainstreaming.

This is to identify potential mainstream partners and to monitor their involvement in the project.

Template 9. Mainstreaming

Template 9. Institutional Capacity Assessment – SWOT.

This is to help stakeholders identify weaknesses and strengths in their organisation to prepare for mainstreaming.

Template 10. Institutional Capacity – SWOT

7.   Recording and Analysing Data

Recording actual data should be done very regularly, for example weekly or at the time when something happens. The big mistake is to think you will remember information: if you only record monthly or quarterly; you end up writing too much and not describing actual results very well. The templates can be used to record events when they happen in the form of notes: at a regular time the notes can be summarised, with additional information, within the templates.

When filling in the monitoring templates put in any numbers available, compare them with the planned, and explain any variance and reasons for this. Always write the narrative in answer to the implied question within each objective, activity, assumption or stakeholder statement. Try to write both positive and negative things about what actually happened and how that relates to the planned targets. Describe the actual people who were involved (stakeholders), were they the same as previously targeted? How and why did something happen and what is the consequence, good, alright or bad.

7.1   Who should collect and record data?

Data capture at source should be undertaken by whoever is there at the time, or as near to this as is possible. This can include project staff, volunteers, consultants or management: all can be involved in data capture as long as it is very clear what and where to write the note.

We recognise the difficulty in some projects of getting staff, consultants and volunteers to log monitoring notes, so it is sometimes useful to think of ways of capturing data at the same time as undertaking other tasks: such as when people fill in time sheets or other regular types of evidence required by funders or line managers. (A time sheet can be particularly useful, where used, to capture extra data without having to introduce any additional forms.)

7.2   Analysing data and taking actions forward

Once you have been keeping monitoring notes in the templates you will only have to summarise the actuals and analyse the variances:

- Actual results against planned actions
- Stakeholder behaviour against assumed behaviour
- External Policy and strategy that affects the project
- Behaviour and actions carried out by external stakeholders against Assumptions

If you have used quantifiable indicators, and recorded quantifiable evidence it is easy to measure and analyse the variance between what was planned and what actually happened.

When variance occurs action needs to be taken straight away i.e. during the current monitoring period or at least as part of the next monitoring period. Sometimes it is a matter of slowing things down or speeding things up and sometimes more resources need to be allocated or withdrawn. Each monitoring period is part of the whole project, so if one period is behind or ahead of schedule the rest of the project plan will, unless corrected, be behind or ahead of the overall schedule.

Analysing how stakeholders responded to project initiatives will inform on how likely the project will achieve impact. Impact happens when stakeholders start to use what they have got from the project, i.e. when the stakeholders make use of what they learnt from a training course and apply it to their work/life situation: impact is in the realisation of what they have received.

Assessing if assumptions against a particular Output have happened will inform on how much support a project is getting from external bodies and how likely, in the longer term, mainstreaming will be affected. If assumptions are not realised it usually means that there is little support from external bodies and not much hope for longer term impact and mainstreaming.

8.   Using the DAC Criteria for Monitoring

In Result Based Monitoring and Evaluation the templates are used as tools to record the planned, actual and variance within a reporting period. A deeper analysis also needs to be undertaken which will form part of the formative monitoring reports and contribute to the final summative evaluation.

Programmes and projects often aim to change behaviour, attitude or practices: this is a complex and difficult area to work in. The need is to know how individuals and groups responded to project initiatives. While part of the need is to know hard facts such as 'how many' and by when', it is also necessary to collect data about personal and group perceptions, attitudes, behaviour, and likely change in practices; together this provides the basis of understanding of what lessons have been learnt and how can these be incorporated into further initiatives.

The standard set of DAC criteria, which directly relate to the levels of objectives in the Logical Framework, is used to guide the process. Used in conjunction with the Logical Framework they are an effective way of linking the original hierarchy of objectives to the monitoring of project progress, and finally evaluating project success. The DAC criteria and their relationship with the level of the Logical Framework are summarised below.

Hierarchy of Objectives and DAC Criteria

Impact/Outcome	**Sustainability** –how the benefits of the project will continue once the project completes, and can they be mainstreamed by appropriate and permanent bodies during the project implementation?
Project Purpose	**Outcome** –the utilisation of the outputs and the impact of this in solving the original problem(s), its affect on the wider environment and its contribution to the wider policy or sector objectives.
Outputs	**Feasibility** – is the project feasible in terms of skills, resources, systems and external support? Is it well managed and able to understand the monitoring results and make changes if needed? **Effectiveness** –the ability to achieve results on time and with the appropriate target groups. This involves assessing the effect of assumptions on the outputs.
Activities Inputs/ Problematic situation	**Efficiency** –the use of resources and value for money. **Relevance** – is the project clear about why, with whom and what it is concerned with? Is the project appropriate to the original problems and does the project still retain internal coherence.

