



National Fund For Environment

Monitoring and Evaluation Manual

FONERWA
M&E Manual

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FONERWA

Monitoring and Evaluation Manual

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FOREWORD

The Rwanda Green Fund is a ground-breaking environment and climate change investment fund. It is the engine of green growth in Rwanda and serves as an example for what's possible in Africa and around the world. The fund invests in the best public and private projects that have the potential for transformative change and that align with Rwanda's commitment to building a strong green economy.

FONERWA Monitoring and Evaluation Manual serves as a tool to guide and strengthen the Fund internal Monitoring and Evaluation System, guide Public, Private and CSOs/NGOs' projects and program recipients on principals, procedures and processes of designing, implementing and using Results based Monitoring and Evaluation Systems in Project/Program Management. It will help staff to track progress and facilitate evidence based decision making by providing credible and useful information, enabling the integration of lessons learned into programming. It will also serves FONERWA as a mean of ensuring transparency, accountability and value for money in Programs/Projects Management.

This manual is a product of extensive consultations with different stakeholders, FONERWA Management Team and staff, M&E Officers and Project Managers from Public, Private and Civil Society Organizations and Development Partners.

Teddy Mpinganzima Mugabo

Chief Executive Officer

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LIST OF ABBREVIATIONS & ACCRONYMS

CES	:	Canadian Evaluation Society
CSO	:	Civil Society Organization
DAC	:	Development Assistance Committee
DCED	:	The Donor Committee for Enterprise Development
DID	:	Difference in Difference
DPs	:	Development Partners
FGP	:	Focus Group Discussion
FONERWA	:	Fond National de l'Environnement du Rwanda
IDEAS	:	International Development Evaluation Association
IFAD	:	International Fund for Agricultural Development
IEG	:	World Bank Independent Evaluation Group
KEQs	:	Key Evaluation Questions
KPIs	:	Key Performance Indicators
LFA	:	Logical Framework Approach
Logframe	:	Logical Framework
LFM	:	Logical Framework Matrix
M&E	:	Monitoring and Evaluation
MoE	:	Ministry of Environment
NGO	:	Non-Government Organization
NISR	:	National Institute of Statistics of Rwanda
OECD	:	The Organization for Economic Cooperation and Development
ODK	:	Open Data Kit
PD	:	Project Document
PMP	:	Performance Monitoring Plan
PPD	:	Project Proposal Document
REMA	:	Rwanda Environment Management Authority
UNDP	:	United Nations Development Program
ToC	:	Theory of Change

PURPOSE OF THIS M&E MANUAL & INTENDED AUDIENCE

The purpose of this M&E Manual is to guide FONERWA staff, Programs & Project recipients and implementers across the Public, Private and CSOs sectors, donors and other stakeholders on M&E principles for programs and projects funded by FONERWA.

This manual complement FONERWA Operational Manual and grant manual and provide further details on practical step by step guidelines on M&E principles, procedures and systems to be put in place in order to conduct monitoring activities and enforce a culture of use of sound, accurate and evidence based information in decision making.

It provides guidelines on different type of evaluations to be undertaken by the Fund at different stages of a Program/Project life cycle. Guidelines on evaluations contained in this manual are provided to encourage the development of a culture of evaluation, strengthen the use of evaluations in Program/Project Management in order to improve the evidence base, ensure accountability, value for money, and enhance results based Program/Project Management, impact and sustainability. Users of this manual are FONERWA Staff, Public, Private and CSOs entities that have secured funding from FONERWA for Policy, Program and or Project implementation. This manual will guide and ensure both staff and funding recipients conform to International M&E best practices, norms and standards. It will also boost the confidence of Development Partners and donors on FONERWA commitment towards results delivery.

This manual should be a living document and should be updated regularly to conform to the changing dynamics in Monitoring and Evaluation best practices and Program/Project Management.

SECTION 1: CONCEPTS & RATIONALE

1.1 Monitoring and Evaluation Concepts

1. Monitoring

Monitoring is defined as the systematic and continuous collecting, analyzing and using of information for the purpose of management and decision-making. The purpose of monitoring is to achieve efficient and effective performance of an operation. Monitoring provides an ‘early warning system’, which allows for timely and appropriate intervention if a project is not adhering to the plan.” (European Commission, 2008)

2. Evaluation

Evaluation is defined as an objective, independent and systematic examination of the extent to which a Program or project has achieved or is achieving over time its stated objective. Evaluation assesses the efficiency, effectiveness, relevance, impact, and sustainability of a Program or project.

OECD–DAC expert group defines Evaluation as a systematic and objective assessment of an ongoing or completed project, Program or policy, its design, implementation and results. Evaluation uses rigorous standards, and must be conducted by persons or entities independent of those who designed and implemented the Program or project. An evaluation can be formative (e.g. midterm evaluation) or summative (e.g. final evaluation and impact evaluation). Evaluation seeks to provide information that is credible and useful, enabling the incorporation of lessons learnt into the decision-making process of an organization.

3. Difference between Monitoring and Evaluation

Monitoring and Evaluation are complementary yet different functions. The two functions differ in terms of frequency, purpose and focus.

- Frequency: Monitoring is done Continuously throughout the project life time while Evaluation is At a given point in time, e.g. end of project, mid-term, ex-post or change of phase
- Purpose: The basic purpose of monitoring is to steer a Program/Project; provide timely information on progress made while the purpose of evaluation is to assess and provide judgment on the performance; learn from past to improve future programming.
- Focus: The focus of monitoring is to collect and analyze factual information about activities, processes, outputs and outcome. The focus of evaluation on the other hand is to assess quality of the design, project implementation and context, outputs, outcome and impact achieved by project

4. Results chain

A results chain is a sequence of the various stages of an intervention that lead to the changes that are intended – from the inputs at the start, to the end effects at a societal level for the beneficiaries. A results chain is useful for articulating what a Program/Project is going to achieve and how it will get there. Results Chains should be the core of FONERWA M&E framework. Each Program/Project financed by FONERWA should articulate its results chain and show how it links to FONERWA mandate.

They are all processes and tools that help define what a Program/Project wants to achieve and how it will get there, presenting subsequent plans in a simple, visual format. They are compulsory for all new projects, and it is expected that existing projects should strive to retrospectively define them. The process is as important as the product, as the process helps foster a shared sense of purpose and the chosen pathway to change. Broader

participation also helps to tease out additional outputs required, or logical or contextual assumptions that may have been overlooked.

A Results Chain is a key input into the Monitoring Plan, contributing the outcomes and outputs that are to be measured through Key Performance Indicators (KPIs) and data collection tools and schedules. It also provides the foundation for evaluation, though quite frequently evaluators also revisit the logic of the Results Chain when relevant.

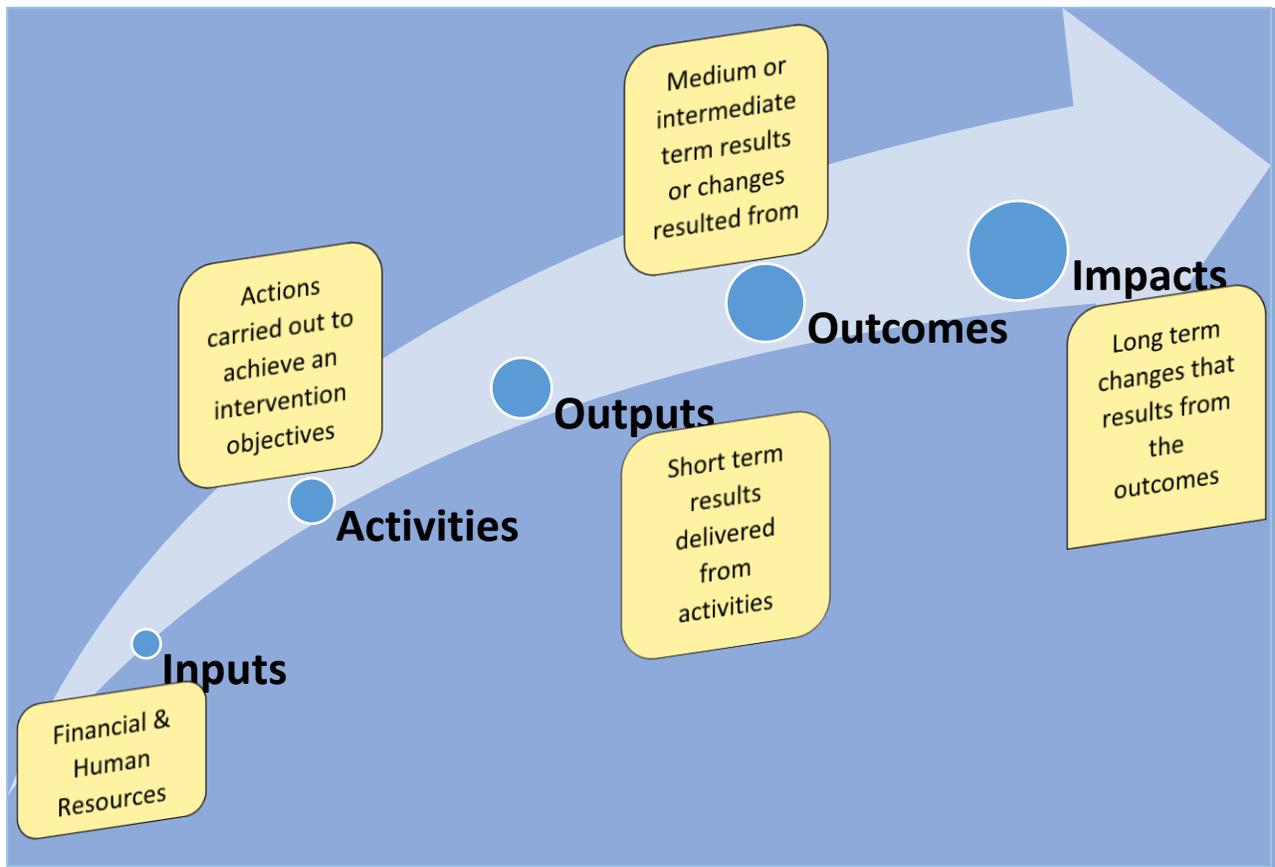
The regular review of the Results Chain can facilitate Program/Project management decisions and learning. The Results Chain can also be used for communicating the program/project purpose in a clear, concise way. Developing Results Chains is fully in line with international best practice, such as defined by the DCED Standard.

