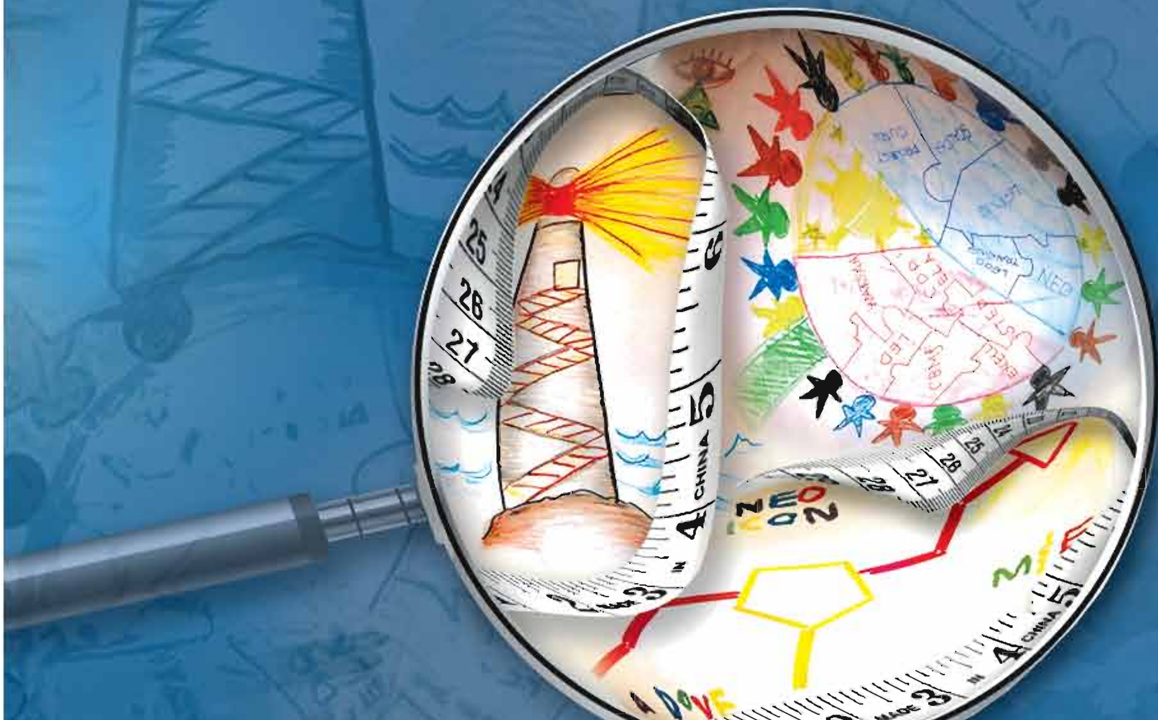
Measure to Manage

A Toolkit for Results-Based Monitoring and Evaluation of Capacity Development Programs



Australian Government
Aid Program

PHILIPPINES - AUSTRALIA
HUMAN RESOURCE DEVELOPMENT
An Australian Government, AusAID Initiative
www.pahrdf.org.ph

Measure to Manage

A Toolkit for Results-Based Monitoring and Evaluation of Capacity Development Programs

Measure to Manage: A Toolkit for Results-Based Monitoring and Evaluationof Capacity Development Programs

ISBN No. 978-971-0576-11-1

Printed and bound in Manila, Philippines.

Published by:

Local Government Academy
Department of the Interior and Local Government
8/F Agustin I Building, F.Ortigas Jr. Road (formerly Emerald Avenue),
Ortigas Center, Pasig City, 1605 Philippines
Tel. No. (632)-631-3893/634-1883
www.lga.gov.ph

Table of Contents

Tables

Figures

Foreword

This toolkit, entitled **Measure to Manage,** is the first version of a generic manual to monitor and evaluate CapDev interventions for LGUs, based on results-based monitoring and evaluation (RBME). Simply expressed, it lends truth to the quote that "what gets measured, gets done."

The seven major steps in this toolkit are presented in a simple and easy-to-understand manner to encourage its use with all stakeholders in capacitating LGUs. With this user-friendly tool, it is expected that the monitoring and evaluation framework of any CapDev program for LGUs can now be prepared at the conceptualization stage together with the program design.

The use of the Results Chain to map out the inputs, outputs, and outcomes (immediate, intermediate, and ultimate) as well as the score card to evaluate capacity development programs are a marked departure from the traditional approaches to M&E that have been limited to reactionary level (pre- and post-evaluation) monitoring.

As this M& E toolkit is a work-in-progress, local governance stakeholders in CapDev for LGUs are encouraged to send in their suggestions to the Local Government Academy for the manual's continuous process of enhancement.

MARIVEL C. SACENDONCILLO, CESO III
Executive Director

Dearest Graduates of the LGA M&E development program,

Congratulations for completing the course and effectively improving the capacity of the LGA to develop, plan and implement the enhanced LGA Monitoring & Evaluation Systems. As you are all well aware, the LGA has been tasked by the government to deliver quality training programs for its local government units and carry out human resource development for the DILG. The training programs that you all conceive and deliver, help contribute to the betterment of the government and consequently, to nation-building.

However successful LGA has been through the years, it recognized the need to continuously monitor and evaluate the capacity development programs being offered to LGUs to assist them in determinining if these interventions contribute to their development change agenda.

Your efforts will be the cornerstone of the M&E Systems foundation. We encourage you to do your best in continuing to support your partner organizations with the knowledge and skills that you acquired in M&E. Each and every one of you has the capability to create impact on the LGA's capacity development programs. You now have the responsibility and accountability to enact positive change within the system because you have been empowered to do so.

It is expected that through your guidance, our policy makers can make informed decisions that will help achieve their desired public sector management and governance results. It will also be through your teachings that your fellow workers will be able to reach a higher state of competency that will in turn serve the greater community of the Filipino society. Your work will make it possible to create programs that address the developmental needs of your countrymen.

On behalf of everyone involved with the LGA M&E development program, I thank you. And once again, congratulations.

Ms. Milalin S. Javellana
Facility Director, PAHRDF

Acknowledgements

Measure to Manage: A toolkit for Results-based Monitoring and Evaluation for LGA's Capacity Development Programs is a joint effort of the LGA Monitoring and Evaluation (M&E) Team and their coaches.

The Local Government Academy would like to thank the following people for their valuable inputs and perseverance in coming up with this toolkit:

The LGA M&E Team

Leah Marie Sanchez Virginia Rivera Apolinar Diana Myra Gialogo David Joy Semilla	Research and Policy Development Division (RPDD)
Sally Jumalon Oliver Larion	Education and Training Division
Jean de Pano	Institutional Partnership Unit
Virgin Insigne Nilda Torres	Administrative Division
Leslie Isip	DILG - Region 1
Margie Biligan	DILG - NCR
John Cerezo	DILG - Region 4-A
Evelyn Vista	DILG - Region 6
Ma. Antonieta Porol	DILG - Region 10

Coaches

Ms. Marie Herminia Cruz - Soriano
Ms. Maria Concepcion Pabalan-Miligan
Ms. Blanca D. Pasaporte

Editorial Committee

Ms. Marivel C. Sacendoncillo
Ms. Thelma T. Vecina
Ms. Esmeralda Daphne N. Purnell
Ms. Elisa May A. Cuevas
Ms. Ma. Imelda E. Samson

Special gratitude is extended to the Australian Government through the Philippines-Australia Human Resource Development Facility (PAHRDF) for the capacity development intervention provided to the LGA M&E Team in developing this toolkit.

LGA M&E Project Team

The Resource Guidebook is a product of the synergy between Philippines-Australia Human Resource Development Facility (PAHRDF) and its partner-institution the Local Government Academy (LGA). It was through their agreed development agenda that the LGA M&E Project was born. In working with the Asian Institute of Journalism and Communication and cooperating with People Sparx Inc., a team that could achieve the objectives of the program was put together and through them the objectives were successfully achieved. The unique value of this program was that it incorporated team-building sessions that fostered the relationships among the participants. It was done to espouse the need for responsibility and accountability in enacting the M&E Systems in the LGA and the capacity building training programs that they provide for all the local government units.

Here are the members of the Project Training Team:

Project Managers:
Ms. Elisa May A. Cuevas
Ms. Ma. Imelda E. Samson

Course Leader:
Ms. Marie Herminia C. Soriano

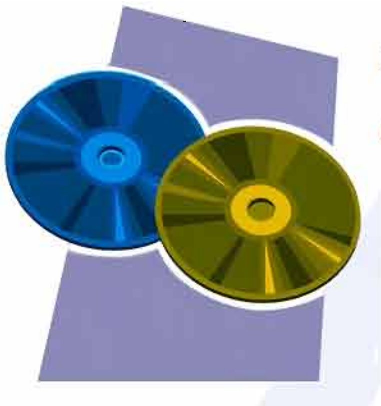
Resource Persons:
Ms. Blanca D. Pasaporte (Coach)
Ms. Maria Concepcion Pabalan-Miligan (Coach)
Mr. Audie B. Masigan (Speaker)
Mr. Ramon Benedicto A. Alampay (Speaker)

Welfare Support Coordinators:
Ms. Maria Agnes D. Cleofas (Team Leader)
Mr. Arvin Jesus R. de Leon (Assistant)
Mr. Antonio Paulo E. Adorna (Assistant)
Mr. Orly Christopher R. Garcia (Creatives)
Ms. Iris Igrobay (Creatives)

Acronyms

ADKAR	Awareness, Desire, Knowledge, Ability, Reinforcement
ARTA	Anti-Red Tape Act
BPLS	Business Process and Licensing System
CBMS	Community-Based Monitoring System
CC	Citizen's Charter
CDP-ELA	Comprehensive Development Plan-Executive-Legislative Agenda
CIDA	Canadian International Development Agency
CURE	Comprehensive and Unified Response to Eradicate Red Tape
DILG	Department of Interior and Local Government
FGD	Focus Group Discussion
IEC	Information and Education Campaign
LCE	Local Chief Executive
LFC	Local Finance Committee
LGA	Local Government Academy
LGPMS	Local Governance Performance Management System
LGRRC	Local Governance Regional Resource Center
LGU	Local Government Unit
LSB	Local Special Bodies
M and E	Monitoring and Evaluation
MBN	Minimum Basic Needs
NEO	Newly Elected Official
NGA	National Government Agency
PAHRDF	Philippines-Australia Human Resource Development Facility
QualM	Quality at Implementation Monitoring
RBME	Results-Based Monitoring and Evaluation System
RO	Regional Office
SCALOG	Systems on Competency Assessment for Local Governments
SLDR	State of Local Development Report
UNDP	United Nations Development Programme
WB	World Bank

Contents of Compact Disc



I. Electronic copy of this Resource Guidebook

II. Baseline / Evaluation Reports

1. Evaluation report of CURE Program of Candon City, Ilocos Sur
2. Baseline report of NEO Program of Negros Occidental
3. Baseline report of NEO Program Maramag, Bukidnon

Appendices of each site includes the following:

1. Results Chain
2. Evaluation Plan
3. Data Collection Tools/ Templates
4. SCALOG Color wheel for Negros Occidental & Maramag, Bukidnon

About the Toolkit

This toolkit is an output of a series of training and coaching sessions with the Local Government Academy's (LGA) Monitoring and Evaluation (M&E) Team, sponsored by the Philippines Australia Human Resource Development Facility (PAHRDF) in February to April 2010.

Fifteen members of the LGA M&E Team sharpened the use of the M&E tools introduced during training/coaching sessions. The M&E team established baseline and evaluation reports during actual field data gathering activities in three sites: Candon City, Ilocos Sur in Luzon, Negros Occidental in Visayas and Maramag, Bukidnon in Mindanao. Two capacity development programs were analyzed using the various M&E tools.

The toolkit will serve as a guide for the LGA and the Department of the Interior and Local Government (DILG) and other stakeholders in the sustained implementation of a monitoring and evaluation system of their capacity development interventions. It provides some monitoring and evaluation tools and templates for documenting and analyzing results of capacity development interventions of the LGA and DILG.

The intended users of this toolkit are the LGA technical staff, specifically the program designers and the research team as well as the Local Governance Regional Resource Center (LGRRC) in acting as the implementers of capacity development interventions of the LGA and the DILG.

The sustainable process of monitoring and evaluating the capacity development interventions of LGA and DILG involves the active engagement of many stakeholders. The LGA M&E Toolkit will hopefully be a starting point for continuous improvement of the LGA M&E process and tools.

How to use this toolkit

This material will guide you through the different steps in setting up a Results-Based Monitoring and Evaluation (RBME) System for any capacity development program. It is organized and written in such a way that the users can easily understand the different M&E concepts and immediately apply the learning through practical examples and activities.

As the mandated institution that provides training for local governments and human resource development for DILG officials, the LGA has made continuous efforts to make quality programs readily available to its clients. These programs are delivered to the local government units (LGUs) in various modes and through a range of partner institutions.

With the growing market for capacity development, a more challenging task is to make M&E truly a part of the LGA system, or at the very least, the consciousness of the program designers and implementers. Moreover, the LGA should be able to report timely, accurate and comparable data to its stakeholders, development partners and communities. With a simple and well-defined M&E framework in place, information will be more organized and utilized to understand the scale and outcome of implementation of its programs.