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8.1 Relevance - Monitoring

- review the original rationale, to see whether the nature of the problem has changed over time. If the nature of the problem changes during implementation it is important to recognise and record this, and then change the objectives and supporting management arrangements, if necessary.

- check that the project purpose is still the solution to the problem and that it is still the focus of the Outputs and Activities.

- check that stakeholders are doing what the project expected, are contributing support in the way they said, making use of the services of the project, and positively gaining benefit in some way.

8.2 Efficiency - Monitoring

- assess how efficiently the project is managed in terms of use of core staff and partnership contribution, cost of measurable outputs in relation to the number of stakeholders making use of them and how other resources have been used to manage the project.

8.3 Effectiveness – Monitoring

- assess how effective the plans are and if things are happening as planned.

- assess management's capacity and skills in co-ordinating these components.

8.4 Feasibility - Monitoring

- check the realistic nature of the objectives and the ability of the project to achieve them within the given resources and time restraints.

- assess if relevant assumptions are happening in the way they were expected to happen, and at the right time to support the related objective and activities.

- assess the activity plan and method of checking actual results, ensure that each activity is necessary and makes a direct contribution to achieving the related Output.

- assess the range of skills, resources and levels of contribution that each partner makes and how engaged they are with the project.

8.5 Outcomes – Monitoring

- are partner organisations starting to make use of the project outputs?

- assess the level of utilisation of the outputs by beneficiaries and the impact of this in solving the original problem(s), its affect on the wider environment and its contribution to the wider policy or sector objectives.

8.7 Impact – Monitoring

- assess stakeholders' responses to activities and use of what they received, the question is 'are stakeholders starting to utilise what they have received?'

- assess how much the wider group of stakeholders know about the project and what they think about what it does, is it good or bad? This can be practical things like skills, systems, construction of buildings, etc., or the project may have influenced policy or working practices to a degree.

- concentrate on data source availability and ease of analysis.

8.8 Sustainability - Monitoring

- how stakeholders are benefiting from the project during implementation and, if there is sufficient evidence of benefit, this should be highlighted and analysed. If, however, there is little or no evidence of benefit during implementation then the project should consider if this will affect the long term sustainability.

- identify potential organisations, planning their involvement during implementation, and assessing each of the aspects they intend to mainstream.

- assess whether they can sufficiently incorporate the good practice or policy from the project into their organisations.

The DAC criteria can also be used to create quality assurance checks, as below.

9.   Formative and Summative Reporting Formats

We suggest a structure below for formative reports for project managers to use when reporting on and analysing the work of the project during a defined period. According to the organisation these reports could be quarterly, bi-annually, midterm etc.

The formative monitoring reports should feed into the summative evaluation report, by maintaining the same structure of narrative reporting throughout.
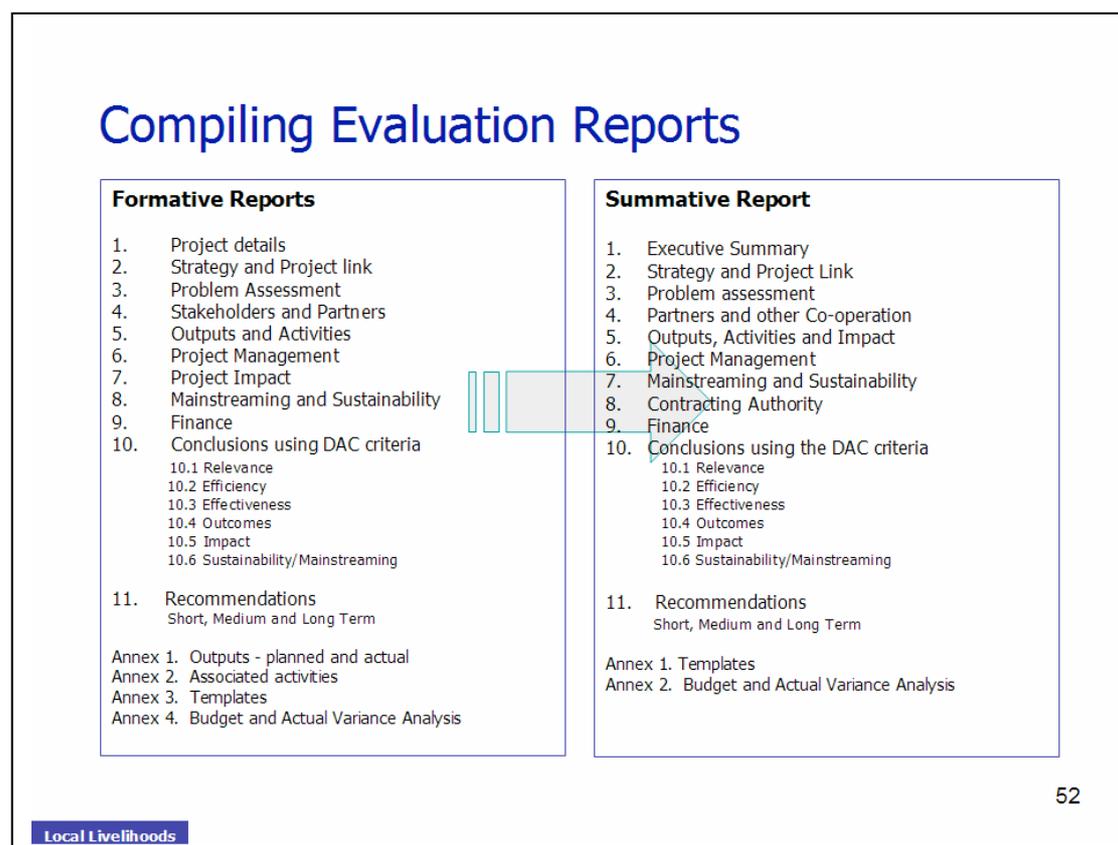
The information from the 9 Templates will provide the source data for reports: they can be attached as annexes to the reports where required. This means that the report itself can be quite short and concise and information is not duplicated. Additional narrative for the conclusions and recommendations can be supplied by answering the questions associated with the DAC criteria.