Link to the Project Management Cycle

During the Project Identification stage, it is important to understand how goals will be achieved and the different steps involved in order to achieve goals, what the main assumptions are and what the wider context is. The Problem Analysis and Stakeholder Analysis that underlie the PPD should directly be linked to the development of the project logical framework matrix. Together with key stakeholders, the building blocks of the Results Chain should be articulated, clarified and/or simplified. Mapping out the project logic in the Results Chain with relevant stakeholders will help to both understand and articulate the change process. The Results Chain should be as well an integral part of the PD.

The results chain below attempts (see Fig. 1) to categorize these steps by breaking them down into five stages:

Figure 1: Results chain illustration



A results chain provides a good opportunity to ensure the clarity of the program/project logic of intervention and helps partners and project team in challenging and testing of assumptions that underlie the program/project.

The results chain development process help to identify the extent to which a program/project have, or have not considered gender in the design phase. Are both men and women considered at the activity or output levels? Will some of the outcomes benefit men more than women or both equally? Will they disrupt existing gender norms? All of these questions should be considered during the design phase so as to enable a better formulation of gender related activities to be implemented.

1.2 Rationale for Monitoring and Evaluation

Reasons for monitoring and evaluating projects include: accountability, performance improvement, learning, communication and empowerment of primary stakeholders.

Accountability

Projects are implemented by staff on behalf of different stakeholders, e.g. donors, government, hosting organization and beneficiaries. Therefore, it is important that project implementers are held responsible for their actions, i.e. they are accountable to all stakeholders.

Improving performance

Monitoring identifies the extent to which a project is making progress in producing expected outputs and achieving a desired outcome. Corrective measures can be taken in time to improve project performance. Ongoing monitoring also allows the assessment of whether inputs and resources are being used efficiently.

Learning

Monitoring and evaluation can provide valuable lessons for other projects within an organization. Lessons learnt may be used for the ongoing cycle, or can be used during the next programming cycle to repeat successes or to avoid failures.

Communication

M&E activities improve the communication between different stakeholders, thus enabling a better understanding of implementation issues and supporting better achievement reporting. In order to make communication effective, a favorable environment for exchange and discussion is essential. Clear and transparent communication mechanisms such as

regular meetings, workshops, reporting, and information sharing via internet or printed media should also be established.

Empowerment of stakeholders

M&E creates opportunities for beneficiaries to provide useful feedback to the implementers. Furthermore, the involvement of different stakeholders in the process can increase their motivation and skills for planning and implementing future projects. M&E can thus strengthen the participation of primary and end beneficiaries in decisions about project performance, and therefore increase stakeholder ownership.

Monitoring and Evaluation are needed at FONERWA in order to:

- Provide continual feedback on project components and processes
- Detect contextual shifts and changes in the status of the target population
- Inform decisions on operations, policy or strategy
- Facilitate accountability for project resources to donors and participants
- Demonstrate positive, sustainable results of project activities
- Identify successful strategies for extension, expansion or replication
- Modify unsuccessful strategies
- Capture lessons and knowledge on what works and what does not
- Give stakeholders an opportunity to have a say in the program/project
- Provide an accurate determination of program impact

In order to realize the full potential of an M&E system, it is critical that FONERWA and Program/Project implementing personnel continually track the changing levels of risk, vulnerability and coping strategies in order to effectively manage responses to contextual shifts and establish needs for appropriate intervention (Program/Project design). Monitoring

and evaluation should be approached as a “continual learning process rather than a single information gathering exercise” (Guijt et al. 2002).

1.3 FONERWA Roadmap to results

FONERWA Roadmap to results is an illustrative image of the steps followed in order to refine the existing M&E system. The first step of the roadmap was to conduct a diagnosis of the existing M&E system. As part of the diagnosis a SWOT analysis of the existing M&E system was conducted and its results informed on the steps to undertake the refinement of the logical framework.

Key steps to follow when designing a monitoring and evaluation system are detailed below and provided to guide FONERWA M&E practitioners.

Figure 2: FONERWA roadmap to results in Program/Project Management



1. Assess information needs

This stage comprise of the following; definition of key performance indicators, set up of targets, definition of benchmarks such as baseline data and identification of data sources.

2. Define key performance indicators

Indicators are defined as quantitative or qualitative variables that provide a simple and reliable means to measure achievements, to show the changes produced as a result of an intervention, or measurements against which performance of an organization, program or project can be assessed. Indicators should be developed for all levels of the results chain. Indicators are meant to monitor progress with respect to inputs, activities, outputs, outcomes, and goals. Progress should be monitored at all levels of the results chain to provide feedback on what works- areas of success that may be kept, replicated and what doesn't work-areas which requires improvements.

Performance indicators should be measured on a regular, determined basis, to help Managers and Decision Makers to know whether Programs/Projects are on track, off track, or even doing better than expected. Doing so provide an opportunity to make adjustments, correct course, and gain valuable institutional, program and project experience and knowledge which ultimately increases the likelihood of achieving the desired outcomes. It is important for M&E specialists, Managers and decision makers to be able to differentiate outcomes from outcome indicators. For example if the outcome is to improve soil productivity, in the results chain or theory of change, it would be defined in the past tense as "Improved soil productivity" the outcome indicator would be defined as "Yield increase per hectare".

The stage of defining key performance indicators is a very important step towards building a results based monitoring and evaluation system. The definition of key performance indicators is a core activity in building a results based M&E system. It drives all subsequent data collection, analysis, and reporting. It is important for FONERWA to put more emphasis

on measuring results, outcomes and impacts rather than focusing on measuring inputs and outputs only. The outcomes defined in the theory of change based results chain should be translated into a set of measurable performance indicators.

Distinction between qualitative indicators and quantitative indicators

i. Qualitative indicators

Qualitative indicators are insights into changes in processes, attitudes, beliefs, motives and behaviors of individuals. They are descriptive, can measure perception, describe behavior or attitudes. They are subjective judgments in essence and should be used with caution but provides better understanding of some things. There are things which are better captured by qualitative indicators than quantitative indicators. Qualitative indicators helps to better capture the breadth and depth of a subject than quantitative indicators. For example if you want to understand to what extent a poor community is empowered or to what extent a cooperative body is functioning, only qualitative assessment can help to understand in depth and breadth that subject, then it can be graded.

ii. Quantitative indicators

As the term denotes, a quantitative indicator indicates an indicator in numerical forms. The quantity can be expressed as a pure number, an index, a ratio or percentage. For example, quantitative indicators may include indicators on age, cost, length, height, area, volume, weight, speed, time, and temperature. Quantitative indicators are widely used in development programs/projects as they give very clear measure of things and are numerically comparable. This enables program/project managers to compare the performances or achievements of two or more programs/projects. Moreover it also allows them to compare the statuses of the same program/project at different points in time. Most

often, quantitative indicators are preferred because they are theoretically expected to give the same results, no matter who measures them.

Characteristics of good performance indicators

Good performance indicators are; Specific, Measurable, Achievable, Realist and Time – bound (SMART).

- **Specific** : *means that the indicator needs to be narrow and accurately describe what needs to be measured*
- **Measurable** : *means that regardless of who uses the indicator it would be measured in the same way*
- **Achievable** : *means that collecting the data should be straightforward and cost-effective*
- **Relevant** : *means that the indicator should be closely linked to the relevant outcome*
- **Time bound** : *means that there should be a timeframe linked to the indicator*

3. Establish Baseline data

A baseline data is a qualitative or quantitative information that provides data at the beginning of, or just prior to, the monitoring period. The baseline data is used as a starting point, or guide against which performance monitoring is carried out. Establishing baselines is the first critical measurement of the indicators. For each indicator, baseline data should

be established. After establishing baseline data on indicators, the next step is to define targets.

There is neither comparison, nor competition between the use of quantitative and qualitative indicators. Both have their respective values and their respective importance. None is better than the other. The most important aspect in selecting whether to use qualitative or quantitative indicators should be driven by which purpose one is more suited to provide a greater understanding over the other. Good program thinking does not involve the use of quantitative or qualitative indicators it involves the use of both.