The LGA's current M&E efforts are limited to evaluating reactions and learning of targeted stakeholders of its various capacity development interventions. Thus, the intended outcomes of its programs are unknown. Given that the LGA is shifting its role from an implementer of training programs to an enabler/harmonizer and monitor of capacity development initiatives in the local government sector, it is but proper for the Academy to install and implement a sustainable Results-Based M&E (RBME) System. However successful LGA has been through the years, it recognizes the need to continuously monitor and evaluate the programs being offered to LGUs to determine if these interventions really respond to the needs of its clients.

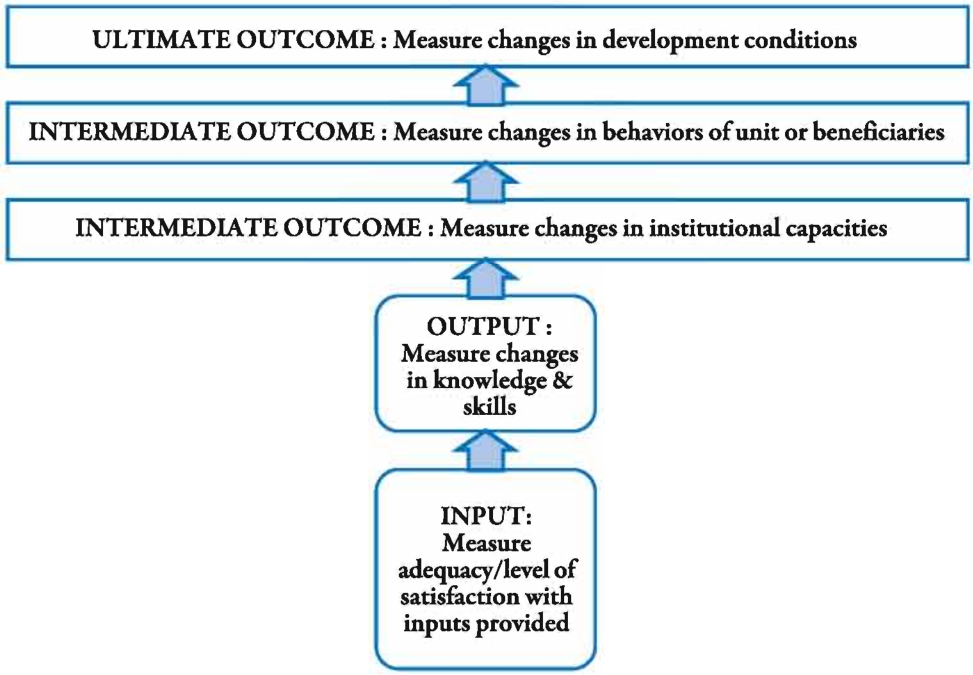
M&E definition

Monitoring and evaluation are distinct yet complementary. Monitoring gives information on where a policy, program or project is at any given time (and over time) relative to targeted results. It makes use of systematic collection of data pertaining to some indicators. It measures only progress but does not explain project performance. The intent to monitor is primarily for management's aid, and to make decisions on the program or project.

Evaluation gives information on why targeted results are being achieved or not. It gives implementers information on how the project or program performed, what was done to exceed performance, and why the program or project failed. Evaluation allows the project team to get detailed explanations on performance as it tracks accountability of performance.

The Results-Based M&E System

The RBME system follows the results-chain framework as illustrated below:



The RBME system aims to gain information on the effectiveness and efficiency of LGA's capacity development interventions and approaches provided to the LGUs. It will also help identify whether the capacity development interventions are really supportive and responsive to LGUS' needs and requirements and establish greater transparency and accountability in the generation of targeted results. With this information, LGA, through its partners in the DILG, can better provide support to the LGU's in addressing its capacity areas for improvement and enhancing its capacity areas of strength.

Traditional M&E is concerned with financial monitoring and the collection of data on inputs and outputs. In the context of RBME, a capacity development intervention is evaluated for its ability to influence changes in institutional capacities and behaviors. In terms of outcomes, monitoring the process is participatory and there is joint responsibility for doing evaluation in as much as the different stakeholders are involved. There is a shared understanding of the hierarchy of targeted results or results chain from the lowest to the highest (inputs, outputs, immediate outcome, intermediate outcome and ultimate outcome). This participatory approach ensures ownership and buy-in and enhances commitment.

The M&E context

The monitoring and evaluation of capacity development programs given by LGA and DILG is aligned with DILG's integrative framework in building local government capacities. The framework promotes the establishment of synergy implementation and evaluation of its various capacity development programs.

M&E as a process is mainstreamed in the elements of the DILG's Integrative Framework: (1) The assessment of the capacity development intervention takes place together with the assessment of the LGU performance and institutional competencies. This is critical so that different stakeholders gain a shared understanding of the accomplishments and gaps of the capacity development programs, lessons learned, factors that facilitated and hindered the attainment of the targeted results and firm up ways to improve the capacity development program. (2) This assessment becomes one of the bases for formulating the CapDev Agenda and Executive Legislative Agenda, which leads to the completion of the Comprehensive Development Plan and (3) The provision of capacity development initiatives will be done through the DILG Local Governance Resource Centers this framework is illustrated in the diagram in Figure 1.

For the assessment of capacity development interventions to be institutionalized in the LGA-DILG and LGUs, the steps and tools provided in this toolkit are discussed using examples culled from the experience of the LGA M&E team during their coaching and training sessions sponsored by the PAHRDF from February to April of 2010.

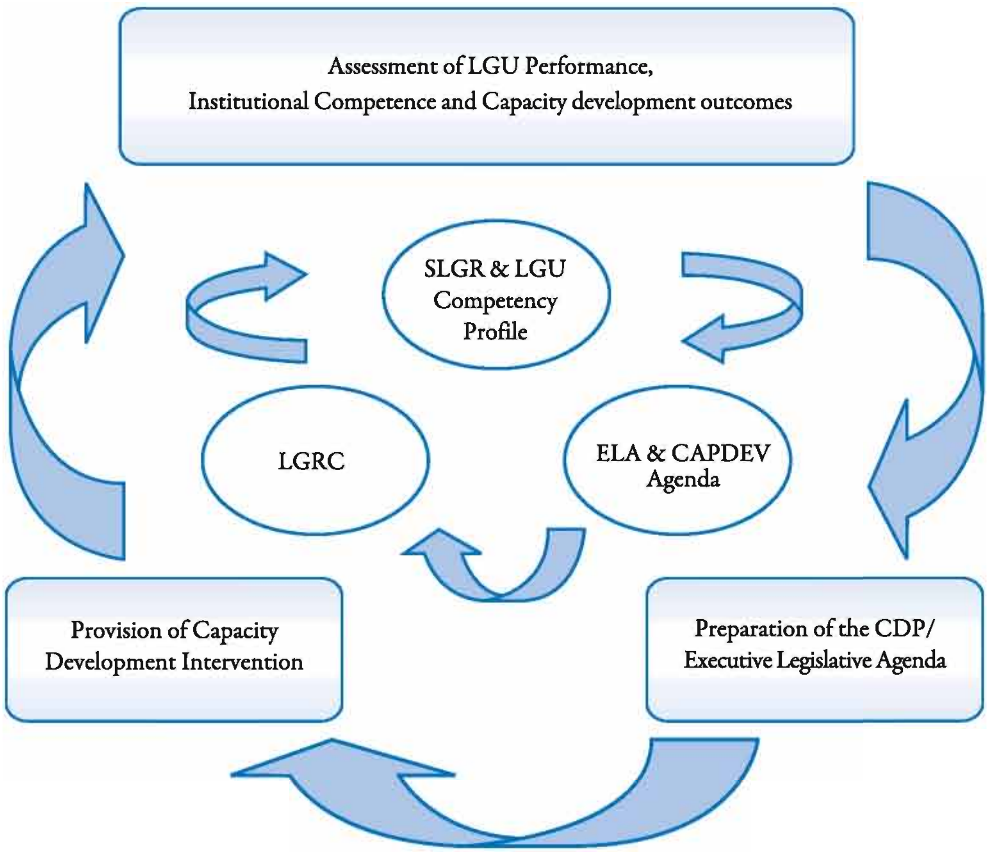


Figure 1: DILG Integrative Strategy on LG Capacity Development[2]

The M&E Process

Setting up a M&E system is done simultaneously with program designing. The M&E system, for emphasis, must be made an integral part of the capacity development process from the conceptualization to the implementation phases to ensure that observable indicators are identified and measured against the set objectives.

A 7-step approach to M&E is introduced for the LGA's capacity development program. You will be navigated through the steps by different icons and symbols that represent the following:

[2] *Ibid*

The M&E Proccess

STEPS	TOOLS	Images associated with the steps
Step 1: Map of the Targeted results	• Results Chain • Risk Register	
Step 2: Formulated the Evalutation	• Evaluation Plan • Data Collection Template for M&E	
Step 3: Monitor Capacity Development Programs	• Quality at implementation Monitoring Tool (QualM)	
Step 4: Analyze and Process the M&E Data	Appropriate statistical methods such as frequency counts, measures of central tendency, cross-tabulations, statistical hypothesis-testing procedures	
Step 5: Evaluate Capacity	Capacity Development Scorecard	
Step 6: Integrate the M&E	M&E Report based on the evaluation conducted	
Step 7: Communicate the M&E	M&E Communication Plan	

Figure 2: M&E 7-Step Approach

For a meaningful M&E system to be achieved, all stakeholders must proactively participate, take ownership and accountability at every step to be able to address their information needs. In this case, the LGA and the DILG Regional Offices shall take on the following roles and responsibilities in the implementation of the M&E system for capacity development programs:

The Local Government Academy shall spearhead the implementation of M&E activities and the adoption of systems and processes to support improvements of capacity development programs.

1. Manage the implementation of the M&E systems
2. Develop the M&E implementation plan
3. Disseminate M&E framework to all stakeholders
4. Provide capacity building related to M&E mainstreaming
5. Use and act on the M&E information
6. Prepare national M&E report

The DILG Regional Offices shall lead the implementation of M&E activities in the regional and sub-regional levels through its network of M&E focal persons.

1. Monitor and Evaluate their activities
2. Use existing systems and develop M&E sub-systems in accordance with the overall M&E framework
3. Mainstream M&E for LGA programs in the field offices
4. Use the M&E information within the institution
5. Prepare and submit consolidated reports to the LGA

Gauging the level of readiness to implement RBME system for LGA Capacity Development Programs

The ADKAR Tool can be used in assessing your level of readiness for the conduct of M&E. The questionnaire is an assessment instrument that will help you determine the support you need in the implementation of the M&E process. A sample ADKAR Tool can be found in Appendix A & Compact Disc theat goes w/ this toolkit. The elements of the assessment tool include the following:

- Awareness (A) refers to the level of understanding on the importance and urgency of the installation and implementation of an enhanced M&E system as part of the LGA's institutional capacity building process.

- Desire (D) refers to the level of willingness to be part of the team that will play a critical role in the installation and sustainable implementation of an enhanced M&E system in LGA.

- Knowledge (K) refers to the level of understanding of some basic theories and practices associated with the conduct of M&E.

- Ability (A) refers to the demonstrated ability to conduct actual M&E.

- Reinforcement (R) refers to the perceived level of support the LGA gives to its internal and external stakeholders in the conduct of its M&E function.

STEP 1:

Map Out the Targeted Results

Step 1: Map out the targeted results

The first step in RBME is mapping out the targeted results of your capacity development program.

Objectives

This step of the M&E process allows you to:

1. Provide direction as it defines the targeted results of a capacity development program/project.
2. Establish cause-effect relationships of a capacity development program/project.
3. Scope the effects of a capacity development program/project.
4. Gain consensus on the targeted results and scope of a capacity development program/project.

Output

The targeted hierarchy of results states objectives of your capacity development program. This is developed during the design/conceptualization phase of a capacity development program. This shows logical relationship of each level of results using a ladderized process. It is a product of a participatory process of analyzing the capacity development programs and agreeing on its inputs, outputs and outcomes.

Tools

1. Results Chain/Story Board
2. Risk Register

The next section presents some key points and activities involved in the completion of each tool.

The Results Chain

The Results Chain is a representation of the causal or logical relationships among inputs, outputs and outcomes of a given capacity development intervention. It provides a graphical representation of the targeted results of a specific capacity development program.

The Results Chain is divided into five (5) levels (see also Appendix 1).

Table 1: Example of a Results Chain

Levels	Hierarchy of Results	Focus	Examples
Level 1:	Input	Resources or technical assistance provided;	Orientation on First 100 Days, Training/ Seminars on NEO, Materials, P88M for the implementation of the program, and Sharing on Best LGU practices, Workshops, Capacity development Program Modules
Level 2:	Output	Tangible products or services of the technical assistance;	100 Days Roadmap, Transition Team Plan, Updated CDP-ELA, Action Plan for Replication of Best Practices, Reentry Action Plan, Provincial Development Plan
Level 3:	Immediate Outcome	Changes in institutional capacities	Improved institutional capacity to implement a specific capacity development program such as the implementation of the Anti-Red Tape Act, Sustainable Sanitation Program etc.
Level 4:	Intermediate Outcome	Changes in institutional behaviors	Improved service delivery or Improved governance
Level 5:	Ultimate Outcome	Changes in development condition	Improved social or environment or economic development condition.