1.   Project details

    1.1   Project title:

    1.2   Contract number:

    1.3   Project Manager's name:

    1.4   Programme/sub-programme:

    1.5   Start and end date of reporting period:

2.   Strategy and Project Link – data from Template 1.

•   Is the project still working within the original strategy framework or has the framework changed? If the framework has changed, describe the change(s) and the effect on the project. If it has not changed, refer to the original strategy framework and comment on how the project is contributing to it.

•   Are there any additional actions to be undertaken as a consequence of any changes?

3.   Problem Assessment – data from Template 2.

•   During the reporting period has the nature or content of the original problem(s) changed? If yes, what has changed and how does it affect the project? If there have been any substantial changes does this affect the activities, outputs and resource schedule? If so have alterations been made and have you obtained authorisation for these changes? If the problem(s) have not changed do you think the project is still on track to solve them?

•   Are there any additional actions to be undertaken as a consequence of any changes?

4.   Stakeholders and Partners – data from Templates 3 and 9.

•   During the reporting period have stakeholders responded to the project in the way originally anticipated or have stakeholders responded in either a negative or more positive way? If so how has this affected the project?

•   Has there been any change to the list of stakeholders during the period, such as new stakeholders being identified or existing stakeholders no longer relevant to the project? If so what are the changes and how has this, if at all, affected the project?

4.1   Assess the relationship between the formal partners of this project
4.2   Where applicable, assess your relationship with other organisations involved in implementing the project
4.3   Where applicable, describe links with other projects

•   Are there any additional actions to be undertaken as a consequence of any changes?

5.   Outputs and Activities – data from Templates 4 and 5

5.1   Prepare the actual results and variances of the planned targets for this reporting period
5.2   Are the assumptions holding true? If not, how has this affected the project and what, if anything has been or is to be done about them?
5.3   Is the project starting to have an impact on the stakeholders?
5.4   Can you identify any constraints preventing the project from achieving its objectives?
5.5   Prepare the next 6 months plans

•   Are there any additional actions to be undertaken as a consequence of any changes?

6. Project Management – data from Template 6.

- Have there been any issues with the project management and if so what has been done about them?

- Are there any additional actions to be undertaken as a consequence of any changes?

7. Project Impact – data from Template 7.

- Comment, if you are able, about the likely impact the project is having. Also, if as a consequence of answering the questions there are actions to be undertaken please describe them.

8. Mainstreaming – data from Templates 8 and 9.

- Describe the planned mainstreaming outcomes that are starting to happen. Are the relevant institutions and organisations able to incorporate the new practices/policies that result from the project? Or do you foresee any problems with achieving sustainable benefits at the end of the project?

- Are there any additional actions to be undertaken as a consequence of any changes?

9. Finance

All organisations have their own financial systems and accounting procedures, and financial reporting on projects will reflect the system in operation. All projects will have a Budget Plan which is a tool for planning expenditure over time; it should relate to the activities in the Logical Framework, include information on the funding sources and conditions of funding and provide information on project expenditure.

A basic level the Budget Plan is divided into revenue costs, capital costs and costs in-kind. Revenue costs are all costs that relate to the running of the project, capital costs relate to the purchase of any items that will have a resale value longer than one year and in-kind costs are those that the volunteers, the local community or Government may contribute but not charge money for. The Budget Plan should cover the life of the project, and for each year be broken down into quarters. How the expenditure headings are listed will depend on the type and complexity of the project.