4. Define targets

A target is what the situation is expected to be at the end of a Program/Project or activity. A target is defined as a specified objective that indicates the number, timing and location of that which is to be realized. (IFAD 2002). Targets are the quantifiable levels of the indicators that a Program/Project or organization wants to achieve by a given time. The process of defining targets start with the establishment of baselines for each indicator. Once baselines are established, define the desired level of change the intervention will bring for each indicator taking into consideration available resources over the life span of the Program/Project. Using the same example of “Improved soil productivity”, the target may be set to 30% by 2024, then the indicator would read “30% yield increase per hectare by 2024”. Every target should have a time period defining aspect. For planning and performance progress assessment purposes, FONERWA should make sure that the M&E plans or PMP break down the end of Program/Project targets into short terms workable targets for better planning and progress measurement.

5. Identification of data sources

Sources are who or what provide the data. It can also be where you get the data from. When building an information system, there is need to identify sources that can provide relevant information on a specified indicator. It is paramount to ask yourself if the information source identified will provide quality data and whether such data can be accessed timely and regularly. Another key consideration when identifying data sources is assess if primary data collection from the information source is doable and cost effective.

Data sources may be primary of secondary

Distinction between primary and secondary data sources

i. Primary data source

A primary source provides direct or firsthand evidence about an event, object, person, or intervention. In natural and social sciences, primary sources are often empirical studies where an experiment was performed or a direct observation was made. Primary data are collected directly by the organization/program/project concerned, and may include administrative, budget, or personnel data; surveys; interviews; focus group discussions, direct observations, fieldwork, eyewitness accounts, results of experiments, statistical data, pieces of creative writing, success stories write ups, audio and video recordings, speeches, art objects, blogs, newsgroups.

ii. Secondary data source

Secondary sources describe, discuss, interpret, comment upon, analyze, evaluate, summarize, and process primary sources. Secondary source materials can be existing reports, studies, etc. They are often collected by other outside organizations/programs/projects, and are gathered for purposes other than those of the

organization/program/project concerned. For example, a desk review use secondary information such as existing reports, studies, case studies, etc.

6. Defining the intervention logic

The starting point to building a monitoring and evaluation system is the logical framework approach. The Logical Framework Approach helps to think through and analyze the “logic” of a project in a systematic and structured way, first by conducting a detailed analysis of a number of elements, and secondly by relating the results of these analyses to each other and to the overall project objective. The LFA plays a particularly critical role in project planning and design, but it can also be used throughout the project cycle, including during monitoring and evaluation.

The LFA is essentially a sequence of analytical steps, comprising a situation analysis that reviews project context and relevance, a stakeholder analysis that covers counterpart mandate and vision, end-users and any other organizations or group or institution having an interest or being affected by the program/project, a problem analysis that examines the problem in detail from the perspective of different stakeholders, and finally an objectives analysis where the project team decides on the scope of the project. On the basis of these analyses, the project team constructs a Logical Framework Matrix (LFM) that summarizes the project, and shows the logical linkages between the project elements. This is an iterative process of testing, review and validation that then continues with the preparation of a suitable M&E plan.

1.3.1 The Logical Framework Matrix

A logical framework matrix or logframe is the output of a program/project design process where you work out how the program/project activities will lead to the immediate outputs,

and how these will lead to the outcomes and impacts. A logframe should be flexible and updated frequently as deemed necessary. A standard logframe template is provided in table 1 and should be used by FONERWA and all of its grantees, Public Agencies, Private agencies, NGOs and/or CSOs implementing Programs/Projects financed partly or fully by FONERWA.

Unless otherwise provided for by special agreements between FONERWA and Development Partners/Donors, the template in table 1 should be used. To avoid having to deal with different logframe templates and ease the M&E work, FONERWA should always assure Development Partners /Donors whenever submitting Program/Project Proposals that it has an alternative standardized logframe for all of its Programs/Projects which adequately covers all the elements of the Partners/Donors' logframe. For Every Program/Project Proposal, an associated logical framework matrix detailing the Program/Project intervention logic should be provided along with the Program/Project design narratives.

When preparing a logframe, one of the most difficult columns to complete is the risks/assumptions column. An easy way to check whether the risks/assumptions identified make sense is to look at the activities row and follow this logic:

- IF these activities are undertaken AND the assumptions are true THEN these outputs will be produced. Then do the same with the outputs:
- IF the outputs are created AND the assumptions are true THEN the outcome will be achieved. And then the same for the outcome:
- IF the outcome is achieved AND the assumptions are true THEN the goal will be achieved.

Table 1: The standardized logical framework Matrix

Description		Objectively verifiable indicators		Sources and Means of Verification	Assumptions
Goal	What is the overall broader impact to which the intervention will contribute?	What are the key indicators that will measure the achievement of the goal?		What are the sources of information for these indicators?	What are the external factors necessary to sustain objectives on the long run?
Purpose	What are the immediate outcome at the end of the intervention?	Which indicators will measure that the objectives of the intervention have been achieved?		What are the sources of information that exists or can be collected? What methods can be used to collect this information?	Which factors/conditions are necessary to achieve the objective?
Outputs	What are the specific deliverable results envisaged to achieve the specific objective?	What are the indicators that will measure the extent to which actions undertaken achieve the expected results?		What are the sources of information & methods used to collect & report on these indicators?	What conditions must be met in order to timely obtain the expected results?
Activities	What are the main activities to be implemented in order to produce the expected results?	Inputs indicators	Timeframe	What are the sources of information on progress of activities?	What are the preconditions required before the activities start?
		Human & financial resources	Sequence of activities		

Although the logical framework matrix is useful and mostly adopted by Development Partners/Donors, it presents some limitations. The logical framework has limited flexibility and little room for the emergence of unexpected outcomes, it does not show why activities

are expected to produce outcomes. Fortunately the theory of change approach can help to clarify and simplify the intervention logic and whatever is not clear in the logical framework. The questions detailed in the Table above are the guiding questions for every M&E Practitioner when developing a Program or Project Logical framework and were also used to produce Fonerwa refined logical framework for the period of June 2020 to June 2024 which can be found in Annex 1.

1.3.2 The Theory of Change (ToC) Approach

The ToC gives the bigger picture and can summarize work at a strategic level, while a logical framework illustrate a Programme/Project (implementation) level understanding of the change process. In other words, the Logical Framework is like a microscopic lens that zooms in on a specific pathway within the TOC while the ToC shows the bigger picture with all possible pathways.

It is messy and complex but useful for representing and communicating FONERWA Programs/Project Implementation Strategy and provide guidelines on how individual programs/projects can link and contribute to the overall goal. It also supports in communicating fluently about the Organization Theory of Change, Results Framework and how FONERWA financed Programs/Projects fits in it. It is imperative that Programs/Projects financed by FONERWA should in their turn design their individual results chains that link the overall FONERWA outputs and outcomes.

For further details on FONERWA Theory of Change, refer to Annex 2.

SECTION 2: MONITORING

The development of a Program/Project results chain, theory of change and logic framework is done during the Program/Project design phase. During the implementation phase, other monitoring tools such as the M&E Plan, data collection instruments, data quality assurance checks should be developed to facilitate regular monitoring routine activities.

2.1 Develop a Monitoring &Evaluation (M&E) plan table

An M&E plan is a table that builds upon a logframe to detail key M&E requirements for each indicator. The main components of a monitoring plan are the following; Significant steps of the results chain, Indicators of success as per each step of the result chain, Definition, Baseline, Targets & milestones, Data collection methods, Sources of verification, Data analysis method, Frequency , Responsibility

A template of a M&E plan to be used by all Projects/Programmes under FONERWA funding with specific instructions on how to fill it is provided for in Annex 1. The M&E plan can be formatted differently, according to the planning requirements for Program/Project management. For instance, additional columns can be added, such as a budget column, a separate column to focus on data sources, or two columns to distinguish people responsible for data collection versus data analysis.

- The M&E plan should be developed during the planning stage of a Program/Project-before implementation to allow the implementation team to cross-check the logframe and ensure that the indicators and scope of work in the course

of implementation and data collection, analysis and reporting are realistic to field realities and team capacities.

- The M&E plan should be developed by those who will use it. Completing the monitoring plan requires a comprehensive understanding and knowledge of the Program/Project context. The Program/Project team should develop the M& E Plan in collaboration with all team members and partners so as to ensure data quality. Involving them reinforces their understanding of what data they are to collect and how it will be collected

2.2 Data collection

Data collection on Program/Project indicators should be at the core of FONERWA Monitoring& Evaluation system, fundamental to the design of measurable objectives and indicators during the design of projects, the essence of project monitoring efforts, as well as being the added-value of evaluation. Data is essential for learning; “you cannot improve, if you do not know”. Therefore, in order to develop as a learning organization, adequate monitoring needs to be taking place already.

At the same time, data collection is also the reason why Monitoring and Evaluation is often perceived to be mysterious and overwhelmingly technical. In order to obtain valuable data for Program/Project Management, it is critical for FONERWA staff to understand the tensions between scientific rigor and the reality of resource constraints.

Data can be collected from many sources, including existing records, observations, surveys, focus groups, and expert judgment. No single way is the best way. The decision about which method to use depends on the following;

- what you need to know
- where the data reside
- the resources and time available
- the complexity of the data to be collected
- the frequency of data collection
- the intended forms of data analysis.