Each level represents a distinct step in the causal logic policy, program, or investment. The bottom two levels in the diagram (inputs and outputs) address the HOW of an investment while the top three levels - Immediate, intermediate and ultimate outcomes constitute the actual changes or results that take place.[1]

The Results chain also gives an indicative timeline when the result will be demonstrated. For instance, immediate outcomes or improvements in institutional capacities can take

[1] *CIDA, 2009. "Results-based Management Coaching Session."*

months or years after the completion of the outputs. Intermediate outcomes or improvements in governance or service delivery, on the other hand, can take place within one term (3 years); ultimate outcomes or enhancements in development conditions can take place within one to three terms (3 years to nine years), depending on the magnitude of the capacity development program.

Remember that each level of result must be properly scoped. Example: At the ultimate outcome level, define whether the improvement in development condition is environmental, economic or social development. Specify the geographic areas where the development will occur, e.g., specific province(s), and municipalities. Specify the type of development condition that will change, e.g. economic, social or environmental condition. At the intermediate outcome level, specify the behaviors of target beneficiaries that will change, e.g. access to better health services by women in Municipalities ABC.

Figure 3 : Scopes

Description of the Process

Preparation Stage

1. Review necessary documents such as the design, objectives of the capacity development program, performance baseline level of the LGU using LGPMS ratings, CBMS, SCALOG results, Capacity development Plan of the LGU.

2. Identify stakeholders who will be involved in mapping out the levels of results.

3. Agree on a capacity development initiative that will be undertaken by DILG and/or LGA as support in the implementation of the LGU's CAP DEV Plan.

Formulation Stage

4. Determine the **major inputs** of the capacity development program, which are financial, human, material, technical assistance, and information resources.

   Examples: Guidelines, Orientation on First 100 Days, Training/Seminars on NEO, Materials, P88M for the implementation of the program, and Sharing on Best LGU practices, Workshops, Capacity development Program Modules.

5. Determine the **outputs** of the capacity development program, which are direct products or services stemming from the activities of a program or project.

   Examples: 100 Days Roadmap, Transition Team Plan, Updated CDP-ELA, Action Plan for Replication of Best Practices, Reentry Action Plan, Provincial Development Plan, etc...

6. Determine the **immediate outcome,** which is a change that is directly attributable to the capacity development intervention. This is usually short-term and represents a change in institutional capacity.

   Examples: Improved institutional capacity to implement a specific capacity development program such as the implementation of the Anti-Red Tape Act, Sustainable Sanitation Program etc.

7. Determine the **intermediate outcome,** which is a statement that describes positive changes in the way partner-beneficiaries practice /do specific actions. This constitutes a change in behavior or practice among targeted stakeholders. The intermediate outcome follows from having improved in targeted institutional competencies in one or several service areas.

   Examples: Improved service delivery or Improved governance.

8. Determine the **ultimate outcome, which** is a statement of desired state or condition that is a deliberate consequence of improved governance practices by targeted stakeholders/beneficiaries.

   Examples: Improved social or environment or economic development condition.

Graphical representation of a Results Chain as applied to the NEO (Newly Elected Officials) Program is shown on Fig 4 below.

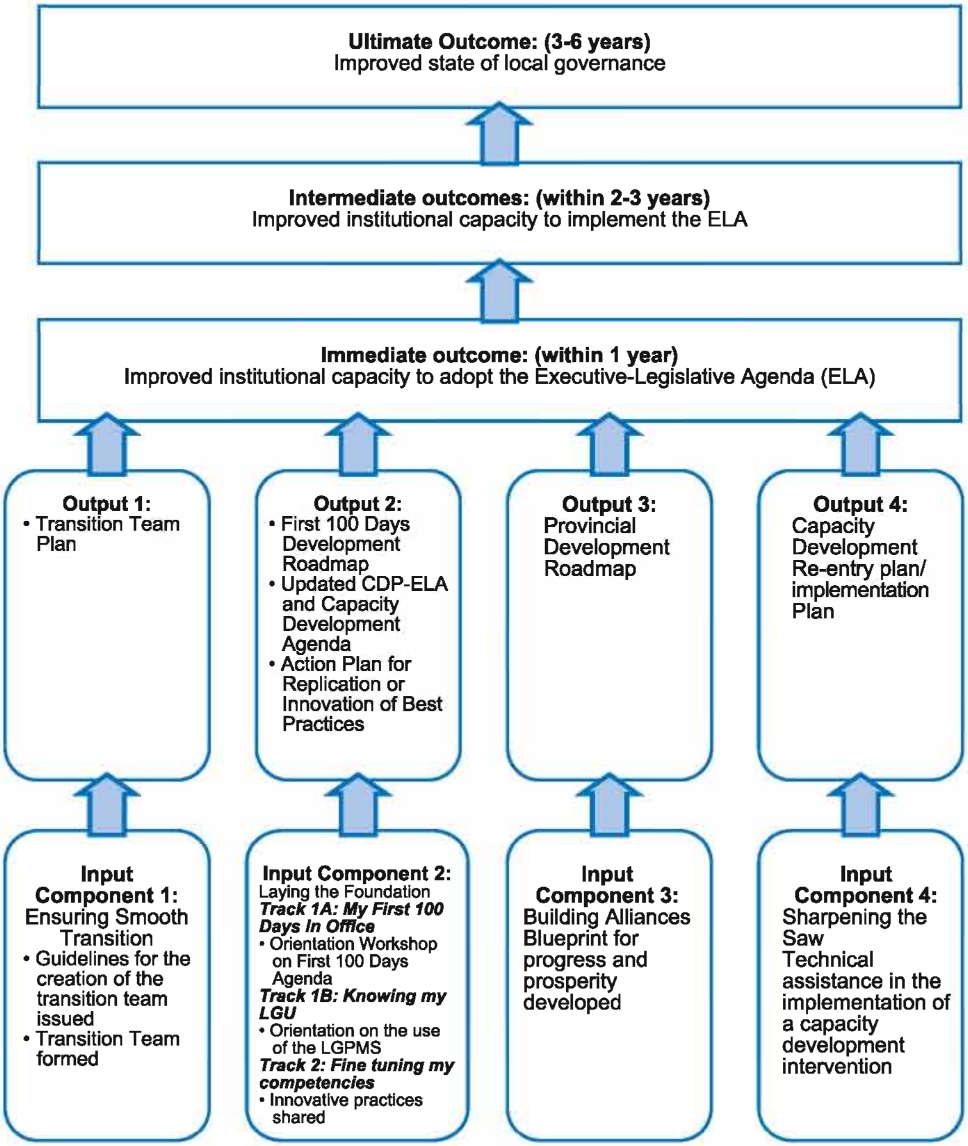


Figure 4: Results Chain applied to NEO program

Key Points

Formulating good result statements is important to effectively communicate your level of results. Here are some tips to guide you in drafting or assessing your result statements:

1. Result statement should be simply worded and contain single idea.

2. Result statement should be comprehensive.
   a. It includes an adjective and tell you - what is the type of change expected, who will be affected, where the result will occur?
   b. It can be measured.
   c. It is realistic and achievable.
   d. It is relevant.

3. There is vertical logic in the articulation of the results from the inputs to the outputs to the outcomes.

4. The result statement should clearly specify changes in institutional capacity (immediate outcome level), changes in behavior of target groups (intermediate outcome level) and changes in condition of specific communities (ultimate outcome level).

5. Results statement should be drafted in an inclusive, participatory fashion.
   a. There is participation of both male and female stakeholders involved in the project e.g. DILG, LGA, LGUs, maler & femaler.
   b. There are mechanisms for participation in the design and decision making throughout the life cycle of the capacity building process.

6. Results statement is accurate.
   a. Tap subject matter specialists in the team.
   b. Refer to existing documents to assess logic of results statements.

7. It is feasible: Results can be realistically achieved within a specific time frame.
   - Ultimate outcome: 3-6 years
   - Intermediate outcome: 2-3 years
   - Immediate outcome: within 1 year from assumption of office

Let's apply!

Formulate a results chain on one program/project in your Capacity development Agenda.

- Identify all the inputs provided.
- Determine the desired outputs to be produced.
- Formulate the outcomes (immediate, intermediate and ultimate) you aim to achieve.
- Map out these levels of results using the Results Chain Template. (Appendix B)

Risk Register

A tool that can help you scope the results chain of your capacity development program during its design phase is the risk register. Example: If funding sourcing will be a constraint, this is a serious consideration for limiting the geographic scope of the project.

The elements of the Risk Register include the following: [2]

- Risk definition indicates the key risks to the project.
- Risk level establishes the intensity of the risk.
- Risk mitigation strategy gives a brief summary of the risk response strategies that will be used to manage the risk or to prevent a risk event.
- Risk owner indicates the owner of the risk, which varies according to the person that actually has to deal with a given risk event.

Table 2 : Example of a Risk Register

Risk definition	Intensity	Mitigation needed	Risk owner
Operational			
LCEs will not finish the targeted outputs on time	High	Provide coaching sessions to LCEs to ensure completion of the targeted outputs on time	LGRC
Stressed relationship with some major LGU Leagues	High	Conduct of alliance/team building workshop enhancing relationships to foster future with the leagues with the end view of partnerships and joint ventures	LGA & Leagues
Passive participation by LGUs in capacity building initiatives	High	Organize regular national forums, conferences, workshops as a venue to connect and link at all levels	LGA & Leagues

See Appendix C for the Risk Register template.

[2] *CIDA, 2009, "Results-based Management Coaching Session."*

Types of Risks

- **Operational risks** have potential impact on the program's or project's ability to operate effectively and efficiently.

> ***Examples:***
>
> ***Human resources:*** fast turnover, inadequate experience, no performance assessment in place, lack of required competencies, inadequate training, lack of required number of personnel
>
> ***Performance management:*** unclear roles and responsibilities, unrealistic expectations of results, weak reporting on results, no performance metrics installed
>
> ***Contractual instrument:*** unstable banking system, deficient instrument design, missing clauses, reporting obligation

- **Financial risks** refer to the potential impact on the program's or project's ability to properly protect public funds. have potential impact on the program's or project's ability to operate effectively and efficiently.

> ***Examples:***
>
> ***Funding:*** Inadequacy of funding, inability to disburse, delays in release of funds, weakness in procurement
>
> ***Fiduciary:*** Poor financial management capacity, inadequate value for money, poor procurement capacity, corruption
>
> ***Contractual instrument:*** unstable banking system, deficient instrument design, missing clauses, reporting obligation

- **Development risks** are those that have potential impact on the project's ability to achieve expected development results.

> ***Examples:***
>
> **Strategic direction**: Lack of direction and leadership, unclear policy, problems of coherence with partners and donors, weak coordination with partners
>
> **Socio-cultural, security, economic, conflict and governance**: Unstable political regime, gender biases that limit women's participation, lack of security, inappropriate policy framework
>
> **Institutional capacity**: lack of capability to-- commit and engage, carry-out technical service delivery and logistical tasks, relate and attract resources and support, adapt and self-renew, balance diversity and coherence
>
> **Natural disasters**: Climate instability, environmental vulnerability, lack of disaster management planning

- **Reputation risks** are those that have potential impact on the project's ability to maintain the confidence of its stakeholders regarding fulfilling its mandate.

> ***Examples:***
>
> **Inability to produce results, unresolved expectations on the part of the public, risk of missing an opportunity to build a positive reputation by communicating a success, values and ethics risks, weak communication strategy**

Description of the Process

Preparing the Risk Register

1. Identify risks for each category of operational, financial, development and reputation.

2. Decide on the risk level or intensity of the risk: 1-low and 4-high.

3. Identify risk response strategy/ies.

4. Identify the risk owner.

Table 3: Example of a Risk Register as applied to the NEO Program			
Risk definition	**Intensity**	**Mitigation needed**	**Risk owner**
Operational			
LCEs will not finish the targeted outputs on time	High	Provide coaching sessions to LCEs to ensure completion of the targeted outputs on time	LGRC
Stressed relationship with some major LGU Leagues	High	Conduct of alliance/team building workshop enhancing relationships to foster future with the leagues with the end view of partnerships and joint ventures	LGA & Leagues
Passive participation by LGUs in capacity building initiatives	High	Organize regular national forums, conferences, workshops as a venue to connect and link at all levels	LGA & Leagues
Development			
Major political, social, in the country and preparing environment destabilization will affect sustained stakeholder support to the program	High	Regular monitoring of political, social, economic, environmental conditions in the country and preparing the required mitigation strategies	BLGS, LGA, DILG-Regions
Major changes in leadership in the DILG	High	Provide key DILG Officials and partners with more participatory role	BLGS, LGA, DILG-Regions
Non-implementation of projected plans due to weakness of political will of the leadership	High	Convene regular dialogue with major stakeholders	LGA
Financial			
Funding requirements for the nationwide implementation of the NEO program is not adequately provided	High	Secure funding from donors to augment fundingsource for the nationwide implementation of the NEO program	LGA
Reputation			
Limited absorptive capacity of the NEOs	High	Provide continuing education and capabilitybuilding packages	LGA, Leagues & DILG-Regions
Level of LGRRC readiness to provide a role of a program manager.	High	Support existing initiatives that focus on building the capacities of LGRRCs and orientation of key LGRRC members on the NEO Program	LGA & DILG-Regions

Key Points

1. Risks should be identified for each level of the results chain.

2. This tool is also used during monitoring and evaluation phases of a project management process. It is critical to monitor whether the risks are mitigated as conceived during the design phase. It is possible that unanticipated risks will emerge in the course of implementation of a project. Emerging risks will likewise have to be identified and mitigated.