The budget is measured by using a Budget and Actual Variance analysis whereby actual expenditure is compared with the planned and any variance is indicated showing the percentage of variance, either plus or minus. This enables management to see how the planned budget is working out in practice and if there is need for any corrective action.
A narrative report on expenditure is included in the report and any relevant budget plans attached as annexes.

Budget, Actual and Variance

Headings	Budget	Actual	Variance	%
Revenue				
Salaries	72,000	72,000	Nil	-
Rent	8,500	8,500	Nil	-
Stationery	3,200	2,400	800-	71%
Travel	2,200	3,400	1,200+	156%
Utilities	1,300	1,600	300+	123%
Total	**87,200**	**87,900**	**700+**	**101%**
Capital				
Furniture	4,600	4,600	Nil	-
Computer	2,100	2.200	100+	105%
Total	**6,700**	**6,800**	**100+**	**105%**
Total Revenue & Capital	**93,900**	**94,700**	**800+**	**101%**

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10.   Conclusions and Recommendations using DAC criteria

10.1   Relevance Evaluation

Was the original problem analysis comprehensive enough and is it still relevant? Is the Project Purpose relevant and will it solve the problem? Are the stakeholders relevant to the problems, objectives and long term sustainability?

A stakeholder analysis should have been done at the beginning of the project to identify who the primary, secondary and tertiary stakeholders are. If a stakeholder analysis hasn't been done, it is suggested that it is done now. An assessment should be made of whether the stakeholders involved:

- are relevant to the problem and the solution?
- how they have been involved in / influenced by the project?
- are they supporting the project in the way they said they would?
- are they making use of the project services?
- are they starting to gain benefit as a consequence of the project?
- and / or are they in a position to be instrumental in mainstreaming the project results at the end of the funding period?

10.2   Efficiency Evaluation

Is the project providing value for money and efficient use of other resources?
While this is difficult to measure in one-off projects there are methods, such as comparability analysis; cost benefit analysis; and ratio analysis which can be used if appropriate. However, where mainstreaming is a major aim, value for money is a critical factor for mainstream bodies when deciding if to incorporate the results of the project.

10.3 Effectiveness Evaluation

Is the project able to achieve results on time and with the appropriate target groups? Are Project Management, Data Collection and Reporting being undertaken consistently?

10.4   Feasibility Evaluation

Is the project feasible in terms of skills, resources, and operating systems to achieve the objectives?
The objectives and activities need to be achievable within the time allocated for the project and the resources available. The skills of staff and volunteers should be able to achieve quality, and systems should exist to minimise the cost of transacting the funding process and accountability to funders and stakeholders.

Are the Assumptions being realised?
The project will have made Assumptions about what support it will get from external stakeholders and how others will respond to its initiatives. When monitoring an objective and its associated activities it is essential to include an assessment of any associated assumptions.

Is the Activities Schedule feasible?
The activity schedule should contain actions to be done, date by when, named persons/institution that will carry out the action and a clear indication of the resources, funds and labour needed. Activities have got to be realistic in terms of achieving the related objective and being deliverable by the project.

Do partners have the capacity to achieve the project?
Partnerships are increasingly being used to manage projects, the reason being that between a set of partners there will be more expertise and resources to achieve project success. The capacity of partners to engage with the project and provide resources and make use of its outputs must be assessed.

10.5   Outcomes Evaluation

Are project outputs being utilised, and what is the impact of this in solving the original problem(s)?
When stakeholders start to make use of what they have received from the project the project is having an impact. This will start to happen at some point during project implementation, most likely towards the end of the project period. The level of impact will be a very good indication of whether the project can and will be mainstreamed and achieve sustainable solutions.

10.6   Impact Evaluation

Is the data collection designed to measure impact?
What is the affect of the project on the wider environment and its contribution to the wider policy or sector objectives?

Has the project started to influence the wider stakeholders and/or the community in which is based? Do stakeholders know about the project, does it have a good reputation, can people on the street identify what and where the project is?

10.7   Sustainability/ Mainstreaming Evaluation

Will the benefits of the project continue once the project completes?
Sustainability means that there is a continuous benefit to the target group long after the project is completed. Sustainability is not about keeping the project going, it is about keeping the benefits going, sometime they are the same, but sometimes the benefits can be sustained by other means.

Can the benefits of the project be mainstreamed by appropriate and permanent bodies during the project implementation and afterwards?
Mainstreaming advances sustainability into a more managed situation. Rather than relying on stakeholders voluntarily using the benefits of a project mainstreaming incorporates them within an organisation which becomes part of its regular service. Not only does this provide a very clear return on investment for the intervention it also makes it much easier to measure impact.

Annex 1. How to Fill in the Templates

Below is a detailed description of the steps for filling in the 9 templates.