The choice of methods hinges partly on the evaluation question to be answered, partly on how well the intervention is understood, and partly on the time and resources available. There is a trade-off between the in-depth understanding that comes from a case study (intensive data collection), for example, and the validity of the results yielded from a survey (extensive data collection). Intensive data collection generally uses semi structured approaches that allow for flexible responses. Extensive data collection generally requires structured approaches that allow for efficiency across many respondents.

Rules for data collection

When collecting data, use multiple data collection methods if possible. Use available data as much as possible because it's faster, less expensive, and easier than generating new data. If using available data find out how earlier such data was collected, how variables

were defined, and how data accuracy was ensured. Check the extent to which data may be missing.

If primary data must be collected, establish procedures or protocols and follow them; maintain accurate records of definitions and coding; pilot, pretest and verify the accuracy of coding and data inputs.

A data collection method refers to the procedure for how data are collected. Quantitative data collection methods produce countable or numerical results. Qualitative data collection methods produce non-numerical data, such as perceptions and descriptions. While performance monitoring is often associated with quantitative indicators, data collection methods for performance monitoring may be either quantitative or qualitative.

2.3 Data collection Methods

Data collection methods use both formal and more structured methods and informal, less structured methods. Formal and more structured methods include questionnaires, surveys, census and field experiments. Informal, less structured methods include interviews, focus group discussions, observations, etc.

2.3.1 Quantitative methods

Quantitative methods are often considered more objective and less biased than qualitative methods. Quantitative methods use objective measurements by gathering numerical data and generalize it across groups of people or in order to explain a particular phenomenon. Quantitative methods use objective measurements such as mathematical,

statistical or numerical analysis of data collected through polls, questionnaires, and surveys, or by manipulating pre-existing statistical data using computational techniques.

2.3.2 Qualitative methods

Qualitative data is not an exact measurement of what is being studied, generalizations or comparisons are limited, as is the credibility of observations and judgments. However, quantitative methods can be very costly, and may exclude explanations and human voices about why something has occurred and how people feel about it.

Recent debates have concluded that both quantitative and qualitative methods have subjective (biased) and objective (unbiased) characteristics. Therefore, a mixed-methods approach is often recommended that can utilize the advantages of both, measuring what happened with quantitative data and examining how and why it happened with qualitative data. When used together, qualitative methods can uncover issues during the early stages of a program/project that can then be further explored using quantitative methods, or quantitative methods can highlight particular issues to be examined in-depth and breadth with qualitative methods. For example, interviews may reveal that people in a community are concerned about hunger, and a sample of infants' weights which is obtained through quantitative method may substantiate that mass-wasting and malnutrition are indeed prevalent in the community.

Data can be collected obtrusively or unobtrusively.

Obtrusive methods are observations made with the participants' knowledge. Such methods are used to measure perceptions, opinions, and attitudes through interviews,

surveys, and focus groups. Observations made with the knowledge of those being observed are also obtrusive.

If you are using questionnaires to collect data, subjects know they are being studied, which may produce artificial results. According to Patton (1987, p. 33), “The instrument itself can create a reaction which, because of its intrusiveness and interference with normal program operation and client functioning, fails to reflect accurately what has been achieved in the program.” Those being studied may change their behavior or responses.

Unobtrusive methods are observations made without the knowledge of the participants

When approaching data collection, the method to use should be based on the situation you are trying to understand. Whatever the data collection method you chose to gather data from people, all the information collected is potentially subject to bias.

2.3.3 Types of data collection methods

This paragraph summarizes main data collection method used in monitoring and evaluation (M&E).

1. Questionnaire

A questionnaire is a data collection instrument containing a set of questions organized in a systematic way, as well as a set of instructions for the data collector/interviewer about how to ask the questions (typically used in a survey)

2. Interview

An interview can be structured, semi-structured or unstructured. Interview is about asking specific questions aimed at getting information that will enable indicators to be measured. Questions can be open-ended or closed (yes/no answers). An interview can be a source

of qualitative and quantitative information. An interview is very flexible. It can be used with almost anyone who has some involvement in the project, it can be done in person or on the telephone or even by email.

*i. **Structured Interviews***

Structured interviews are most typically used in quantitative investigations, including survey research. In structured interviews, the interviewer presents the interviewee with a standardized set of questions, often in a questionnaire form. These questions usually have pre-determined answers from which the interviewee selects, rather than 'open-ended' questions. Each individual interview features the same set of questions, asked in a fixed order. All questions included in the research design are asked in each interview session. Structured interview questions are the most common type used in survey interviewing.

*ii. **Semi- Structured Interviews***

Semi structured interviews are based on a mixed framework of general themes and pre-established questions, which can be adapted in the context of individual sessions. The interviewer is thus free to leave certain questions out, mix the order of questions, or ask certain standard questions in different ways depending on context. Semi-structured interviews also rely on a combination of both open and closed questions.

*iii. **Key informant interview***

Key informant interview is an interview with a person having special information about a particular topic. These interviews are generally conducted in an open-ended or semi-structured fashion.

3. Survey

A survey is a systematic collection of information from a defined population, usually by means of interviews or questionnaires administered to a sample of units in the population (e.g. person, beneficiaries and adults). An enumerated survey is one in which the survey is administered by someone trained (a data collector/enumerator) to record responses from respondents. A self-administered survey is a written survey completed by the respondent, either in a group setting or in a separate location. Respondents must be literate.

4. Focus group discussion

A focus group discussion involves gathering people from similar backgrounds or experiences together to discuss a specific topic of interest. It is a form of qualitative data collection where questions are asked about people's perceptions, attitudes, beliefs, opinion or ideas. The group of participants is guided by a moderator or group facilitator who introduces topics for discussion and helps the group to participate in a lively and natural discussion amongst themselves. The strength of FGD relies on allowing the participants to agree or disagree with each other so that it provides an insight into how a group thinks about an issue, about the range of opinion and ideas, and the inconsistencies and variation that exists in a particular community in terms of beliefs, experiences and practices.

Detailed outline of the process

FGD sessions need to be prepared carefully. The moderator or group facilitator needs to identify the main objective of the meeting, develop key questions, developing an agenda, and plan how to record the session. The next step is to identify and invite suitable

discussion participants; ensure it is representative and inclusive. The ideal number of the group is between eight and twelve individuals.

5. Case study

A case study is a detailed description of individuals, communities, organizations, events, program/project, time periods or a story. A case study is particularly useful in evaluating complex situations and exploring qualitative impact. A case study deeply contextualize the subject of study, providing impressive details on the context and processes. It usually use both quantitative and qualitative methods, helps to understand how things fit together. Case studies can also be sequenced with more experimental designs, either to identify the causal chains of interest or for grounding and testing statistical findings.

Key steps involved in conducting case studies include the following:

- Step 1: Define object and subject of analysis
- Step 2: Define purposive sample
 - Choose key cases for phenomena
 - Rich, local knowledge
 - Explore "outliers" (extreme, deviant or atypical cases)
- Step 3: Decide on purpose, approach and process
- Step 4: Define (mixed) methods & conduct research
- Step 5: Record observations using various quantitative and qualitative tools
- Step 6: Conduct Data Analysis,
 - collate data, identify patterns & construct a narrative, using examples, including numerical data,

- keep to the original purpose of the case study

When it comes to data collection design and choosing methods, programs/projects need to find the options that suit them best

6. Checklist

A checklist is a list of items used for validating or inspecting whether procedures/steps have been followed, or the presence of examined behaviors. Checklists allow for systematic review that can be useful in setting benchmark standards and establishing periodic measures of improvements. As it will be seen under the paragraph on data quality assurance, a checklist tool is proposed for use by FONERWA project recipients

7. Community book

A community-maintained document of a project belonging to a community. It can include written records, pictures, drawings, maps or whatever community members feel is appropriate. Where communities have low literacy rates, a memory team is identified whose responsibility is to relate the written record to the rest of the community in keeping with their culture and traditions.

8. Community meetings

A form of public meeting open to all community members. Interaction is between the participants and the interviewer, who presides over the meeting and asks questions following a prepared interview guide. This technique is most utilized at village and cell level especially when local leaders want to assess and collect information on farmers perceptions, feelings, expectations towards an intervention being implemented in the area.

9. Observation.

An observation is a record of what an observer see and hear at a specified site, using a detailed observation form. Observation may be of physical surroundings, activities or processes. Observation may be direct or indirect. Observation is a good technique for collecting data on behavioral patterns and physical conditions. An observation guide is often used to reliably look for consistent criteria, behaviors, or patterns. For example, when assessing food security at household level or nutrition matters in a household, it is very informative to use observations along other methods of data collection. The enumerator spend a certain time within the household to assess how often households members eat and whether they go to sleep full or hungry. So every time you want to study something, careful review what you need to know and how better you can get accurate data and what triangulation methods or sources you can use to minimize bias.

i. Direct Observation

Direct observation is based on the recording of observations on objects, events, processes, relationships and/or behavior. It is useful for seeking to understand on-going processes, unmet achievements or when data collection is very difficult through other means. Direct observation can also result in the discovery of unexpected outcomes

Summary of key steps involved in direct observation

- Step 1: Decide on the subject of study, based on logic model and/or indicators
- Step 2: Select the most appropriate tool (loose field notes, more structured observation guides) Tools: desk review, field notes, observation guides, check-lists, rating scales, transcriptions, various media (e.g. photo, voice, collaging, drawing and mapping)

- Step 3: Define the most appropriate sample/venue/time/observer
- Step 4: Conduct observation
- Step 5: Fill in forms
- Step 6: Analyze data

10. Document review or desk review

A review of documents (secondary data) can provide cost-effective and timely baseline information and a historical perspective of a project/program. It includes written documentation (e.g. project records and reports, administrative databases, training materials, correspondence, minutes of meetings, strategy papers, and policy documents as well as videos, electronic data or photos.