3. Use the risk register to check the scope and validity of your results chain.

Let's apply!

Formulate a risk analysis on one program/project in your capacity development Agenda, preferably the one, which you map out the levels of results in the Results Chain exercise.

Check or validate the scope of your results chain by doing this tool.

a. Identify at least two risks for each category of operational, financial, development and reputation.

b. Decide on the risk level or intensity of the risk: 1-low and 4-high.

c. Give a brief summary of the risk response strategy/ies.

d. Identify the risk owner.

STEP 2:

Formulate the Evaluation Plan

Step 2: Formulate the Evaluation Plan

After establishing the desired results of the capacity development project, the next step is to come up with a structured plan to systematically collect data on performance information. The step provides an overview of the elements of an evaluation plan, which is used as basis in assessing progress and/or success towards achieving project, program or organizational results.

Objectives

This step of the M&E process allows you to provide details on the targeted results of the capacity development program as it:

- Identifies the major elements of the evaluation plan.
- Describes performance indicators.
- Discusses the different data collection techniques and their advantages and disadvantages.

Output

The output of this step is an Evaluation Plan, a structured plan for the evaluation and analysis of performance information over the lifetime of a project. It serves as a guide to assess and demonstrate progress made in achieving expected results. It documents the major elements of the M&E system and ensures that performance information is collected on a regular basis.

The Evaluation Plan Template

The Evaluation Plan Template has the following elements:

1. Hierarchy of targeted results presents the hierarchy of objectives of a project categorized into ultimate outcome, intermediate outcome, immediate outcome, output and input. This is culled from the Results Chain discussed in Step 1 above.

2. Performance indicators are what you will use to measure results. A performance indicator is a quantitative or qualitative unit of measurement that specifies what is to be measured along a scale or dimension but is neutral; it does not indicate a direction or change nor embed a target.

3. Operational definition provides clarification on the performance indicator.

4. Baseline data refers to qualitative or quantitative information gathered before commencement of a project or program.

5. Performance target identifies the desired direction and magnitude of change in the performance indicator as a result of the project after a certain period of time.

6. Data sources refer to organizations or individuals that can supply the needed data for the performance metric.

7. Data collection method refers to how data will be collected.

8. Persons responsible identify the person/s or unit/s in the project or within the organization that will have responsibility for collecting data for the performance indicator.

A sample of the Evaluation Plan format showing these elements is shown in the table below. Also see Appendix C.

Table 4: Data Collection Template for M&E

Hierarchy of targeted results	Performance Indicators	Operational Definition	Baseline Data	Performance Target	Data Sources	Data Collection Method	Persons Responsible
1	2	3	4	5	6	7	8
Ultimate outcome							
Intermediate outcome							
Immediate outcome							
Outputs							
Inputs							

Designing the Evaluation Plan

Formulating the Evaluation Plan entails a participatory, consultative and analytical process. Getting the agreement of key stakeholders on critical elements of the plan, particularly on performance indicators and targets, helps establish accountability for project performance and success. A participatory approach also assists in mobilizing the support of both users and producers of M&E information in the sustained implementation of M&E activities. The preparation of the evaluation plan also utilizes analytical procedures, such as in formulating performance measures and in designing data gathering methodologies.

The following are the key activities involved in this Step:

1. Determine for whom we are conducting the evaluation

It is important to know for whom we are conducting the evaluation. This involves identifying the target audience and the performance information relevant to them. The target audience should be identified at the onset as this will greatly influence the way the evaluation will be conducted.

2. Decide What to Evaluate

The next step is to decide what to evaluate and what the purpose of the evaluation is. Given the many possible areas to be evaluated, it is necessary for the evaluator to decide which will give the most information. Answering the question "What do we want to know?" thus defines the focus areas of the evaluation.

3. Formulate Key Evaluation Questions

To be an effective evaluator, one must learn to formulate questions related to what is being evaluated. According to Michael Tovey, "Questions serve as guide for evaluators to learn, discover, check, reflect and validate the information gathered." Some typical evaluation questions could be:

- Were the goals of the NEO program achieved?
- Have planned outputs been accomplished?
- Were project activities implemented efficiently?
- Are initial gains of the NEO program likely to be sustained?
- What aspects of the NEO program should be continued?

4. Formulate performance indicators

After defining the evaluation purpose and questions, the next task is to formulate the performance indicators. Performance indicator is defined as "a specific and objectively verifiable measure of change results brought about by an activity." It is used as markers of progress towards reaching objectives. Indicators are an essential part of monitoring and evaluation because they are what you measure and/or monitor. Indicators make you ask and answer the questions such as: who, how many, how often, and how much.

In the context of a capacity development project or program, performance indicators can be categorized into the following:

Input indicators provide information on the quality, quantity, timeliness, relevance and adequacy of inputs provided by the project or program;

Output indicators provide information on the quality, quantity or timeliness of outputs produced by the capacity development program.

Outcome indicators at the *immediate level* provide information on the changes institutional capacity directly attributable to the project or program.

Outcome indicators at the *intermediate level* provide information on the changes in behavior of targeted beneficiaries.

Outcome indicators at the *ultimate level* (or impact indicators) provide information on the changes in state or condition of the target beneficiaries.

The SMART Criteria of a Good Performance Indicator

Specific. Generalized statements are not acceptable, what is to be measured should be clearly specified.

Measurable. Indicators should be measured in quantitative or qualitative terms.

Attributable. Achievement of the target should be attributable to the capacity development intervention (partially at the ultimate and intermediate outcome level).

Relevant. Indicator should be relevant for the activity chain.

Time bound. Due date for target achievement should be specified.

Figure 5: SMART Table

Operational Definition

This item provides further description of the performance indicator. It can be in the form of a formula or a subjective description. Operational definition provides clarity of understanding of the performance indicator and avoids any misunderstanding of the measure. It thus contributes to data stability and validity.

Table below shows selected performance indicators, and their respective operational definition of the Project NEO, using the results chain discussed in Step 1.

Table 5: Sample Evaluation Template showing the Performance Indicators and Operational Definition for NEO Orogram

Hierarchy of targeted results	Performance Indicators	Operational Definition
Ultimate outcome • Improved state of local governance (Within 1 term)	• Rating in SLGR - Social Governance	• Mean rating in Social Governance into 4 areas of performance as defined in the e-SGPR, these are support to housing and basic utilities, education services, peace, security and disaster risk management and health services
Intermediate Outcome • Improved institutional capacity to implement a specific program captured in ELA (Within 2-3 years)	• Rating in SCALOG's organization and staffing	• Presence of a full time officer or offices and personnel delivering the PPAs captured in ELA
Immediate outcome • Improved institutional capacity to adopt the ELA (within 1 year)	1. Capacity attributes of adoption	ELA is adopted if: • There is executive sponsorship meaning ELA has been approved by the SP/SB; adopt the ELA (within 1 year) • Budget has been appropriated for the prioritized programs and projects articulated in ELA • EO has been formulated integrating the prioritized PPAs in the regular work and financial plans of the various departments
Outputs First 100 days Roadmap Includes the following: • Transition team Plan completed	Quality of the 100 days Development Roadmap	The 100 Days Roadmap has good quality if: • Actions required under Transition Phase are present • **Policy and documents reviewed:** Review of RA 7160 and other relevant policies for familiarity on tasks and deliverables • **Transition team organized**
Inputs *Components 1 and 2:* the DILG is effective if: • Program design • Instructional materials • Funding support	Effectiveness of Component 1: Ensuring Smooth Transition of the NEO program	Technical assistance provided by 1. program objectives were achieved 2. adult learning methodologies were employed 3. adequate learning materials were provided

5. Establish the Baseline Data

Baseline data is the first measurement of an indicator. The baseline is used as a starting point or guide in which to monitor future performance. Establishing baseline data is useful in that it: a) informs decision makers about current circumstances before embarking on projecting targets for a given program, policy or project, and b) provides the evidence by which decision makers are able to measure subsequent policy, program or project performance.

6. Set Performance Targets

Performance targets refer to the desired direction and magnitude of change in the performance indicator as resulting from the project after a certain period of time. Setting of these targets can be based on "political priorities, community and customer priorities and concerns, previous performance, comparison with other organizational units and external comparison." Below is a sample performance target:

Performance Indicator	Baseline Data	Performance Target
Processing time of frontline service - in the issuance of Business Permit and License	7 days	Reduction in processing time to 5 days

7. Identify Data Sources

Data sources are those that provide information for measuring the attainment of desired results. Data sources can be primary or secondary. Primary data are collected directly by the project organization through surveys, interviews, and/or direct observation. Secondary data have been collected by other outside organizations, and are gathered for purposes other than those of the organization concerned.

Table 6: Difference between Qualitative and Quantitative Data	
Qualitative Data	Quantitative Data
• Deals with descriptions. • Data can be observed but not measured. • Qualitative — Quality • Samples - Adequacy and sufficiency of expert inputs; coaches' level of readiness to cascade knowledge to LGUs	• Deals with numbers. • Data which can be measured. • Quantitative — Quantity • Samples - Number of LGUs provided with technical assistance; Percentage compliance of Citizens' Charter to Anti-Red Tape Law requirements

http://regentsprep.org/REgents/math/ALGEBRA/AD1/qualquant.htm

There is a strong preference for using established sources of data from government e.g. LGPMS, CBMS. If and when appropriate, strengthening existing or building new data collection systems may also be done by the project.

As a reminder, there are many data resources that are begging to be used. It is not wise to spend time collecting information that is already available.

Pros and Cons of Using Secondary Data

There are pros and cons associated with the use of secondary data. Secondary data can be more cost efficient. Secondary data may also be used in instances when it is not practical or possible to collect primary data as in the case of large scale and expensive household surveys.

However, secondary data must be used with caution. Secondary data have been gathered with other organizations' goals or agenda in mind. The accuracy and reliability of existing data need to be carefully examined prior to their use.

Essential Questions in Using Secondary Data

- How was it collected? What methods were used?
- Who collected the data?
- What was the frequency of the data collection?
- What training/s was/were given to the data collector/s?
- What quality checks were carried out?

Figure 6

8. Choosing Data Collection Methods

Primary Data Collection Techniques

There are three general categories of primary data collection techniques - formal, informal and rapid appraisal.

Table 7: Comparison of Data Gathering Techniques			
	Formal Methods	***Informal Methods***	***Rapid Appraisal Methods***
Description	• Well-structured and collects in-depth information	• Involves informal observations and conversations with target respondents/ beneficiaries	• Quick ways to gather the views and feedback of beneficiaries and other stakeholders
Pros	• High validity and replicability • Often used to gather data on large population	• Cheap and easy but usually not sufficient	• Fairly cheap • Reasonably accurate • Can be broad or narrowly focused
Cons	• Often narrowly focused • Can be expensive	• Objectivity and validity issues • Don't discount this information but validate it	• Not always easy to repeat • Not usually useful for collecting data that can be used to talk about a large population
Examples	• Large scale surveys • Case studies	Casual and unstructured observations and conversations	• FGD • Key Informant Interview • Direct Observation • Mini Survey

Source: CIDA RBM Toolkit

For capacity development projects or programs, rapid appraisal is normally used. In this regard, Table 8 provides further details on the rapid appraisal techniques. To illustrate how rapid appraisal techniques were applied in the evaluation of a capacity development project, the case of Project CURE is documented and shown in Table 9.