Template 1.   Strategy and Project Link

This template is for identifying the relevant strategy or policy of the project management agency and external key stakeholders such as local government, the funding agency etc, and describing how the project contributes to the strategy or policy.

During the project implementation if a strategy/policy changes, or the direction of the project changes, it is important to record what affect this has and if there are any intermediate actions to be taken to make sure that the project is still relevant and will still achieve worthwhile results. If a project does not contribute to policy/strategy it is likely that the benefits, at the end of the implementation period, will not be supported and consequently will cease to exist

Template 1. Strategy and Project Link

Project:							
	Planned			**Monitoring**			
Monitoring period	Relevant strategy of Regional/local bodies.	Relevant strategy of the funder(s)	How does the project contribute to the strategies?	Have the strategies/policies changed?			What actions, if any, need to be taken if the strategies/policies have changed?
				No	Yes	If yes, what has changed and how does that affect the project?	
	1.						
	2.						
	3.						

Step 1.
Write the start and finish of the monitoring period

Step 2.
Identify and write the strategies/policies relevant to the project.

Step 3.
Identify the strategies/policies relevant to the project.

Step 4.
For each strategy/policy describe how the project will contribute.

Step 5.
Each monitoring period check if any changes have taken place, if not tick No, if yes tick Yes and explain what has changed and if any actions to the project need to be made.

Step 6.
Any actions that need to be undertaken will need to be incorporated into the next planning and monitoring period in the appropriate place. Transfer the data in the Monitoring section to the report and explain what has happened in this period and what is to be done in the next period.

How to use this template to monitor and report for Result Based Management

- **Data collection** will come from existing policy documents of the implementing agent, the host agencies, and local and regional government bodies.

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- **'actions that need to be taken'** in relation to strategy may effect the activities and planned outputs: these may have to be changed if policy and strategy have altered. Changes will need to be made to the Outputs and associated Activities in Template 4 Logical Framework Monitoring and Template 5 Activity Plan. Any addition or change may have resource implications so make sure these are available.

- **Report** on how the project contributes to a longer and broader term policy to provides an indication of the potential impact of the project and the likely sustainability and mainstreaming of the project benefits.

Template 2.   Problems or Opportunities Assessment

This template is for recording the problems or opportunities that provide the rationale for the project and the baseline data against which the project will be monitored and evaluated.

The information for this template will have come from the original analysis, either from stakeholder workshop results or/and statistical evidence from government or other departments. Template 2 is used for making sure that the project is firmly focused on achieving the objectives. If the problems or opportunities change during project implementation it is essential to amend them in this template and to carry forward the changes to all other relevant documents.

Template 2. Problems, Opportunities and Project Objectives

Project :						
	Original situation		**Monitoring**			
Monitoring period	Problems/constraints	Opportunities	Are the problems and opportunities still relevant? and are the project objectives still relevant to the problems and opportunities. Has anything changed?			What actions, if any, need to be taken?
			No	Yes	If yes, what has changed and how does it affect the project?	
	Impact/Outcome					
	Purpose					
	Outputs					
	1.					
	2.					
	3					
	4.					

Step 1.
Write the start and finish of the monitoring period

Step 2.
Write the original problems from the problem analysis in this column under the right headings.

Step 3.
Write the original opportunities in this column.

Step 4.
If you tick No there is no further action, if you tick Yes then fill in the template. Any actions will need to be planned and incorporated into the relevant section for the next monitoring period. For example, if a problem has changed it might be necessary to re-align the objective. This should be done in the Logframe.

How to use this template to monitor and report for Result Based Management

- **Data collection** will come from the primary stakeholders who experience the problem(s) and/or who identified the opportunity to develop the project objectives.

- **'actions that need to be taken' -** if the new situation negates the original rationale the project objectives need to be reappraised. This could have a number of implications even up to the point of stopping the project if it no longer useful. Changes to the Outputs and Activities in the Logical Framework may also need to be made and any addition may have resource implications.

- **Report** on whether the project is still focused on solving the relevant problem(s) or exploiting the opportunity(ies). If the problem(s) or opportunity(ies) have changed during implementation is the project still valid? Or should it change cause?

Template 3.   **Stakeholder Analysis**

This template is for recording the stakeholders and placing them in a hierarchy, of Primary, Secondary and Tertiary, using your own categorisation.

It is evident from project evaluations that stakeholders' participation is vital to the successful design and implementation of a project. A properly planned project, addressing the real needs of those whom it is intended to benefit (the 'beneficiaries') cannot be achieved without a full and accurate assessment of the existing situation and in order to do that it is essential to know who the stakeholders are. Groups of people, individuals, institutions, enterprises or government bodies that may have a relationship with a project are defined as stakeholders.