2.4 Bias

Bias suppose that when individuals are requested information about themselves or others, they may or may not tell the whole truth unintentionally or intentionally. They may distort the truth because they do not remember accurately or fear the consequences of providing a truthful answer. They may also be embarrassed or uncomfortable about admitting things they feel will not be socially acceptable. All self-reported data are vulnerable to this problem. Individuals may respond what they think the enumerator /evaluator/ investigator/researcher wants to hear rather than the truth.

1. Selection bias

Selection Bias is a type of bias caused by how subjects in a study are chosen. When the selected respondents are not representative of the population, an error occurs. The bias

exists due to a flaw in the sample selection process, where a subset of the data is systematically excluded due to a particular attribute. The exclusion of the subset can influence the statistical significance of the test, or produce distorted results.

2.5 Triangulation

Triangulation is the process of using different methods and/or sources for data collection. In order to increase data accuracy, it is paramount to use different methods of data collection. The use of different data collection methods is called “Triangulation of data collection methods”. The Collection of the same information from a variety of sources in order to increase the accuracy of the data is also another form of triangulation called” Triangulation of data sources”. The collection of the same information from more than one evaluator in order to increase data accuracy is also triangulation.

Subjects of a study are not the only people who may affect the results of an evaluation. Evaluators and the evaluation setting may also have effects. Women, for example, may respond differently to a male interviewer than to a female interviewer; they may respond differently if they are interviewed alone or with their spouses.

Combining different sources and methods (mixed methods) helps to cross check data and reduce bias to better ensure the data is valid, reliable and complete. The process also lends to credibility if any of the resulting information is questioned. Triangulation can include a combination of primary and secondary sources, quantitative and qualitative methods, or participatory and non-participatory techniques.

2.6 Sampling

This paragraph discusses how to determine how much data to collect, how to select the sources of data in a way that they closely reflect the population and help answer evaluation questions.

When data cannot be collect form every program/project beneficiary or participant, data can be collected from a subset or a sample. A sample can be random or nonrandom.

2.6.1 Types of random samples

1. Random sampling

A random sample is a sample in which each unit in the population has an equal chance of being selected. The advantage of random sampling is that it eliminates selection bias or the distortion of data arising from the way the data is collected. A random sample should be representative of the population in whole to allow for generalization. To be able to select a sample, you need a sampling frame which is a list of every unit in the population of interest. Each unit in the population needs to be assigned a unique identification number. There 4 types of random sampling

2. Systematic random sampling

A Systematic random sampling does not involve separate random selection of each household. For this reason, systematic random sampling is often used to select large samples from a long list of households.

Steps in selecting a systematic random sample:

- Calculate the sampling interval (the number of households in the population divided by the number of households needed for the sample)
- Select a random start between 1 and sampling interval
- Repeatedly add sampling interval to select subsequent households

3. Stratified sampling

A stratified sample is a sample in which the sampling frame is divided into two or more strata (subpopulation) from which participants are randomly selected.

For example if you want to look the effects of a Program/Project on both rural and urban households. If rural households represent a small proportion of the total population, a stratified sample would need to be drawn by dividing the population into non-overlapping groups called strata and proceed to drawing a simple random sample within each stratum and the number selected from each stratum should be equivalent to the stratum's proportion of the total population.

4. Cluster sampling

A cluster sampling is a sampling which draws a sample from naturally occurring clusters of the unit of analysis. For example, households and homes are cluster of people, towns are clusters of households. Clusters should be mutually exclusive and collectively exhaustive. In cases where simple random sampling or systematic random sampling is not possible, one of the most common methods of sampling is using cluster sampling.

Use cluster sampling when;

- there is no complete lists of everyone in the population but there is a complete list of the clusters in which they occur.
- there is a complete list but the names on the list are so widely dispersed that it would be too time consuming and expensive to send data collectors out to conduct a simple random sample.

Cluster sampling is a way to randomly choose smaller and smaller geographic areas until you get to a small enough area so that you can find or create a list of all households in order to do simple or systematic random sampling.

For example, you may first choose districts from a list of all districts in the country. But at the district level, authorities don't have lists of all households and there are too many households in each district to create a list of households. As a result, within selected districts, you have to choose smaller geographic units, such as villages, which are small enough that local authorities already have a list of households or you can make a new list of all households

5. Multistage sampling

Multistage sampling is a sample which use two or more random sampling procedure sequentially. The process involves dividing the population into clusters. Then, one or more clusters are chosen at random and everyone within the chosen cluster is sampled. Instead of using all the elements contained in the selected clusters, randomly select elements from each cluster. Constructing the clusters is the first stage. Deciding what elements within the cluster to use is the second stage. The technique is used frequently when a complete list of all members of the population does not exist and is inappropriate.

For example, a household survey may begin by dividing geographical regions into districts and selecting some of these districts is the first stage. The selected districts are then divided into sectors, and sectors are chosen from within each selected district. This is the second stage. Next, houses are listed within each selected sector, and some of these houses are selected. This is the third stage. This method makes it unnecessary to create a list of every house in the region and necessary only for selected sectors. In remote areas, an additional stage of clustering is used, in order to reduce travel requirements

2.6.2 Types of nonrandom samples

A nonrandom sample is a sample with limited ability to generalize findings to the larger population. There are 3 types of nonrandom samples;

1. Purposive sample

Purposive sampling, also known as judgmental, selective or subjective sampling, is a type of non-probability sampling technique. Non-probability sampling focuses on sampling techniques where the units that are investigated are based on the judgment of the researcher.

The main goal of a purposive sample is to focus on particular characteristics of a population that are of interest, which will best enable you to answer your research questions. The sample being studied is not representative of the population, but for researchers pursuing qualitative or mixed methods research designs, this is not considered to be a weakness. Rather, it is a choice, the purpose of which varies depending on the type of purposive sampling technique that is used

2. Snowball sample

A snowball sample is also known as chain referral sample. It is used when you don't know who or what to include in a sample, when the boundaries of the population are unknown and when there is no sampling frame. Snowball samples represent potential biases because they rely on a referral claim. Snowball sampling should be used with caution

3. Convenience sample

A convenience sample is simply one where the units that are selected for inclusion in the sample are the easiest to access. This type of sample is chosen on the basis of convenience to the evaluator. For example when you decide to conduct spot checks and for convenience purposes, you chose the project being implemented in the vicinity of FONERWA offices or interviewing project staff which are available during the time you are carrying out a spot check, or observing whichever activity or physical infrastructure implementers decide to show you.

Convenience samples are extremely weak, they infer any type of evidence or pattern from the information because there is no way to know how different the samples are from the relevant population as a whole.

2.6.3 Determining the sample size

A **sample size** is the number of observations in a sample or in other terms the number of respondents. Before choosing the sample size, you must decide how confident you need to be that the sample results accurately reflect the entire relevant population. Therefore, you need to decide the confidence interval you want, determine how precise you need

the estimations to be. When determining how precise you want the estimations to be, you are in other terms defining the margin of error.

Confidence level indicates the probability, with which the estimation of the location of a statistical parameter (e.g. an arithmetic mean) in a sample survey is true for the population. The confidence level generally used is 95%. A 95 percent confidence level means that 95 times out of 100 sample results will accurately reflect the population as a whole. The sample size grow or reduce depending on the confidence level you choose. For example if you want a confidence level of 90 percent, the sample size will be smaller. If you want a confidence level of 99 percent, the sample size will be larger.

A **margin of error** of sampling error is an estimate of error caused by observing a sample rather than the entire population. It's the average difference between all estimates for all possible samples and the value obtained if the total population had been studied or evaluated.

Confidence interval is the range within which the true population value lies with a given probability

Note that these are minimum sample sizes for a 95% confidence level, +/- 5% margin of error. Whenever possible, you should select a larger sample size to compensate for the likelihood of a lower than 100% response rate.

Tips on the determination of sample Size

- Accuracy and precision can be improved by increasing your sample size. In other words by increasing sample size, you increase accuracy and reduce margin of error.
- The standard you should aim for is a 95% confidence level and a margin of error of +/- 5%.

- The larger the margin of error, the less precise your results will be.
- The smaller the population, the larger the needed ratio of the sample size to the population size

2.6.4 Ethical Issues in data collection

There are several ethical issues which must always be considered when planning any type of data collection. Data collection always costs someone something. It may cost enumerators, consultants, Evaluations Specialists and or M&E Specialist's time and energy to complete surveillance forms. It certainly costs money and time to collect, analyze, interpret, and disseminate data and results. Surveys are even more resource intensive. Data collection also costs the people in the population from which the data are collected from a certain amount of time, discomfort, and potential harm.

In addition, implementing or revising programmes in response to the conclusions drawn from data collected always cost manpower, time, money, and other resources. And if the conclusions are wrong because the data were poorly collected, these resources, which could have been used otherwise, may be wasted or inefficiently employed.