Table 8: *Rapid Appraisal Methods of Data Collection*

Interview Methods

- Primary purpose is to generate perceptions, opinions regarding project design, implementation or results
- Qualitative information is sufficient or will be supplemented by quantitative data
- Quantitative data already exist and context and other qualitative data are needed to interpret it
- Develop ideas and hypotheses that will help us frame questions for surveys and other formal studies
- Can be further categorized into: key informant interview, focus group discussion, community group interview

Key Informant Interview

- A key informant is a well-regarded expert or very knowledgeable person who can answer many of the questions in a topic of interest
- Involves exploratory, open-ended questions that require more than yes-no answers
- Interviews are qualitative, in-depth, and semi-structured
- Uses interview guides that list topics or questions

Focus group discussion (FGD)

- Facilitated discussion among 5-12 carefully selected participants with similar backgrounds
- Guided by a set of structured questions/discussion guides
- Presence of a skilled facilitator and documenter/note taker

Community group interview

- A series of questions and facilitated discussion in a meeting open to all community members (e.g. town hall meetings)
- Interviewer follows a carefully prepared questionnaire.
- Requires a great note taker

Direct observation

- Use of detailed observation form to record what is seen and heard at a program site. The information may be about ongoing activities, processes, discussions, Social interactions, and observable results
- Useful in understanding easily observed physical conditions or facilities
- When direct information is needed
- When interested in understanding interactions between people or on-going behavior and processes
- Can be structured (checklist) or unstructured

Mini Survey

- A systematic collection of data from a small sample of respondents, either self-reported or via interviewer or observer http://www.decisionanalyst.com/glossary/sglossary.dai

Source: World Bank, Ten Steps to RBME

Table 9: Data Collection Techniques: The Experience of Project C.U.R.E. in Candon City		
In 2009, the DILG implemented the Project C.U.R.E. an intervention to help LGUs comply with the Anti-Red Tape (ARTA) Law requirements. Launched in November 2008, the project is comprised on three components - LGU Orientation, LGU Capacity Building and Citizens' Feedback, all of which are geared towards improving LGU efficiency and effectiveness in delivery of public goods and services. After a year of implementation, a pilot evaluation on the project's effectiveness was conducted. The evaluation was focused on one LGU -- Candon City, which is one of the local government units that have successfully crafted and implemented their Citizens' Charter and other Anti-Red Tape (ARTA) Law requirements. Having determined Project C.U.R.E.'s performance indicators along the different levels of results, data collection methods and data sources were then identified as follows:		
Result	**Performance Indicator**	**Data Collection Method**
Intermediate outcome ***Improved state of local governance.***	Presence of billboards posted in conspicuous places	• Direct observation of billboards depicting frontline service transaction details ie. steps in availing frontline service, requirements, fees, transaction time, persons responsible, etc.
	Actual processing/ transaction time to complete a frontline service	• Direct Observation of actual frontline service transaction • Interview with clients immediately after completion of frontline service availment
	Percentage of locally sourced revenue to total LGU revenue	• Review of the LGU Financial Reports
	Level of customer satisfaction on frontline service	• Interview with clients immediately after completion of frontline service availment • Mini-Survey with a small number of frontline service clients, using a questionnaire on level of satisfaction on frontline service availed
Immediate outcome ***Improved institutional capacity of LGUs to implement the ARTA***	Presence of Citizens' Charter	• Review of the Citizens' Charter (printed manual)
	Presence of other ARTA prescribed service mechanisms	• Direct Observation of the different mechanisms i.e. presence of help/assistance desks, special lanes, working schedules, etc.
Outputs ***Technical assistance provided to LGUs***	LGU level of satisfaction on technical assistance provided by DILG LGOO	• Focus Group Discussion with members of the Citizens' Charter Task Force and Technical Working Group
Input ***Resource Persons***	Adequacy and appropriateness of expert inputs	• Key Informant Interview with City DILG Officer and Provincial ARTA Coach • Focus Group Discussion DILG Provincial ARTA Coaches

The preparation of a data collection template is usually helpful in actual data gathering (Appendix P). An example of this is shown in the table below.

Table 10: Data Collection Template for M&E	
Measure	Level of satisfaction of LGUs to DILG technical assistance (with coaching as a learning methodology)
Formula	Based on a rating scale of 1 to 5: 5 - very satisfied 4 - satisfied 3 - somewhat satisfied 2 - dissatisfied 1 - very dissatisfied
Operational Definition/ clarifications	Technical assistance provided by the DILG is effective if: 1. Program objectives were achieved 2. Adult learning methodologies were employed 3. Adequate learning materials were provided
Data Sources	LGU staff who were direct recipients of the TA services from DILG
Baseline	3 (Year 2008)
Target	5 (Year 2010)
Actual Data	4 (Year 2009, at the time of the evaluation)
What are the areas for improvement?	• Mode of transfer of information should come directly from experts/resource person • First hand information from the resource person is more effective

9. Identify Persons Responsible

Identifying the responsible persons for every step of the M&E process is a key component to a successful M&E system. As already mentioned, a successful M&E system involves a participatory and transparent process. In this regard, the assignment of responsibility for each of the M&E tasks should be clearly understood by concerned units or individuals. Moreover, the individuals or units assigned with M&E responsibility should be provided with adequate authority and resources to be able to carry out their assigned tasks effectively. Some considerations in defining M&E roles and responsibilities include the following:

- Who will collect the data?
- Who will analyze the data and prepare the performance information?
- Who will present the performance information to stakeholders? When?
- Who will have decision-making authority based on performance?

A completed evaluation plan matrix of the NEO Program is presented in Appendix P.

Key Points

1. The evaluation plan process should involve the participation of key stakeholders of a project.

2. Performance indicators measure the progress and achievement of project results at the outcome (ultimate, intermediate and immediate), output and impact levels.

3. Formulation of performance indicators involves an iterative and consensus building process.

4. In RBME, it is important to always collect baseline data upon commencement of the project or program.

5. The use of a mix of data gathering tools is always useful to ensure data consistency and reliability.

Let's Apply

Now you are ready to formulate your own Evaluation Plan! The following questions will guide you in coming up with the elements of your Evaluation Plan.

1. Based on the Results Chain for the capacity development program you identified in Step1, what is a good measure/s of each of the results in the results chain?

2. How would you describe the set of conditions existing at the onset of the capacity development program? Are baseline data available for each of the performance indicators in the results chain?

3. Where are data for the performance information obtained? Who can supply the data needed for the performance indicator?

4. Who are responsible for collecting, documenting and analyzing the performance data?















STEP 3:

Monitor Capacity Development Program

STEP 3

Step 3: Monitor Capacity Development Programs

After the formulation of the Evaluation Plan and completion of data gathering activities using the Data Collection Template both of which are discussed in Step 2, you are now ready to monitor the capacity development program. In this step, one type of monitoring tool, the Quality at Implementation Monitoring Tool is introduced that shows progress on how the program is being implemented.

While conducting implementation monitoring, the risks identified in Step 1 are likewise monitored and managed to prevent risk events. A detailed discussion on the Risk Register, which lists the different types of risks is included in Step 1.

Objectives

This step of the M&E process allows you to:

- Obtain data for the different performance indicators enumerated in the Evaluation Plan and Data Collection Template.
- Identify and document lessons learned, actions taken to address issues and enhance areas of strength.
- Identify the reasons for success or failure of the capacity development implementation strategies.
- Identify approaches to continuously improve the program/project.

Output

The output of this step is a Progress Monitoring Report.

Tool

The tool to be used for the monitoring of capacity development programs is the Quality at Implementation Tool (QualM).

Description of the Process

The QuaIM tool presents quarterly performance data and summarizes cumulative results on capacity development program implementation. It also shows the progress or status of the program or project vis-à-vis attainment of the targeted results. The QuaIM Tool is submitted on a quarterly basis together with the Risk Register. The QuaIM tool has two (2) parts, namely:

- Part 1 summarizes the performance of the program or project for the quarter.
- Part 2 presents insights of the M&E Team on some points for reflection.

Part 1 of the QuaIM tool is accomplished by doing the following:

1. Column (1): The hierarchy of targeted results is culled from the Evaluation Plan.
2. Column (2): Reflect the corresponding performance indicators for each level of the hierarchy of targeted results.
3. Columns (3) and (4): Reflect the baseline data and target from the Data Collection Template.
4. Columns (5) to (7): Fill-in actual quarterly data obtained during the monitoring periods.
5. Column (n):This is the last quarter prior to program/project completion.

Table 11: Sample Part 1 QuaIM Template

Hierarchy of targeted results	Indicators	Baseline data	Target	Quarter 1 Data	Quarter 2 Data	Quarter 3 Data	Quarter n Data
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(n)
Ultimate outcome							
Intermediate outcome							
Immediate outcome							
Outputs							
Inputs							

Part 2 of the QuaIM Tool (Appendix E):

While completing Part 1, you will also accomplish Part 2 of the QuaIM Tool, which presents the insights of the M&E Team on the following points for reflection:

- **Areas of strength of the Agency:** Outlines the demonstrated areas of strength of the agency for the quarter/semester/year in the implementation of the program or project.
- **Challenges of the Agency:** Refers to the three biggest challenges in the completion of a given program or project for the quarter/semester/year.
- **Actions taken:** These are significant actions that have been taken to address the challenges for the past quarter /semester/year.
- **Results of actions taken:** These are the results of the actions taken to address the challenges for the quarter /semester/year.
- **Support requirements:** Refer to the support needed from other stakeholders or partner agencies to advance the implementation of the program or project for the quarter/semester/year.
- **Lessons learned:** These are the specific lessons learned for the quarter /semester/year in the implementation of the program or project.
- **Continuous improvement initiatives on the program/project:** This refers to the areas for improvement of the program or project that should be implemented for the next quarter.

Table 12: Sample Part 2 QualM Template	
Points for reflection on Project CURE	***Insights on the project for the quarter/semester/year***
Areas of strength in the implementation of the ARTA	• Participation/involvement of all department heads and staff in crafting the CC • Supportive LGU • Accessibility of the frontline services
Areas for improvement in the implementation of the ARTA	• Strengthen customer feedback mechanism • Map out a communication plan for clients to popularize the CC • Organize a core group to oversee the M&E of the implementation of CC and ARTA • Enhance CC for consistency in the processes and procedures contained in the CC • Use baseline data as bases for continuous improvement in frontline service delivery • Agree among the process owners on the end to end turn around time for each transaction • Increase budget allotment for ARTA implementation
Challenges of the LGU *The three biggest challenges in the implementation/completion of the CURE project.*	• Communication Plan will require Php amount for its sustained implementation; no budget has been allotted for IEC development
Actions taken *What are specific actions taken to address the challenges?*	• Propose for the creation for a task force to oversee the implementation of ARTA task force to formulate a Communication Plan • Propose for Budget allocation
Results of actions taken *What were the results of the actions taken to address the challenges?*	• Note: proposals already submitted to the LCE
Support requirements *What support is needed from other stakeholders and partner agencies to advance the implementation of the project forward for the next quarter?*	• Formulate an EO for the creation of the Core Group in the implementation of ARTA
What support did the LGA/DILG provide?	• Technical assistance in the formulation of the CC • Advocacy activities during barangay assembly
Lessons learned *What are specific lessons learned in the implementation of the project?*	• Involvement of all stakeholders in the crafting of Citizen's Charter
Continuous improvement initiatives on the project *Identify areas for improvement of the project that should be implemented in the next quarter.*	• LGU has plans to improve the service delivery on BPLS

Key Points

- The Points for reflection in Part two of the QuaIM tool can be changed/revised accordingly depending on the need of the program/project.

Let's Apply

You are now ready to complete the QuaIM Tool. The following documents must be ready for your reference: Evaluation Plan, Data Collection Template, and Risk Register.

1. Complete Part 1 template
2. For Part 2, enumerate the insights for each Point for Reflection

STEP 4:

Analyze and Process the M&E Data

STEP 4

Step 4: Process and Analyze the M&E Data

After collecting monitoring and evaluation data, the next task is to process and analyze the data into useful performance information. Ideally, a plan to process and analyze data is prepared as part of the evaluation design phase as this would facilitate the development of the data gathering instruments as well as data encoding and processing. This step normally takes time, especially if it involves large-scale surveys, and the lack of a well thought-out data processing design could result in delays in the completion of the evaluation and the release of the evaluation results.

Objectives

This step of the M&E process allows you to define the basic concepts and procedures required for analyzing qualitative and quantitative data.

Output

The step ends with a set of processed data, or performance information. These will then be used as basis for the next step of the M&E process, that is, to assess and rate overall performance and draw conclusions and recommendations.

Data Analysis Process

The data analysis process consists of the following steps:

1. Make an inventory of all data available for each evaluation question or objective. This is especially important if the data required has been collected using different data collection tools.

Example:

Data sources for Evaluation Objective 'Determine the effectiveness of the program outputs in enhancing the planning capacity of the LGU":

- Questionnaire for the LGUs
- Focus group discussion with LGU department heads who participated in the program
- Document review notes

Such an inventory will help you to better organise data analysis and, later, report writing.

2. Identify qualitative and quantitative data

Analysis of data differs between qualitative and quantitative data. Simply defined, quantitative data are expressed in numbers while qualitative data are expressed in words.

For capacity development programs, quantitative data may come from surveys, accomplishment or project reports, monitoring reports, among others. Qualitative data may be collected through open-ended questions in self-administered questionnaires, in individual interviews or focus group discussions or through observations during fieldwork.

3. Process and analyze quantitative data

Analysis of quantitative data involves the production and interpretation of frequencies, tables, graphs, etc., that describe the data. Depending on the volume of available data and specific research objectives, quantitative analysis may also involve the use of statistical hypothesis-testing procedures.

Frequency counts. A frequency count refers to how often a certain measurement or a certain answer to a specific question occurs.

For example, on the number of training participants, by sex

Male Participants	51
Female Participants	93
Total	144

If numbers are large enough it is better to calculate the frequency distribution in percentages (relative frequencies): 51/144 x 100 = 35% male and 93/144 x 100 = 65% female.

Measures of Central Tendency. These are used to estimate of the "center" of a distribution of values or to represent the "typical" response or value from the data set. There are three main measures of central tendency:

The mean is what we commonly refer to as the "average", which we compute by dividing the sum of all the scores by the total number of respondents.

The median is the number or value that would be in the middle of the list or array if all the scores from the dataset were to be arranged from highest to lowest.

The mode represents the most frequent observation. This is the value that received the highest frequency count.

For example, on the overall satisfaction with LGU service units

Respondent ID	Overall Satisfaction Rating
A	1
B	4
C	2
D	4
E	2
F	4
G	5
H	5
I	3
J	4
K	4
Total respondents: 11	

Measures of Central Tendency:
(1+4+2+4+2+4+5+5+3+4) / 11 respondents — **MEAN** = 3.45
[1,2,2,3,4,4,4,4,4,5,5] — **MEDIAN** = 4

4 is the most frequent rating (5 out of 11 responses) —**MODE** = 4

Cross-tabulations. Cross tabulations involve combining information on two or more variables to further analyze the data. Typically, these are used to show the differences in frequency counts between groups. Example: Relate competency level (ADKAR) to years of service in the organization. (Here, you will be comparing respondents - grouped by years of service, in terms of how many from each group gave ratings of 5, 4, 3, 2, and 1).