As a general rule a stakeholder is:

> "any person, group or organisation who can affect
> and/or be affected by the process of the project"

The project design team should have identified and agreed on the key problem that the project has to address. All the stakeholders related to the identified key should be identified and then categorised in a hierarchy of primary, secondary and tertiary. By categorising stakeholders in this way it becomes easy to see who they are, how they should be involved and when.

• **Primary Stakeholders** include those whose interests lie at the heart of the project, the 'beneficiaries': they experience the problem that the project is aiming to solve and are usually users of services. Primary stakeholders will also be those who cause the problem, in which case they must also be involved as part of the solution. Sometimes primary stakeholders include 'hard to reach' individuals and groups and mapping will ensure that reaching them is part of the project.

• **Secondary Stakeholders** include those who need to be involved if the project is to achieve its objectives, or who have a direct interest in the project. This group would include statutory agencies, voluntary groups, private sector organisations and potential

co-funders. These stakeholders are where the primary support will come from and usually where project partners can be identified.

• **Tertiary Stakeholders** are those who may not be too involved at the beginning but may be important in the long term. These may include suppliers, customers, contractors, financial institutions, legislative and policy making bodies, external consultants and trading partners. The last category may not apply to some projects, but for on-going initiatives this can be an important category, they will support the long-term sustainability of project benefit.

Template 3. Stakeholder Analysis

Project:					
		Planned			**Monitoring**
Monitoring period	Stakeholders	Why are they involved?	How are they involved?	When might they be involved?	How have stakeholders responded to the project?
	Primary				
	Secondary				
	Tertiary				

Step 1.
Write the start and finish of the monitoring period

Step 2.
From a mapping exercise arrange stakeholders in a hierarchy of primary and secondary.

Step 3.
Try and answer the questions in the three columns against each stakeholder, you may write the same thing for different stakeholders.

Step 4.
Record how stakeholders actually responded, and how this affects the project, on a regular basis describe. Keep a record of stakeholders' engagement with the project to provide you with this information.

How to use this template to monitor and report for Result Based Management

Data collection will come from the primary and secondary stakeholders who are engaged in the activities, such as training attendance lists and course evaluations. It is also useful to collect data about how stakeholders have made use of any types of support.

Try to fill in as much information on why, how and when stakeholders are involved. When writing the **why** you can match stakeholders to problems or opportunities and objectives and/or activities, so there is a clear link and reason for the particular stakeholders. It is then important to monitor how stakeholders actually did or did not engage with the project. What we are looking for here is to know as early as possible if stakeholders are responding to the project in the way we anticipated, is it on track, or are

stakeholders not doing what the project thought, and if so how, does this affect the project? If stakeholders have not responded in the way the project planned does this mean that activities or outputs need to change?

Once stakeholders have been identified and categorised, an analysis of how they might behave and be involved should be undertaken.

• What are the stakeholders' **expectations** of the project?
• What **benefits** is the stakeholder likely to receive?
• What **resources** will the stakeholder commit or not commit to the project?
• What **interests** does the stakeholder have which may conflict with the project?
• How does a stakeholder **regard other categories** of stakeholders?
• What **other things** do stakeholders think the project should do or not do?

The monitoring information will show where support is coming from, where barriers exist, who are the hard to reach groups, what method of communication works well with different groups, how different stakeholder groups have responded to different ways of working, and, in future projects, will indicate how best to design for good working relations with stakeholders.

Copy Relevant Information to activities and outputs in Template 4 Logical Framework Monitoring.

Template 4.   **Logical Framework Monitoring**

This template is where the planned (the project objectives, indicators and assumptions) for a monitoring period is placed: these come from the Logical Framework.

By using the indicators in the Logical Framework you should be able to determine a proportion of quantifiable Outputs that are planned for the period and what assumptions are expected to be realised. The assumptions represent the risks and are associated to the objectives. When measuring each objective the associated assumption(s) will also be reviewed to provide a robust and rounded picture of progress.

Template 4. Logical Framework Monitoring

Project:					
Monitoring period	**Planned**			**Monitoring**	
	Outputs for the period	**Planned**	**Actual**	**If actual is less or more than planned what is the affect on the project?**	**What actions, if any, need to be taken?**
Period 1 Date:	Output 1: Indicator: Assumptions:				
	Output 2: Indicator: Assumptions:				
	Output 3: Indicator: Assumptions:				

Step 1.
Write the start and finish of the monitoring period

Step 2.
From the Logical Framework transfer each Output for the period to the Planned sections.

Step 3
At the end of the Period write actual Results in the corresponding column. Be factual.

Step 4.
If there is variance between planned and actual describe this here.

Step 5.
If any variance can be easily rectified next period don't write here. If there needs to be action taken to catch up or modify the targets describe it here.