Therefore, before beginning the planning process, be sure that the results of the data collection will:

- Truly be needed,
- Be disseminated widely,
- Be used to implement or revise a Program/Project, and
- Use the least intrusive and costly data collection method possible

Nonetheless, keep in mind that data collection in emergency situations is necessary to guide program decisions. Collection of data necessary for this purpose should not be delayed if the data collection poses only minimal risk to individuals or groups.

Regardless of the type of data collection, it is absolutely necessary to gain the approval of the community from which the data will be collected from.

2.6.5 Required approvals for data collection

The National Institute of Statistics is the relevant authority to provide visa for surveys and any other types of research in Rwanda. This is relevant for baseline studies and impact assessments in most cases. Anything that requires to conduct statistical survey at national level or covering at least a whole province, must request a prior approval of the National Institute of Statistics of Rwanda to conduct such statistical data collection activity. Study Protocols should be submitted to NISR two months prior to the commencement of the study. Prior to starting data collection on the field, a request of authorization should also be requested from relevant local authorities. For studies which touches on sensitive human data, an official authorization from the Ethical review committee must be obtained before the commencement of the study.

2.6.6 Data collection tools and devices

Collecting data in the field is always a headache for enumerators. Often data are paper based collection but can be simplified with technology. FONERWA should encourage Project Implementers to migrate from paper based approaches in data collection to mobile technology data collection based approaches.

There are free and open tools, mobile applications and devices that can be used in data collection depending on data collection techniques you chose to use. When collecting data through survey or questionnaires, you may find useful and rapid to use free mobile applications

Mobile applications for data collection

1. *Kobo Toolbox* is an integrated set of tools for building forms and collecting interview responses. It allows to design forms and customize them according to every Program/Project's needs, presents itself with an offline feature which allow the user to collect and store data offline. It also allow to take pictures and GPS coordinates.

2. *ODK Collect* is a replacement for paper forms with support for geo-locations, images, audio clips, video clips and barcodes, as well as numerical and textual answers. ODK Collect can evaluate complex logic to control the display prompts and to impose constraints on their responses; it also supports groups of repetitive questions and data collection in multiple languages. ODK Collect is designed to work out of touch with a cellular network / Wi-Fi during the data collection effort. Once back in the network coverage, the completed forms can be copied out of the device or sent to a server you control for analysis.

3. *Survey CTO* is a reliable, secure and scalable mobile data collection app for researchers and professionals. This app expanded on the ODK software to increase its scale, utility and power. It allows users to design a variety of complex survey forms with

either an intuitive spreadsheet format or a drag-and-drop form. Data can further be pre-loaded and streamed between datasets.

The data can also be collected offline with the SurveyCTO Android app or using an online web interface. It enables to monitor all incoming data using review and corrections workflow, automated quality checks, and data classification systems. Visualization of the data is almost instant through a built-in tool, and further analysis of the data is done using external analytical tools such as Excel. It has a synchronization feature that allows to download, transport, export and process data. Survey CTO however is not free. It costs around US\$198 per team per month.

2.6.7 Pretesting

Pretesting or piloting data collection instruments and procedures is vital to building an effective monitoring system.

Key points about pretesting include the following:

- A data collection approach needs be tested to find out how good it is.
- Pretesting provides a way to improve instruments or procedures before data collection is fully undertaken.
- Avoiding pretesting probably will result in mistakes which could cost the organization a lot of time and money, and may be its valued reputation and image.
- If there is ambiguity as to how data will be collected and what the data will look like, it is best to pilot several strategies, if possible before effective implementation monitoring and results monitoring

2.6.8 Responsibilities for data collection

Responsibility for data collection will vary widely from FONERWA staff (namely the M&E team members), Projects/Programs Implementers (Public/Private Agencies & CSOs or NGOs), national to international consultants. It is imperative that responsibilities of data collection on each performance indicator be clarified on the M&E Plan.

Every Project/Program Implementer has the obligation to put in place an effective system to gather and manage data. Data collection responsibilities for implementation monitoring and results monitoring rely with Program/Project Implementers. FONERWA M&E personnel responsibility is to ensure timely data reporting and quality. To increase data quality, FONERWA should drive the process of data quality assurance through the establishment of data validation sessions at Project level.

2.7 Data Analysis Strategy

2.7.1 Analyzing Qualitative Data

Qualitative data analysis is used to make sense of non-numerical data collected as part of the evaluation. Analyzing focus Group transcripts, open-ended interviews, written documents, semi structured observation require the use of qualitative techniques. Qualitative data analysis begins while still in the field, when insights may emerge. Part of fieldwork is recording and tracking analytical insights that occur during data collection. Data collection and analysis should overlap, as long as the evaluator takes care not to allow initial interpretations to confine analytical possibilities. In the course of fieldwork, insights on analysis directions occur. Patterns take shape. Possible themes spring to

mind. Hypotheses emerge that inform subsequent fieldwork. There are 4 types of data analysis when analyzing qualitative data;

1. Content analysis: reducing large amounts of unstructured textual content into manageable data relevant to the (evaluation) research questions.
2. Thematic coding: recording or identifying passages of text or images that are linked by a common theme or idea allowing the indexation of text into categories.
3. Framework matrices: a method for summarizing and analyzing qualitative data in a two-by-two matrix table. It allows for sorting data across case and by theme.
4. Timelines and time-ordered matrices: aids analysis by allowing for visualization of key events, sequences and results.

2.7.2 Tips for collecting & analyzing qualitative data

Collect data

- Keep good records.
- Write up interviews, impressions, and notes from focus groups immediately after data are collected.
- Make constant comparisons as you progress.
- Meet with team regularly to compare notes, identify themes, and make adjustments.

Summarize data

- Write one-page summary immediately after each major interview or focus group.
- Include all main issues.
- Identify most interesting, illuminating, or important issue discussed or information obtained.
- Identify new questions to be explored.

Use tools to keep track

- Create a separate file for your own reactions during the study, including your feelings, hunches and reactions.

- Record your ideas as they emerge.
- Keep a file of quotations from the data collection process for use in bringing your narrative to life when you write your report.

Store data.

- Make sure all of your information is in one place.
- Make copies of all information, and place originals in a central file.
- Use copies to write on, cut, and paste as needed.

2.7.3 Coding data

Coding is one of the most important steps in data preparation. It refers to grouping and assigning values to responses from the survey. There are two types of coding; coding of qualitative data and coding of quantitative data.

1. Coding of qualitative data

Coding is the process of labeling and organizing your qualitative data to identify different themes and the relationships between them. When coding qualitative data you assign labels to words or phrases that represent important and recurring themes in each response. These labels can be words, phrases, or numbers; we recommend using words or short phrases, since they're easier to remember, skim, and organize. Coding qualitative data to find common themes and concepts is called thematic analysis. Thematic analysis extracts themes from text by analyzing the word and sentence structure. Qualitative software like NVivo are good for qualitative data coding and analysis

2. Coding of quantitative data

Coding of quantitative data is used when data need to be transformed into a numeric response. Coding allows the data to be processed in a meaningful way. Data on such characteristics as height, weight, age, and number of days worked do not need coding,

because they are already numerical. Other types of data such as whether or not a respondent has a bank account need numeric codes to allow for analysis. An evaluator can code the responses using 1 for yes and 2 for no. Other data may be collected in ranges or opinions. Say, for example, the question is “To which age group do you belong?” Each of the age groups can be given a code (under 18 = 1, 15–18 = 2, 26–35 = 3, and so forth).

2.7.4 Cleaning data

Data cleaning is the process of detecting and correcting (or removing) corrupt or inaccurate records from a record set, table, or database and refers to identifying incomplete, incorrect, inaccurate or irrelevant parts of the data and then replacing, modifying, or deleting the dirty or coarse data. The actual process of data cleansing may involve removing typographical errors or validating and correcting values against a known list of entities

2.7.5 Analyzing quantitative data

Quantitative data analysis summarizes numerical information collected as part of an evaluation. Evaluators enter the data into a computer data file to help organize the data or to use software packages that analyze the data as they are entered. Quantitative data need to be coded for analysis, but doing so is simpler than conducting content analysis of qualitative data.

Quantitative data are analyzed using statistics. The most important statistical concepts are the following;

- descriptive statistics, which describe and summarize quantitative data inferential statistics, typically used to analyze random sample data by predicting a range of population values for a quantitative or qualitative variable, based on information for that variable from the random sample. Part of the prediction includes a reliability statement, which states the probability that the true population value lies within a specified range of values.
- Inferential statistics are on the other hand used to draw inferences about a population from a sample. The goal of inferential statistics is to draw conclusions from a sample and generalize them to a population, therefore the evaluator needs to have confidence that the selected sample accurately reflects the population. The process consist in defining the population being evaluated , draw a representative sample from the population and use analyses that incorporate the sampling error.

2.7.6 Tips for analyzing quantitative survey data

To analyze quantitative survey data;

- Choose a standard way to analyze the data and apply it consistently
- Do not combine the middle category with categories at either end of the scale
- Do not report an “agree” or “disagree” category without also reporting the “strongly agree” or “strongly disagree” category if used
- Analyze and report both percentage and numbers
- Provide the number of respondents as a point of reference
- If there is little difference in results, raise the benchmark. What do the results look like when the focus is on the questions that received a majority saying “very satisfied” or “strongly disagree”?
- Remember that data analysis is an art and a skill, it get easier with training and practice

2.8 Data Quality Assurance

2.8.1 Introduction

Data quality assurance is the process of data profiling to discover inconsistencies and other anomalies in the data, as well as performing data cleansing activities (e.g. removing outliers, missing data interpolation) to improve the data quality.