Competency Rating	Years of Service				
	1	2	3	4	5
5					
4					
3					
2					
1					

A plan for data analysis, even if the data is not yet available, should be prepared at the start of the evaluation. Dummy cross-tabulation tables may be constructed to visualise how the data can be organised and summarized. A DUMMY TABLE contains all elements of a real table, except that the cells are still empty.

Statistical hypothesis-testing procedures. These are used to further analyze and interpret data. This is especially applicable in large cross-sectional surveys and in comparative studies. Statistical tests indicate whether differences in the results for a particular variable between different groups are true differences or due to chance. The tests indicate whether these differences can also be expected in the population as a whole. In other words, the tests are used to determine whether we can generalize the findings from the sample to the larger population. When conducting such studies it is advisable to consult a person with knowledge as early as in the evaluation design phase.

4. Process and analyze qualitative data

Qualitative research techniques are normally employed to obtain insight into certain situations or problems where the evaluators have little knowledge. Evaluations of social policies and programs often use qualitative research to describe program implementation, understand the experiences and perspectives of program staff and clients, and explain, illustrate, amplify, or qualify findings from quantitative research.

Qualitative data gathering usually produces a substantial number of pages of written text that needs to be organized and analyzed. Often it is useful to summarize qualitative data in compilation sheets, diagrams, flow-charts, or matrices. While it is widely held that analysis of qualitative data is a personal process, with few rigid rules and procedures, the following steps (which do not significantly differ from quantitative data analysis) are still applicable:

1. Describe the sample populations.
2. Order and reduce/code the data. Write notes as you review your field notes, transcripts or other data. You can make notes in the margins or highlight key passages. Then, code your data. In qualitative studies, coding means identifying themes within your interview notes, documents, or field observations that relate to the evaluation questions. Themes are common ideas and patterns that you observe repeatedly as you read the data you've collected. You will likely have to read through your data multiple times to identify all of the themes.
3. Display summaries of data in such a way that interpretation becomes easy, e.g., by preparing compilation sheets, flowcharts, diagrams or matrices. You may interpret your data by attaching significance to the themes and patterns you've observed. Write lists of key themes and review the data again. Consider alternative explanations by looking for differences in responses or observations that you recorded in your data collection.
4. Draw conclusions, relate these to the other data sets of the study and decide how to integrate the data in the report.
5. If required, develop strategies for further testing or confirming the (qualitative) data in order to prove their validity.
6. Integrate the processed quantitative and qualitative data and determine how they complement each other as well other sources in the evaluation. Be conscious, as well, of instances when the qualitative and quantitative data may seem to contradict each other. In such cases, think about possible reasons why these are so.

* downloaded from http://www.ehow.com/how_5188889_analyze-qualitative-data.html, 18 April 2010

Key Points

1. Data processing and analysis should be defined early in the evaluation plan process.
2. Quantitative analysis uses simple to sophisticated analytical tools, while qualitative analysis is more of a personal choice. Nonetheless, the general steps apply to both qualitative and quantitative data analysis.
3. Data validity and reliability is a major concern and should always be ensured during the data gathering process.

Let's Apply!

Using the same capacity development project you have worked on in previous steps, answer the following:

- What are the likely quantitative and qualitative data to be collected?
- What quantitative data processing techniques would be most applicable to your evaluation objective?
- How will qualitative data be processed? In what form will these data be presented?

STEP 5:

Evaluate Capacity

STEP 5

Step 5: Evaluate Capacity Development Programs

Evaluating a capacity development program entails making a "judgment" whether a capacity development intervention has been successful or not. This step is important so that different stakeholders gain a shared understanding of the program accomplishments and gaps, lessons learned, factors that facilitate and hinder the attainment of targeted results and firm up ways to improve the capacity development program. In most cases, this step takes place during the mid-term and immediately after the end of a capacity development program. In some cases, it can also be conducted months or years after the completion of the program.

Objectives

Step 5 of the M&E process allows you to:

- Assess the adequacy, appropriateness, effectiveness, relevance of results attained.
- Compare actual performance versus targets;
- Determine areas of strength and areas for improvement.
- Analyze the factors that facilitate or hinder the attainment of targeted results.
- Determine actionable next steps to enhance the design or implementation of the capacity development program.

Output

The output of evaluation is a capacity development assessment report captured in a **Capacity Development Scorecard** (Appendix 6). It builds on from the previous M&E tools such as the Results Chain, Evaluation Plan and Quality at Implementation Monitoring template.

Capacity Development Scorecard

The Capacity Development Scorecard is the tool used in evaluating capacity development programs quantitatively and qualitatively. Rating is computed by just adding the actual scores. The Scorecard builds on from the Results Chain, Evaluation Plan and Quality at Implementation Tool. Its elements are the following:

Table 13: Capacity Development Scorecard					
Levels of results and some evaluation questions	Indicators	Baseline Data	Target	Latest Quarter Actual Data	Evaluation Scheme
1	2	3	4	5	6

Column 1: Levels of results - the targeted results at the input, output, immediate outcome, intermediate outcome and ultimate outcome levels. This is culled from the Results Chain/ Evaluation Plan.

Columns 2-4: Indicators, baseline and target - These are culled from the Evaluation Plan.

Column 5: Actual data for last quarter prior to an evaluation - This is culled from the Quality at Implementation Monitoring template.

Column 6: Evaluation scheme - is a pre-determined rating scale. It captures the % of completion of the targeted result, points earned and adjectival description of the points earned. The rating scale may be culled from existing evaluation schemes such as LGPMS and SCALOG. You may also formulate your own rating scheme such as the examples shown below.

Table 14: Sample Evaluation Scheme per Level of Result			
Levels of results and some evaluation questions	Evaluation Scheme		
	% of completion	Points earned	Description
Impact and sustainability of the capacity development intervention at the ultimate outcome level Has the capacity development intervention influenced development conditions?	50-75% targeted development conditions generated	1	Negligible impact
	75% of the targeted development conditions generated	3	Substantial impact
	100% of the targeted development conditions generated	5	High impact
Are the results generated by the capacity development intervention sustainable?	Some sustainability mechanisms/ strategies in place	1	Less likely sustainable
	Major sustainability mechanisms /strategies in place	3	Likely sustainable
	All sustainability mechanisms / strategies in place	5	Highly likely sustainable

The Summary Rating is an adjectival rating that describes the level of success of the capacity development program.

Table 15: Summary Rating		
Rating range	Descriptor	Summation of actual rating
0-10	Not successful	
11-24	Successful	
25-32	Highly successful	

Qualitative Report provides a summary of lessons learned covering the evaluation period. This is mostly culled from the monitoring reports although a separate set data collection strategies such as interviews of program implementers and beneficiaries may likewise be used to validate existing monitoring reports.

The elements of the Qualitative Report are the same questions posed during the monitoring process. The evaluation process however takes a more cumulative and validation approach in the analyses of information.

- **Attribution:** This manifests changes in institutional knowledge, skills or behavior as a result of participation in a program.
- **Areas of strength of the Agency:** Outlines the demonstrated areas of strength of the agency for the evaluation period.
- **Challenges of the Agency:** Refers to the three biggest challenges in the completion of a given program or project for the evaluation period.
- **Actions taken:** These are significant actions that have been taken to address the challenges for the past evaluation period.
- **Results of actions taken:** These are the results of the actions taken to address the challenges for the evaluation period.
- **Support requirements:** Refer to the support needed from other stakeholders or partner agencies to advance the implementation of the program or project for the evaluation period.
- **Lessons learned:** These are the specific lessons learned for the evaluation period in the implementation of the program or project.
- **Continuous improvement initiatives on the project:** This refers to the areas for improvement of the program or project that should be implemented for the next evaluation period.

Description of the process of mapping out the Results Chain/Story Board

Preparations

1. Review all necessary documents e.g. raw data captured in the data collection templates, baseline reports, cumulative or integrated monitoring findings;

2. Identify stakeholders who will be involved in evaluating the capacity development program/project
   a. Program manager of the capacity development program (LGA, LGRC and other service providers)
   b. LGU who benefit from the capacity development program/project
   c. Key/targeted participants of the capacity development program/project
   d. Implementing partners of the capacity development program/project

Conducting the evaluation

3. Determine the points earned by comparing the target and actual performance data culled from the latest monitoring reports;

4. Add the points earned using the Evaluation Scorecard, Section A, as shown below;

Table 16: Section A, Sample Evaluation Scorecard

Levels of results and some evaluation questions	Evaluation Scheme		
	% of completion	Points earned	Description
Impact and sustainability of the capacity development intervention at the ultimate outcome level Has the capacity development intervention influenced development conditions?	50-75% targeted development conditions generated	1	Negligible impact
	75% of the targeted development conditions generated	3	Substantial impact
	100% of the targeted development conditions generated	5	High impact
Are the results generated by the capacity development intervention sustainable?	Some sustainability mechanisms/ strategies in place	1	Less likely sustainable
	Major sustainability mechanisms /strategies in place	3	Likely sustainable
	All sustainability mechanisms / strategies in place	5	Highly likely sustainable
Effectiveness of the capacity development intervention at the intermediate outcome level Has the institution generated the targeted intermediate outcomes	50-75% of the intermediate outcomes generated	3	Less effective
	75% of the targeted intermediate outcomes generated	5	Effective
	100% of the targeted intermediate outcomes generated	7	Highly effective

Table 16: Section A, Sample Evaluation Scorecard (Cont'd)			
Levels of results and some evaluation questions	Evaluation Scheme		
	% of completion	Points earned	Description
Effectiveness or the capacity development intervention at the Immediate outcome level Has the Cap Dev intervention improved the capacities of the institution?	50-75% targeted changes in institutional capacities demonstrated	3	Less effective
	75 % of the targeted changes in institutional capacities demonstrated	5	Effective
	100% of the targeted changes in institutional capacities demonstrated	7	Highly effective
Efficiency of the Outputs: Has the Cap Dev intervention allowed the targeted individuals to produce the required outputs?	50-75% targeted outputs completed	1	Less efficient
	75 % of the targeted outputs completed	3	Efficient
	100% of the targeted outputs completed	5	Highly efficient
Level of satisfaction with the Inputs: How satisfied are the LGUs with the capacity development interventions provided by LGA through LGRC	50-75% of the specs met	1	Low level of satisfaction
	75% of the specs met	3	Satisfied
	100% of the specs met	5	Very satisfied
Total points earned		20	

5. Determine the performance index, Section B. Add all the points earned to get the summary rating. In the example above, the total number of points earned is 20. The capacity development program is rated successful.

Table 17: Section B, Sample Performance Index		
Total points earned	Rating range	Adjectival description
	0-10	Not successful
20	11-20	Successful
	21-34	Highly successful

6. Substantiate the performance index with the Summary of Lessons Learned, Section C. This is the same template used for summarizing lessons learned during the quarterly monitoring process. The evaluator will fill-out the qualitative report template (see sample below) supplying substantial information on areas of strength, areas for improvement, challenges of the LGU, actions taken, results of actions taken, support requirements, lessons learned, and sustainability mechanisms.

Table 18: Section C. Summary of lessons learned

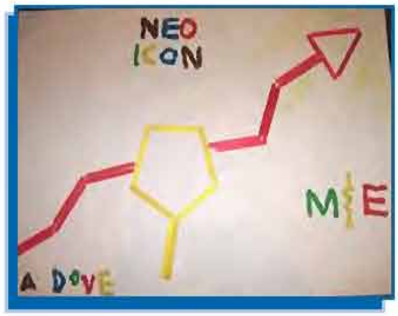
Points for reflection	Insights on the project for the quarter/semester/year
Attribution Please indicate the change in the application of knowledge and skills as a result of your participation in the program. *Please identify any specific accomplishments or improvements that can be linked to the ____ program.*	
Areas of strength *Demonstrated areas of strengths of the agency in the implementation of the capacity development program.*	
Areas for improvement *Areas for improvement in the implementation of the capacity development program*	
Challenges of the LGU *The three biggest challenges in the implementation/completion of the capacity development program*	
Actions taken *What were specific actions taken to address the challenges?*	
Results of actions taken *What were the results of the actions taken to address the challenges?*	
Support requirements *What support was provided by other agencies/ donors in the implementation of the capacity development intervention?* *What support did the LGA/DILG provide?*	
Lessons learned *What are specific lessons learned in the implementation of the project?*	

Let's Apply!

Evaluate a capacity development program using the Capacity Development Scorecard. Summarize the lessons learned using the questions in Section C.

STEP 6:

Integrate the M&E

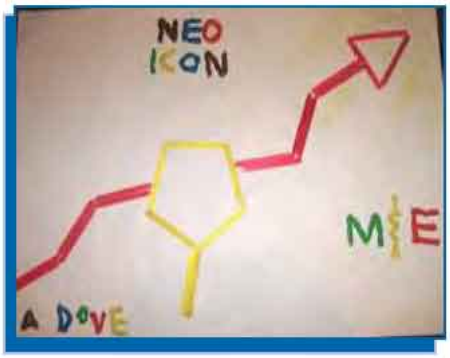


Step 6: Integrate the M&E Information

This is the step in the M&E process where we "connect-the-dots". Through the report, we attempt to relate the situation in the LGU to the desired goals or outcomes from the capacity development program. The report describes the current capacities LGU and the extent to which capacity development is contributing to the attainment of its goals. Finally, the report highlights possible steps that can or should be taken to make the capacity development program more efficient and effective.