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Data collection will come from the assessment of the achievement of activities in relation to the plans. Also, assess the resources used and budgeted for to make sure that the activities have been undertaken within budget. The actual results are recorded and checked. Variance between planned and actual is described along with plans for any actions to be taken.

If the Activities are achieving the Outputs and if the Assumptions made by the project are happening and supporting the project.

Copy to activities in the Activity Plan and any budget changes to the budget.

Template 5.   Activity Plan

This template is where the detailed monthly planned actions are set out and monitoring by checking actual results and marking them against the planned.

The activities relate directly to each of the Outputs in the Logical Framework and should be planned annually with corresponding person(s) responsible placed against each activity in the right hand column.

Template 5. Activity Plan

Project:												
Activities	Quarter 1 Jan. to March 2011 Months			Quarter 2 April to June 2011 Months			Quarter 3 July to Sept. 2011 Months			Quarter 4 Oct. to Dec. 2011 Months		Who is responsible?
	1	2	3	4	5	6	7	8	9	10	11	12	
Output 1													
Output 2.													
Output 3.													
Output 4.													

Step 1.
Transfer the Outputs and annual corresponding activities from the Logical framework and place them in the left hand column.

Step 2.
In line with each activity plan and mark when they should start and finish. Mark actual progress monthly. This can be done with different coloured pens.

Step 3.
Against each activity write who is responsible for carrying out the activity.

How to use this template to monitor and report for Result Based Management

Data collection will come from the actions of the project, the things it does on a day to day basis and the things it assigns to other stakeholders or contractors. Those individuals carrying out the activities need to keep notes about how the activity is achieved and how stakeholders respond.

Report whether project activities are on schedule, if they are achievable within the time and budget allocated and if stakeholders find the activities beneficial.

Transfer any changes to Activities and Outputs in the Logical Framework.

Template 6. **Project Management and Reporting**

This template is for recording and monitoring how well the project management is being managed.

Capacity building projects are complex and difficult; project management needs to be critically assessed to keep it operating with the full support of all stakeholders. This template is used by project staff, partners and other stakeholders to express their view and perceptions on how the project is being managed. It can be used to enable wider stakeholders to be engaged in the monitoring and consequently allows the project to understand how other stakeholders see its operation.

Template 6. Project Management and Reporting

Project:						
Questions	No – need to do something	No – something is being done	Yes – can be improved	Yes – everything is fine	What Action is needed?	Who is responsible for carrying out the action?
Project						
Are you clear about the project purpose?						
Do you think the project purpose is appropriate for the problems you face?						
Are the outputs realistic and achievable?						
Are the activities realistic and achievable?						
Are you clear about the project assumptions and risks?						
Are the resources adequate to achieve the activities?						
Do resources arrive on time?						
Do you meet your planned activities on time and within budget?						
Project						
Are you clear about the structure of the project?						
Are you clear about your role within the project?						
Do you receive sufficient information?						

Step 1.
Assess the generic set of questions and make sure they are relevant to the project and the sector. Add or delete questions to customise the check list.

Step 2.
Get a range of stakeholders to fill in this Template every 6 months and ask them to also suggest what action, if any, should be taken and by whom.

Step 3.
All the Actions and those responsible should be assessed and developed into an action list to improve management functions which can be monitored in the next period.

How to use this template to monitor and report for Result Based Management

- **Data collection** will come from project staff, partners, and other key stakeholders. This template should be filled in every 6 months and then combined into a single sheet for analysis and planning any further action.

- **Report** on the efficiency and effectiveness of the project management to manage the tasks, reporting and stakeholders' engagement.

- **Use** the information from the template to support any changes to the organisational structure of the project, staff job descriptions, terms of reference for consultants and any contracts with external suppliers.

Template 7.   Project Impact

This template is for project management to use to start to develop an understanding of the likely impact of the project.

Project impact determines success or failure; it is important to start testing a projects' impact as early as possible in order to steer it to success while you still have the chance. This template is better used in the second half of the project to test whether the activities, outputs and results are starting to have an impact. We suggest it is then filled in every 6 months by the appropriate person.

Template 7. Project Impact

Project:									
	Sources of data	Too early to tell	No – need to do something	No – something is being done	Yes – can be improved	Yes – everything is fine	What Action is needed?	Who is responsible?
Are people who have attended training using their new skill?	Workplace observation. Post training survey. Line managers. Private sector representatives.							
Are people who have attended training/sensitisation events more aware about issues?	Workplace observation. Post training survey. Line managers.							
Are colleagues developing policy documents as a consequence of the project's input?	Workplace observation. Interviews. Questionnaire. Line managers.							
Have new or enhanced Partnership networks been developed/ strengthened due to the project's inputs?	Senior Partner managers. Private sector representatives. Official journals.							
Are more organisations getting involved in the project objectives as a consequence of the project?	Stakeholders							

Step 1.
Assess the generic set of questions and make sure they are relevant to the project and the sector. Add or delete questions to customise the check list.