Because implementing organizations (Government entity/Public entities/CSOs/NGOs) may be dealing with so much data across so many different areas, it's helpful to have a checklist to determine that you're working with the highest quality of data possible. For each indicator, the indicator reference sheet/metadata describe how it is defined, collected, analyzed and interpreted over time. Therefore, data quality assurance consists of checking whether data collection methods outlined in the metadata are consistently used in the collection of data on field and consistent within the dataset with major data set over time.

2.8.2 Data quality assessment checklist

This data quality assessment checklist is adapted from USAID data quality assurance procedures.

1. Reliability

Data should reflect stable and consistent data collection processes and analysis methods over time

Questions	Yes	No	Comments
Does the information collected measure what it is supposed to measure?			
Do results collected fall within a plausible range?			

Is there reasonable assurance that the data collection methods being used do not produce systematically biased data (e.g. consistently over- or under-counting)?			
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2. Timeliness

Are data collected frequently and current?

Questions	Yes	No	Comments
Are data available frequently enough to inform program management decisions?			
Is there a regularized schedule of data collection in place to meet Program/Project Management needs?			
Are the data reported as soon as possible after collection?			

3. Precision

Do the data have an acceptable margin of error?

Questions	Yes	No	Comments
Is the margin of error less than the expected change being measured?			
Is the margin of error is acceptable given the likely management decisions to be affected? (consider the consequences of the program or policy decisions based on the data)			
Have targets been set for the acceptable margin of error?			
Has the margin of error been reported along with the data			
Would an increase in the degree of accuracy be more costly than the increased value of the information?			

4. Integrity

Are data free from manipulation?

Questions	Yes	No	Comments
Are mechanisms in place to reduce the possibility that data are manipulated for political or personal reasons?			
Is there objectivity and independence in key data collection, management, and assessment procedures?			
Has there been independent review?			
If data is from a secondary source, is the management confident in the credibility of the data?			

2.8.3 Tips for Conducting Data Quality Assessments

- The assessor of data quality should understand the definition of the indicator by checking the Indicator reference sheet or metadata. Any issues of ambiguity in the definition, methods of data collection should be addressed before data quality assessment is conducted.
- The assessor should have a copy of the methodology for data collection in hand before assessing the indicator. For each Project under FONERWA funding, this information should be in the M&E plan. Each indicator should have a written description of how the data being assessed are collected.
- Each CSO/Government entity/Public entity implementing a Project funded or co-funded by FONERWA should have a detailed document detailing data collection instruments and method of data collection used as evidence that data are being collected in accordance with defined methodology.
- The assessor of data quality should provide a data quality assessment report detailing indicators assessed, relevant issues/challenges found, proposed corrective measures, timeframe for undertaking necessary corrections.
- Each CSO/Government entity/Public entity implementing a Project funded or co-funded by FONERWA should provide evidence that they have verified data reported

to FONERWA and should be to provide evidence that demonstrate that all data reported have been verified to FONERWA. All field visits dates and reports, persons met, activities visited should be recorded and may be requested by FONERWA at any time in order improve data reliability and validity.

- The assessor of data quality should review all records against the methodology set for data collection for each indicator in the M&E plan. Any data quality concern should be documented.
- Every limitation found during data quality assessment should be recorded. Concerned implementing organizations should provide to FONERWA in writing an action plan showing steps to take further to address the limitations found forth. The Action plan should clearly describe tasks, timeframe and the responsible staff.

SECTION 3: EVALUATION

3.1 Introduction

Evaluation is a systematic assessment. Evaluations should follow a systematic and mutually agreed plan. Plans will typically include the following;

- Determining the goal of the evaluation: What is the evaluation question, what is the evaluation to find out?
- How will the evaluation answer the question: What methods will be used
- Making the results useful, how will the results be reported so that they can be used by the organization to make improvements

Many evaluation approaches exist. There is no single approach which is best for all situations.

3.2 Types of evaluations

There are different types of evaluations depending on the objective and the subject being evaluated. Deciding the type of evaluation depends on the following factors: the moment that it will take place, the process to carry out and the focus and subject. Evaluations can be categorized in several different ways:

- By **when they take place**: Formative evaluation; Summative evaluation; Preliminary, ex-ante, evaluative assessments or appraisals, Ex-post evaluations and Impact assessments.
- By **the processes used**: Self-evaluation or auto-evaluation; Participatory evaluation; Process evaluation; Synthesis evaluation and Meta-evaluations.

By where they focus: Project; Program; Sector; portfolio, Country program; Country development; Aid instruments; Partnerships and Thematic. Since evaluation teams do not have the time and resources to look at everything, those commissioning evaluations need to be clear about limiting or focusing the scope of any evaluation exercise, within the resources available

Below is a guide on the types of evaluations to be conducted by FONERWA in Program/Projects Management.

- Baseline study: To be conducted for each and every Program/Project funded by FONERWA within 3 months of Program/Project commencement
- Annual Performance Evaluation: To be conducted every year for Programs/Projects with a life span of one year. Annual Performance Evaluations should be conducted by external consultant following the OECD/DAC criteria
- Mid-term Evaluation: To be conducted for all Programs/Projects with a life span of 2 years and above. Mid Term Evaluations should be conducted by external consultants using OECD/DAC criteria.
- End line Evaluation or Final Evaluation: To be conducted at the end of every Program/Project with a life span of two years and above. To be conducted by external consultant using OECD criteria.
- Portfolio Review and Impact Assessments: to be conducted every five years to assess how FONERWA investments are making long lasting impacts. The objectives of these type of assessments is to respond to cause and effect questions in order to establish how FONERWA funded Programs and Projects are driving FONERWA long lasting impacts.

3.3 Evaluation Process

The evaluation process consists of the following, getting stakeholders (people involved in the program) actively involved in the evaluation, Developing a complete understanding of the Program/Project., using the knowledge to determine what information is needed and how to gather it, gathering the evidence, interpreting the evidence, making sure it makes sense. Using the results, making sure they are useful, getting stakeholders to use them, which depends on stakeholder involvement throughout the evaluation process. Following up, continuing communication among all involved, about the evaluation, implementing any recommendations, sharing feedback about the evaluation.

3.4 How to plan an evaluation

3.4.1 Purpose of evaluation

Before beginning an evaluation, the evaluation purpose should be clearly defined. A clear purpose helps the formulation of evaluation questions, and makes it easier for external evaluators to respond to the demand. If the purpose is not clear, there is a risk that the evaluation will focus on the wrong issues, draw invalid conclusions and provide recommendations which will not be useful for the intended users. In order to define the purpose, the evaluation manager should ask the following questions: Who wants the evaluation? Why do they want it? How do they intend to use it? In the context of international development, evaluations have two main objectives:

- **Accountability:** to account for the use of resources to funders, such as the funding agencies themselves, the parliaments and taxpayers, and the beneficiaries of development interventions.

- **Learning:** to learn from experience through discovering whether particular development interventions have worked or not, and through understanding why they have been relatively successful or unsuccessful in particular context.

The evaluation purpose has to be formulated in a way that specifies how the information produced by the evaluation is to be used. The purpose of an evaluation is always an action that the evaluation is intended to make possible. After identifying the evaluation purpose, it is important to define the **evaluation's intended users** in order to optimize the usefulness of the evaluation for the various players, and especially to ensure that the evaluation meets the expectations of the intended users. Intended users can be: policy-makers and program planners; managers, partners and operators involved in the implementation; institutions that granted funds and to which the managers of the intervention are accountable; public authorities that conduct related or similar interventions; actors in civil society; experts.

3.4.2 Framing the evaluation scope

The scope of the evaluation is defined by specifying the issues covered, the time period, types of interventions, funds actually spent, geographical coverage and target groups. Specifying the evaluation scope enables clear identification of the commissioning entity's expectations and of the priorities that the evaluation team must focus on in order to avoid wasting its resources on areas of secondary interest. The central scope is specified in the terms of reference and the extended scope in the inception report.

3.4.3 Guidelines on how to draft evaluation related terms of reference

- Provide background information about the project, program, and/or subject to be evaluated.
- Define the purpose/objectives and rationale for the evaluation, responding clearly and concisely to the question of why the evaluation is undertaken.
- List all intended users of the evaluation- the evaluation is usually designed and carried out around the needs of the primary intended users.
- Define the questions to be answered in the evaluation- make sure the questions are as specific as possible.
- Define principles and approaches that will guide the evaluation (e.g. research ethics, transparency, openness, etc.).
- Provide a methodology section should detail which detail methods of investigation consistent with evaluation questions, principles and approaches, intended users, budget and time.
- Clarify stakeholder involvement, roles and responsibilities for all stakeholders: who will be involved? How will they be consulted? Who will undertake each of the tasks and how the steps of the evaluation will be completed?
- Precise the reporting requirements such as the format, dissemination materials, intended audiences, content, length, format of recommendations, etc.
- Provide an accurate and detailed estimation of cost of the evaluation: the budget should include personnel per day, travel expense, supplies and equipment, translations, copies, communications, etc.
- Provide a timeline and milestones. Describe the evaluation process: planning, data collection, data analysis, reporting, facilitation of use, reporting and handling.
- Inform the prospects on documents available - list documents available on the issue and projects that will be helpful for the evaluation.
- Specify deliverables (types of reports and workshops that will be expected as a result of the evaluation process).
- Define the expected quality of the evaluation reports (standards of quality of evaluation reports-utility, feasibility, accuracy, appropriateness.)
- Describe the evaluation team qualifications, technical skills, knowledge and experience of consultants, and the specific roles of the team leader, local consultants, etc.