Objectives

This step of the M&E process allows you to:



- Report the results data as useful information.
- Make general observations about the current situation of the institution being evaluated, and the degree to which the desired outcomes of the capacity development program are being achieved.
- Submit recommendations for future consideration and implementation of the capacity development programs.

Output

The output of this step is a M&E Report. It should tell a story about the LGU being evaluated and the effects, if any, of the capacity development program. Just like your favorite children's story, the reader of the M&E report has to clearly see the development of the story from the beginning, to the middle, and finally, to the ending. In the M&E report, the introductory sections, which include the objectives and narrative of the methodologies used, make up the beginning of the story. The results and analysis make up the bulk of the report. Finally, the recommendations represent the end of the report.

Table 19: Sample M&E Report Outline & its parallelism with a Children's Story		
	Children's Story	**M&E Report**
Beginning	*Once there was a king who had a beautiful daughter. The daughter was cursed by a wicked witch….*	• Overview of Capacity development program • Objectives • Evaluation Plan
Middle	*…The handsome prince wandered into the forest and found the sleeping beauty. He kissed her and thus, lifted the curse.*	• Analysis and interpretation
Ending	*… They lived happily ever after.*	• Recommendations and Action Steps

Moreover, the thread which ties the beginning, middle, and end of the evaluation report is logic. Do not treat the sections of the report as boxes to be filled out, with no connection to the sections preceding or following them.

- Evaluation Plan (Methods) — Results
  Be clear about HOW the numbers were obtained, and from WHOM or WHERE the data were collected. When using scales, take the time to explain how they are used.

- Results — Recommendations
  Summarize your findings into overall conclusions before you make your recommendations. Make sure that your recommendations are supported by data or evidence collected during the evaluation process.

- Recommendations — Objectives
  Check that your results and recommendations address the objectives of your M&E activity. Check that your results reflect indicators of performance according to the objectives of the program being evaluated. Make sure that your recommendations can be related to your study objectives.

M&E Report Template

The format of the report should consider the reader of the report. Most readers, especially local chief executives and other LGU officials, are more familiar with the traditional, essay-styled technical reports. Thus, when writing up the evaluation report for such readers, it is better to present your results and recommendations in paragraph form. Technical reports for these readers can be presented using the following outline:

1. **Introduction** - provide a background on the capacity development program (and the unit being evaluated, if necessary).

2. **Objectives of the project/program evaluation**

3. **Scope and limitations of the evaluation study** - this refers more to the limitations of the methods used, and the extent to which conclusions can be generalized from the results. Examples of limitations include small sample sizes (for surveys), non-availability of certain key informants, unique constraints due to weather, local events, or other unforeseen factors that coincided with data collection.

4. **Evaluation plan** - Describe how Steps 1 and 2 of the M&E process were applied.

5. **Results** - This presents the findings on the different levels of the results chain (inputs, outputs, immediate outcome, intermediate outcome, ultimate outcome) and the overall evaluation of the capacity development program. In other words, this is where Steps 3 and 4 of the M&E process are reported.

6. **Recommendations/Action Steps** - Based on the conclusions from the Results section, recommend future actions that the LGU, DILG, or LGA can take to improve the program.

However, for technical people, especially those directly involved in the implementation of the capacity development programs or in the M&E process, a more direct and simplified template may be appropriate. These readers will not need as much orientation on the framework, methods, and protocols of the M&E as other users of the report. The **report template** shown below is best used for such an audience.

Table 20A: M&E Report Template	
Project profile	
Title of the capacity development project or program	
Target stakeholders or participants	
Components of the capacity development project/ Objectives, timeframe and targeted outputs per component	
Project/program duration (Start to end)	
Service providers per component	
Overall Budget	
Source of funding per component	

Table 20B: M&E Report Template	
Evaluation Report Template	
Objectives of the NEO program	
Scope and limitations of the evaluation study	
Evaluation plan • Data collection methods • Data statistical analyses	
Evaluation report by level of result/ performance indicator	
• Key findings	
• Input	
• Output	
• Immediate outcome	
• Intermediate outcome	
• Ultimate outcome	
Recommendations/ Actionable next steps per level of result / performance indicator	

Appendices
- Results chain
- Evaluation plan
- Data collection template
- SCALOG color wheel
- Evaluation scorecard

Note that the overall flow of the report template does not vary from the general outline of the essay-style report. However, since the readers will be more familiar with the specifics of the capacity development program and the M&E process, many details can be left out. Thus, not all the entries need to be written in complete sentences or paragraphs.

Key Points

- DO NOT assume that the readers are as familiar with the subjects, terms, and M&E procedures as you.
- DO spell out the full meanings of acronyms when using them for the first time in the report (Do this even if you have also provided a list of acronyms).
- DO use tables or charts when presenting many bits of quantitative information.
- DO use tables to organize and allow comparison of common sets of observations.

Let's apply!

Write major points of your baseline evaluation reports using the templates in tables 20A & 20B.















STEP 7:

Communicate the M&E

STEP 7

Step 7: Communicate the M&E Information

After analyzing the results of the M&E, it is necessary to inform the key stakeholders of LGA and DILG of the M&E findings and the evaluation process of their capacity development programs. Sharing the results will help the institution get feedback and appropriate action on specific issues and concerns that arise as a result of the evaluation process. One way to effectively share the M&E results is through the development of a communication plan.

Objectives

Step 7 of the M&E process helps you to:

- Map out a communication plan for disseminating monitoring and/or evaluation findings.
- Manage and act on monitoring and evaluation findings.

Output

The **M&E Communication Plan** (Appendix 7) is a summary of specific actions that describes the priorities and targets to effectively communicate the results of M&E, implement recommendations and move forward towards addressing M&E findings. It summarizes your communication strategies, objectives, the target users of the information, communication tools and timetable of communication.

Ideally, a communication plan should be conducted after Step 6 -Integration of M&E Results, however, it may also be developed after Step 3 - Monitoring capacity development programs or after Step 4 - Evaluating cap dev programs, depending on the overall objectives of the communication plan.

Communication Plan Template

Communication Plan Template is a tool used to map out the goals of each communication strategy. The elements of a good communication plan include the following:

- **Objectives** - states the objective of the specific action.
- **Target Audience** - states the target participants of the action.
- **Content** - states the topics or monitoring/evaluation results to be discussed.
- **How** - states the activity, delivery mechanism or processes to be undertaken.
- **Person Responsible** - states the specific office, unit or person to manage the activity.
- **By when** - states the timeframe, schedule or target date when the activity will be conducted.
- **Frequency** - states 'how often' you will conduct the activity/ies.
- **Expected results** - states what the activity aims to achieve.
- **Budget** - states the indicative amount the action will require.

Description of the Process

1. **Prioritize M&E results** - select which from the M&E findings require communication strategies.
2. **Define objectives** - write the purpose of the specific communication activity/strategy.
3. **Identify target audience** - understanding the target audience of your communication plan is important to help you select appropriate communication strategies and ensure successful implementation of the plan. (E.g. LGA management, DILG officials and functionaries, LGRC, non-government organizations, national government agencies, media, business sector, etc.)
4. **Develop the content** - list the topics to be discussed and information you like to convey.
5. **Identify how the objective will be addressed**- choose appropriate communication strategy (examples: face to face meetings, fora, focus group discussions, reports, online communications, billboards, signage, press conference).
6. **Identify person and/or office/ unit responsible**
7. **Select 'by when' the activity will be conducted**- identify the target date or schedule of implementation.
8. **Decide the frequency** - this explains how often you need to do the communication strategy/activity.
9. **Define actions to be taken** - these are the actionable next steps you expect to achieve from conduct of the communication strategy/activity.
10. **By whom** - identifies who will do the actionable next step.
11. **Identify indicative budget** - include indicative amount the specific activity will require.

Table 21: Example of a Communication Plan									
Objective	Target Audience	Content	How	Person Responsible	By when	Frequency	Recommended Action Steps	By whom	Budget
Disseminate monitoring findings.	DILG Secretary, Under-secretary and Directors	-M&E framework and process -Results chain of the Capdev program -M&E findings	FGD	LGA Management	Dec 2010	Quarterly	Provide more coaching to ensure completion of the ELA	LGRC	P
Disseminate lessons learned in the conduct of NEO	Service providers	-Capdev Evaluation rating -Lessons learned (issues and concern) -Implications on design and implementatio n of Capdev program	Forum	LGA M&E	Mid-term or end term of Capdev program	Twice during the lifetime of a short-term program **Maybe more frequent if the program is longer than 3 years*	Provide more technical assistance in diagnosing capacity development needs	LGA	P

Key Points

Here are some reminders for you as you develop your communication plan:

1. Prior development of communication plan, it is important to identify the appropriate stakeholders and determine suitable means to communicate the M&E results to them. This will help you receive appropriate responses or action steps as you move forward in addressing the results of your M&E.

2. Present only what is important and necessary. Highlight major findings that need appropriate and/or immediate action.

3. Communication Plan should be immediately developed to ensure that issues and concerns that arise as a result of the M&E will be acted upon immediately.

4. Communication Plan should be specific, brief and concise.

Let's apply!

Think of a CapDev Program that you have implemented. Then, develop a communication plan of that program using the template below:

Objectives	Target audience	Content	How	Person/ Unit responsible	By when	Frequency	Actions to be taken	By whom	Budget

References

CapDev Agenda in a Nutshell, A Primer on the Formulation of a Competency-based Capacity Development Agenda, Published by Local Government Academy, Department of Interior and Local Government, 2009.

Kusek, Jody Zall and Rist, Ray. 2004; Ten Steps to Results-based Monitoring and Evaluation System, World Bank.

Managing Knowledge for Improved Local Governance Performance: A Guidebook on Capacity Development Agenda Formulation, Published by the Local Government Academy, 2007.

Powerful Alternative Learning Strategies, PALS FEET, Foundation for Effective and Efficient Transition, Taking the First Step in the NEO Journey, Published by Local Government Academy in collaboration with the Philippines Australia Human Resource Development Facility- An Australian Government, AusAID Initiative, 2007.

Results-based Management Toolkit, Canadian International Development Agency, 2009.

The LGU Organizational Competency Assessment Tool, Systems on Competency Assessment for Local Governments (SCALOG), Published by Local Government Academy, Department of Interior and Local Government, 2009.

Appendix A: Sample ADKAR Tool

Level of Awareness, Desire, Knowledge, Ability and Reinforcement (ADKAR) for the conduct of monitoring and evaluation at the LGA.

We want to know how you perceive your involvement in the installation of the M&E System at the Local Government Academy. Please complete the survey to the best of your ability, rating each element on a scale of 1 to 4 where:

1 = strongly disagree
4= strongly agree

Completed by: ____________________ **Position** ____________ **Office** ____________ **Date of completion of the survey** ____________	
Awareness: *This refers to your level of understanding on the importance and urgency of the installation and implementation of an enhanced Monitoring and Evaluation System as part of the LGA's institutional capacity building process.*	
1. I understand the importance of the conduct of monitoring and evaluation in LGA's institutional capacity building process. *M&E is important because of the following reasons:*	1 2 3 4 Strongly Disagree … Strongly Agree
2. I understand the consequences of not conducting monitoring and evaluation in LGA's institutional capacity building process. *For me the consequences of not conducting M&E are:*	1 2 3 4 Strongly Disagree … Strongly Agree
3. I know the uses of the information derived from the conduct of monitoring and evaluation in LGA's institutional capacity building process. *The possible uses of information derived from monitoring and evaluation are:*	1 2 3 4 Strongly Disagree … Strongly Agree
4. I understand the urgency for the implementation of a monitoring and evaluation system in LGA. *For me, it is urgent that we install a M&E system in 2010 because…*	1 2 3 4 Strongly Disagree … Strongly Agree
Total A score	