Step 2.
Identify the correct place and people for the source of data and ask them to fill in the answers.

Step 3.
All the Actions and those responsible should be assessed by the line manager and developed into an action list to improve project functions which can be monitored in the next period.

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How to use this template to monitor and report for Result Based Management

Data collection will come from project staff, partners, and other key stakeholders.

Report on whether the project is starting to solve the original problem(s) and if it is influencing relevant stakeholders to make changes. Determine the potential stakeholders who might be involved in mainstreaming. If the template indicates that there is likely to be little or no impact, management should question whether the project should change course, close down or continue as is?

Copy to the Project Purpose and Outputs under the Objectives in the Logical Framework.

Template 8.   Mainstreaming

This template is used to help the project consider how the results of the project may be mainstreamed: incorporated into permanent and on-going organisations.

Mainstreaming is the ultimate test of sustainability, when best practice, and/or good policy, is taken up by other organisations or government departments after they have been developed and tested in projects. It is important that mainstreaming is monitored early on in the project cycle in order to establish benchmarks against which the degree to which the project's outcome can be incorporated into a mainstream body can be measured. As a result of monitoring it is likely that certain actions or policy developed within the project may need to be adjusted to suit the potential mainstream organisation's way of operating. This usually means only slight changes so that the result fits in with the style and structure of the proposed mainstreaming host organisation.

Template 8. Mainstreaming

Project:					
		Planned			**Monitoring**
Monitoring period	Objectives	**Who?** Potential Mainstream Partners	**What?** Process for testing transferability of project objectives/benefits to mainstream partners. Categories might include: • Policy • Legislation • Best Practice	**How?** Process for involving mainstream partners in testing good practice and policy	Actual results of the transferability of project objectives to mainstream partners as practice or policy
	Project Purpose				
	Output 1 and Activities				
	Output 2 and Activities				
	Output 3 and Activities				

Step 1.
Write the start and finish of the monitoring period

Step 2.
Transfer the Project Purpose, Outputs and Activities from Logical Framework to this column

Step 3.
Identify and write in potential mainstream partners.

Step 4.
Categorise the type of mainstream intention. Is it to do with 'policy', 'legislation', or 'best practice'? Then identify, plan and write how the objectives, outputs and activities might be transferred to a mainstream provider.

Step 5.
Describe how these partners might be involved in the process of mainstreaming.

Step 6.
Monitor what actually is happening and feedback to the next planning period.

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Management

Data collection will come from potential mainstream partners and project staff. This template should be filled in every 6 months by projects in consultation with potential mainstream partners.

Report on whether the planned results are able to be transferred to mainstream organisations and incorporated into their operations. The project will learn early on if their results are able to be mainstreamed or if they have to be changed slightly to fit in with the culture of the potential mainstream organisation.

Copy to the Project Purpose, Outputs and Activities in the Logical Framework and information from this template should influence the management style of the project.

Template 9.   Institutional Capacity Assessment - SWOT

This template is for project staff and partner organisations to use to assess the strengths, weaknesses, opportunities and threats of their own organisation's capacity to manage the project and any partner organisations.

Organisations that support projects or wish to use project results need to be fit for purpose; Institutional Capacity Assessment using SWOT is a simple and immediate way of starting that assessment. If any weaknesses exist strengthening them can be part of the project's objectives and be built in from the outset. The monitoring of the institutional assessment can be very valuable in informing the project of potential mainstreaming capacity, or otherwise.

The template is used for two processes, one to get a quick snapshot of how stakeholders view the organisation or institution and what they think should be done to either strengthen it or exploit opportunities. The second process is to plan a set of actions to deal with any issue that arise as part of the project.

Template 9. Institutional Capacity – SWOT

Project:	
Name of organisation: Date: Contact person:	
Strengths	Weaknesses
Opportunities	Threats

Step 1.
Hold a workshop with stakeholders and ask them to come up and list things about their organisation under the four headings.

	What should be done immediately?	What should be in the medium to long term?	Actions to be undertaken and by whom?
Strengths			
Weaknesses			
Opportunities			
Threats			

Step 2.
Transfer the list from Step 1 and answer the three questions in the template.

Step 3.
Copy the actions to the appropriate section in the Logical Framework and Activities Plan for the next monitoring period.

How to use this template to monitor and report for Result Based Management?

Data collection will come from project staff and institutional stakeholders and will be in the form of a focus group exercise based on participants' experiences.

Report on whether your own, and partner, organisation(s) have the capacity to carry out the project.

Copy information to the Logical framework and Activities to put in place a plan for building capacity in either your own or partner organisations.