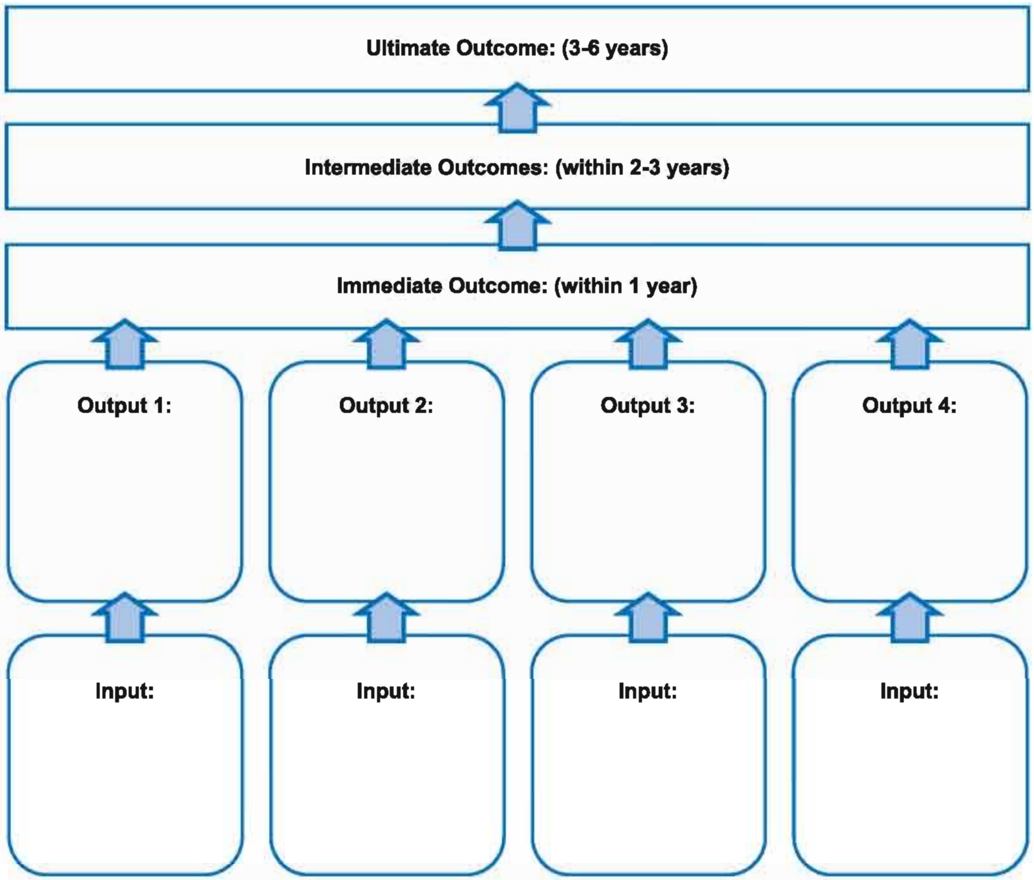
Desire: *This refers to your level of willingness to be part of the team that will play a critical role in the installation and sustainable implementation of an enhanced monitoring and evaluation system in the LGA.*	
5. I will support and take part in the installation and implementation of monitoring and evaluation system in the LGA. *I will support and take part in the installation and implementation of the M&E system in the LGA because:*	1 2 3 4 Strongly Disagree … Strongly Agree
6. The personal gains of being involved in the installation and implementation of monitoring and evaluation system are clear to me. *I benefit from the installation and implementation of M&E because…*	1 2 3 4 Strongly Disagree … Strongly Agree
7. I can envision LGA mainstreaming a sustainable M&E system in its capacity building process. *Mainstreaming a sustainable M&E system in LGA is highly feasible because…*	1 2 3 4 Strongly Disagree … Strongly Agree
8. I have been involved in successful change initiatives of the LGA in the past. *These change initiatives were:* *I was involved in each of them as…*	1 2 3 4 Strongly Disagree … Strongly Agree
9. Knowledge and use of the monitoring and evaluation system will make my work easier. *The conduct of M&E will make my work easier because…*	1 2 3 4 Strongly Disagree … Strongly Agree
Total D score	
Knowledge: *This refers to your level of understanding of some basic theories and practices associated with the conduct of the M&E.*	
10. I know basic concepts on monitoring and evaluation. *I learned basic concepts on monitoring and evaluation from the following :*	1 2 3 4 Strongly Disagree … Strongly Agree

Learned basic concepts on M&E from the following (on -the job training, own reading)	*Date*
Example: Readings on Results based M&E by World Bank	*4th quarter, 2010*

11. I know some data gathering processes/methods in the conduct of results based monitoring and evaluation. *The data gathering methods I am familiar with are:*	1 2 3 4 Strongly Disagree … Strongly Agree
12. I am familiar with the basic analytical tools in the conduct of results based-monitoring and evaluation. *The analytical tools that I am familiar with are:*	1 2 3 4 Strongly Disagree … Strongly Agree
13. I have attended training and coaching sessions on monitoring and evaluation. *Please cite the title (s) of training/coaching attended on M&E in the past 5 years.*	1 2 3 4 Strongly Disagree … Strongly Agree
14. I am familiar with the basic concepts of results based monitoring and evaluation system. *The core concepts I remember about results based monitoring and evaluation system are…*	1 2 3 4 Strongly Disagree … Strongly Agree
Total K score	
Ability: *This refers to your demonstrated ability to conduct actual M&E.*	
15. I have designed M&E frameworks in my past projects. *These projects were :*	1 2 3 4 Strongly Disagree … Strongly Agree
16. I have designed M&E tools in my past projects. *The tools I used in my past projects were:*	1 2 3 4 Strongly Disagree … Strongly Agree
17. I have evaluated capacity development programs at the outcome level in my past projects. *Capacity development programs that I evaluated at the outcome level were:*	1 2 3 4 Strongly Disagree … Strongly Agree
18. I have written qualitative evaluation reports based on M&E findings. *These reports pertained to:*	1 2 3 4 Strongly Disagree … Strongly Agree
19. I have written quantitative evaluation reports based on M&E findings. *These reports pertained to:*	1 2 3 4 Strongly Disagree … Strongly Agree

20. I have presented findings to my stakeholders based on M&E analyses. *The stakeholders to whom I presented my findings were:*	1 2 3 4 Strongly Disagree / Strongly Agree
Total A score	
Reinforcement: *This refers to your perceived level of support the LGA gives to its internal and external stakeholders in the conduct of its M&E function.*	
21. LGA has mechanisms or reinforcements in place e.g. provision of relevant or valuable reward system towards the sustainable implementation of M&E. *Please list these mechanisms or reinforcements in place to support and maintain the implementation of the LGA M&E system.*	1 2 3 4 Strongly Disagree / Strongly Agree
22. My immediate supervisors support the conduct of training and coaching on M&E. *They give support by:*	1 2 3 4 Strongly Disagree / Strongly Agree
23. I can see challenges in the sustainable implementation of LGA M&E system. *The barriers or challenges I see that can potentially inhibit the LGA's ability to realize this change are…*	1 2 3 4 Strongly Disagree / Strongly Agree
24.The challenges in implementing an enhanced M&E system in the LGA can be addressed. *The challenges in implementing an enhanced M&E system in the LGA can be addressed by…*	1 2 3 4 Strongly Disagree / Strongly Agree
Total R score	
Overall ADKAR score	
Adapted by Marie Herminia Cruz-Soriano from the PROSCI Learning Center Publications on the ADKAR tool 2004.	

Appendix B: Results Chain



Appendix C: Risk Register

Risk definition	*Intensity*	*Mitigation needed*	*Risk owner*
Operational			
Development			
Financial			
Reputation			

Appendix D: Evaluation Plan

1	2	3	4	5	6	7	8	9
Hierarchy of targeted results	Performance Indicators	Operational definition	Baseline	Targets	Actual Quarterly Data	Data collection methods	Data sources	Person/ Unit responsible to collect data
Ultimate Outcome:								
Intermediate Outcome:								
Immediate Outcome:								
Outputs:								
Inputs:								

Appendix E: Data Collection Template for M&E

Measure	
Formula	
Operational Definition/ clarifications	
Data Sources	
Baseline	
Target	
Actual Data	
What are the areas for improvement?	

Appendix F: Quality at Implementation Monitoring Template

Part 1 QualM

Hierarchy of targeted results	Indicators	Baseline data	Target	Quarter 1 Data	Quarter 2 Data	Quarter 3 Data	Quarter n Data
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(n)
Ultimate outcome							
Intermediate outcome							
Immediate outcome							
Outputs							

Part 2 QualM

Points for reflection on Project CURE	Insights on the project for the quarter/semister/year
Areas of Strength *Demonstrated areas of strengths of the agency in the implementation of the CURE project.*	
Challenges of the LGU *The three biggest challenges in the implementation/ completion of the CURE project.*	
Actions taken *What are specific actions taken to address the challenges?*	
Results of actions taken *What were the results of the actions taken to address the challenges?*	
Support requirements *What support is needed from other stakeholders and partner agencies to advance the implementation of the project forward for the next quarter?*	
Lessons learned *What are specific lessons learned in the implementation of the project?*	
Continuous improvement initiaves on the project *Identify areas for improvement of the project that should be implemented in the next quarter.*	

Appendix G: Capacity Development Scorecard

Levels of results and some evaluation questions	***Evaluation Scheme***		
	% of completion	Points earned	Description
Impact and sustainability of the capacity development intervention at the ultimate outcome level *Has the capacity development intervention influenced development conditions?*			
Are the results generated by the capacity development intervention sustainable?			
Effectiveness of the capacity development intervention at the intermediate outcome level *Has the institution generated the targeted intermediate outcomes?*			
Effectiveness or the capacity development intervention at the immediate outcome level *Has the Cap Dev intervention improved the capacities of the institution?*			
Efficiency of the Outputs: *Has the Cap Dev intervention allowed the targeted individuals to produce the required outputs?*			
Level of satisfaction with the Inputs: *How satisfied are the LGUs with the capacity development interventions provided by LGA through LGRC?*			

Appendix H: M&E Communication Plan

Objectives	Target Audience	Content	How	Person/ Unit Responsible	By When	Frequency	Actions to be Taken	By When	Budget

Appendix I: M&E Prayer

Lord, we bless you we magnify and glorify your name on high. As we gather in this place, we seek your humble presence to guide us in presenting the Progress report of the M and E Workshop.

We thank you so much Lord for AusAID through the PAHRDF for providing us with this capacity development intervention, for making this Workshop on the Enhancement of the LGA M & E system happen. We did not only gain new learning's but also new friends. We also thank you Lord for our Director and our supervisors who believe that each and everyone of us deserves to be a part of this team; for the coaches who unselfishly shared their knowledge to us to learn new tools and strategies in monitoring and evaluation; and for guiding us in coming up with the resource guidebook and the re-entry action plan.

Lord, we hope that you will guide us in accomplishing the objectives of our re-entry action plan. Instill in our hearts the commitment of doing our tasks as part of the M and E Team and in successfully institutionalizing the RBME in all capdev programs of DILG/LGA. Help us also realize the outcomes of this activity is not just for our own good but also for the good of the whole citizenry. Please intensify our passion to serve the public for we know that it is not only them whom we serve but also YOU.

In Jesus' name we pray, AMEN.

Seasons of M&E (Sung to the tune of Seasons of Love during the graduation)

Sixty four... thousand --- eight hundred minutes
Sixty four... thousand --- moments so dear
Sixty four... thousand - eight hundred minutes
How do we measure, measure our wins

In inputs, in outputs,
in outcomes of Capdev Programs
In weight gains, in laughter, joys and fights
Sixty four...thousand - eight hundred minutes
How do we measure, nine weeks that we had

What about ME - M&E
What about ME - M&E
What about ME - M&E
Measures of ME
Seasons of ME - M&E
Seasons of ME - M&E

Sixty four... thousand - eight hundred minutes
Sixty four... thousand - headaches we had

Sixty four... thousand - eight hundred minutes
How do you measure the learning's we had

In inputs, in outputs,
in outcomes of Capdev Programs
In weight gains, in laughter, joys and fights
Sixty four...thousand - eight hundred minutes
How do we measure, nine weeks that we had

What about ME - M&E
What about ME - M&E
What about ME - M&E
Measures of ME
Seasons of ME - M&E
Seasons of ME - M&E

Songs composed by the M&E Team during Component (Holiday Inn)

NEO 1 Group: Sung to the tune of 'Seasons of Love'

Humming...

How do we craft M&E in LGA...
How many times do we measure our work?
By ratio, by median, by means...
How do we measure numbers?
How do we measure responses?
By frequency, by likert scale, by tally...
How do we test our hypothesis?
By t-test, by chi-square, by ANOVA...
How do we project our actions into the future?
By linear regression, by correlation...
By M&E...
Ooooh...

NEO 2: Sung to the tune of 'Isang Linggong Pag-ibig'

Lunes	*RBME ipinakilala*
Martes	*Evaluation Plan sinimulan na*
Miyerkoles	*Binugbog tayo ng statistics*
Huwebes	*Ano na naman kaya?*
Biyernes	*Sana ay umuwi ng maaga, mga utak at tiyan namin ay super overload na*
Sabado	*Sa wakas-M&E break muna, nguni't sa susunod na lingo tiyak M&E hihirap pa!*

CURE: Sung to the tune of 'Nobody, Nobody'

Chorus:
I want your data, your data, not you
I'm gonna analyze it all
Gotta have info on it all
I want your data

Nominal and ordinal and ratio interval
Gotta measure your outcome, mean, median, mode, dispersion
Gotta get your deviation
Wanna test your assumption
Get it all and give you your points, oh
Wanna see your direction
Wanna get information
How can I get your results, oh (2x)
Chorus

Enhancing M&E for LGA's Capacity Development Programs

February - April 2010
Manila, Philippines

Australian Government AusAID

PHILIPPINES – AUSTRALIA
HUMAN RESOURCE DEVELOPMENT FACILITY
An Australian Government, AusAID initiative
www.pahrdf.org.ph

In partnership with

Notes

Notes

Interpretation of the artwork

The trajectory of the arrow proceeds towards the goal (the sun) from left to right. The zigzag lines are the planned projects. These lines do not necessarily mean the projects are not implemented as planned since in reality it may over or under achieve and never goes straight. Monitoring should be done every step of the way. The red color guides the stakeholders.

The magnifying lens means the smallest details can be seen. The people are the stakeholders, with LGA as monitor.

The lighthouse cannot be lighted unless one goes up the stairs. The stairs represent the results chain. While going up the stairs, the outputs are then determined. The ultimate outcome is the light that guides the ships going to their destination.