3.4.4 Guidelines on how to undertake an evaluation

- **Define or reconstruct the theory of change:** in many cases, the actual logic model of an intervention is not the same as it was at the design stage. The reason being that no complete hierarchy of results was been defined at the design stage, the intervention logic has changed over time and is significantly different from the program theory model at the design stage, outputs, outcomes and impact were defined too vaguely or are ambiguous at the design stage.

- **Refine the evaluation methodology:** the evaluation method is already determined at the outset by the Terms of Reference. However, many evaluations still require evaluators to further refine evaluation methods and the appropriate methodological mix. This needs to be done during the inception stage of an evaluation and in line with the evaluation questions, judgment criteria, indicators, data collection tools and analysis strategy
- **Data collection:** design data collection instruments that respond to evaluation
- **Data analysis:** design your data analysis matrix, turn data collected into information, systematically analyze and interpret data
- **Formulate findings:** describe the progress and results of the intervention, compare progress and results to what was planned and/or some other standards, judge whether enough progress was made and/or the results were achieved, identify major reasons for successes, failures and constraints. For the findings to be credible and persuasive, they must flow from quantitative and qualitative data and be backed up by the evidence collected.
- **Formulate recommendations:** Based on the findings, interpret the implications of the findings and develop recommendations for decision-makers. Typically, recommendations should suggest ways to build on achievements, solve problems and counter constraints. Recommendations should be practical, feasible suggestions in response to the question 'What should be done?'

3.5 Impact Evaluation

An impact evaluation provides information about the impacts produced by an intervention, positive and negative, intended and unintended, direct and indirect. This means that an impact evaluation must establish what has been the cause of observed changes referred to as causal attribution, also referred to as causal inference. If an impact evaluation fails to systematically undertake causal attribution, there is a greater risk that the evaluation will produce incorrect findings and lead to incorrect decisions.

For example, deciding to scale up when the program/project is actually ineffective or effective only in certain limited situations, or deciding to exit when a program/project could be made to work if limiting factors were addressed. An impact evaluation provides information about the impacts produced by an intervention. The *intervention* might be a small project, a large program, a collection of activities, or a policy. Many development

agencies use the definition of *impacts* provided by the Committee: “positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.” (OECD-DAC 2010).

This definition implies that impact evaluation goes beyond describing or measuring impacts that have occurred to seeking to understand the role of the intervention in producing these causal attributions; can encompass a broad range of methods for causal attribution; and, includes examining unintended impacts.

An impact evaluation can be undertaken to improve or reorient an intervention (i.e., for formative purposes) or to inform decisions about whether to continue, discontinue, replicate or scale up an intervention (i.e., for summative purposes).

While many formative evaluations focus on processes, impact evaluations can also be used formatively if an intervention is ongoing. *For example*, the findings of an impact evaluation can be used to improve implementation of a program or project for the next intake of participants by identifying critical elements to monitor and tightly manage.

Most often, impact evaluation is used for summative purposes. Ideally, a summative impact evaluation does not only produce findings about ‘what works’ but also provides information about what is needed to make the intervention work for different groups in different settings

3.5.1 When to do impact evaluation?

An impact evaluation should only be undertaken when its intended use can be clearly identified and when it is likely to be able to produce useful findings, taking into account the availability of resources and the timing of decisions about the intervention under investigation. An evaluability assessment might need to be done first to assess these aspects. Prioritizing interventions for impact evaluation should consider: the relevance of the evaluation to the organizational or development strategy; its potential usefulness; the commitment from senior managers to using its findings; and/or its potential use for advocacy, resource mobilization or accountability requirements.

It is also important to consider the timing of an impact evaluation. When conducted belatedly, the findings come too late to inform decisions. When done too early, it will provide an inaccurate picture of the impacts (i.e., impacts will be understated when they had insufficient time to develop or overstated when they decline over time).

Issue	Impact evaluation might be appropriate when...	Impact evaluation might NOT be appropriate when...
Intended uses and timing	There is scope to use the findings to inform decisions about future interventions.	There are no clear intended uses or intended users – for example, decisions have already been made on the basis of existing credible evidence, or need to be made before it will be possible to undertake a credible impact evaluation.
Focus	There is a need to understand the impacts that have been produced.	The priority at this stage is to understand and improve the quality of implementation.

Resources	There are adequate resources to undertake a sufficiently comprehensive and rigorous impact evaluation, including the availability of existing, good quality data and additional time and money to collect more.	Existing data are inadequate and there are insufficient resources to fill gaps.
Relevance	It is clearly linked to the strategies and priorities of an organization, partnership and/or government.	It is peripheral to the strategies and priorities of an organization, partnership and/or government.

Regardless of the type of evaluation, it is important to think through who should be involved, why and how in each step of the evaluation process to develop an appropriate and context-specific participatory approach. Participation can occur at any stage of the impact evaluation process: in deciding to do an evaluation, in its design, in data collection, in analysis, in reporting and, also, in managing it.

Being clear about the purpose of participatory approaches in an impact evaluation is an essential first step towards managing expectations and guiding implementation. Is the purpose to ensure that the voices of those whose lives should have been improved by the program/project or policy are central to the findings? Is it to ensure a relevant evaluation focus? Is it to hear people's own versions of change rather than obtain an external evaluator's set of indicators? Is it to build ownership of a donor-funded Program/Project? These, and other considerations, would lead to different forms of participation by different combinations of stakeholders in the impact evaluation.

The underlying rationale for choosing a participatory approach to impact evaluation can be either pragmatic or ethical, or a combination of the two. Pragmatic because better evaluations are achieved (i.e., better data, better understanding of the data, more

appropriate recommendations, better uptake of findings); ethical because it is the right thing to do (i.e., people have a right to be involved in informing decisions that will directly or indirectly affect them, as stipulated by the UN human rights-based approach to programming).

Participatory approaches can be used in any impact evaluation design. In other words, they are not exclusive to specific evaluation methods or restricted to quantitative or qualitative data collection and analysis.

The starting point for any impact evaluation intending to use participatory approaches lies in clarifying what value this will add to the evaluation itself as well as to the people who would be closely involved (but also including potential risks of their participation). Three questions need to be answered in each situation:

- (1) What purpose will stakeholder participation serve in this impact evaluation?
- (2) Whose participation matters, when and why? And,
- (3) When is participation feasible?

Only after addressing these, can the issue of how to make impact evaluation more participatory be addressed.

3.5.2 Planning and management of an Impact Evaluation

Like any other evaluation, an impact evaluation should be planned formally and managed as a discrete project, with decision-making processes and management arrangements clearly described from the beginning of the process.

Planning and managing include:

- Describing what needs to be evaluated and developing the evaluation brief
- Identifying and mobilizing resources
- Deciding who will conduct the evaluation and engaging the evaluator(s)
- Deciding and managing the process for developing the evaluation methodology
- Managing development of the evaluation work plan
- Managing implementation of the work plan including development of reports
- Disseminating the report(s) and supporting use

Determining causal attribution is a requirement for calling an evaluation an impact evaluation. The design options (whether experimental, quasi-experimental, or non-experimental) all need significant investment in preparation and early data collection, and cannot be done if an impact evaluation is limited to a short exercise conducted towards the end of intervention implementation. Hence, it is particularly important that impact evaluation is addressed as part of an integrated monitoring, evaluation and research plan and system that generates and makes available a range of evidence to inform decisions. This will also ensure that data from other M&E activities such as performance monitoring and process evaluation can be used, as needed.

3.5.3 Framing the boundaries of the impact evaluation

The evaluation purpose refers to the rationale for conducting an impact evaluation. Evaluations that are being undertaken to support learning should be clear about who is intended to learn from it, how they will be engaged in the evaluation process to ensure it is seen as relevant and credible, and whether there are specific decision points around where this learning is expected to be applied. Evaluations that are being undertaken to support accountability should be clear about who is being held accountable, to whom and for what.

Evaluation relies on a combination of facts and values (i.e., principles, attributes or qualities held to be intrinsically good, desirable, important and of general worth such as 'being fair to all') to judge the merit of an intervention (Stufflebeam 2001). Evaluative criteria specify the values that will be used in an evaluation and, as such, help to set boundaries. Many impact evaluations use the standard OECD-DAC criteria (OECD-DAC accessed 2015):

- *Relevance*: The extent to which the objectives of an intervention are consistent with recipients' requirements, country needs, global priorities and partners' policies.
- *Effectiveness*: The extent to which the intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.
- *Efficiency*: A measure of how economically resources/inputs (funds, expertise, time, equipment, etc.) are converted into results.
- *Impact*: Positive and negative primary and secondary long-term effects produced by the intervention, whether directly or indirectly, intended or unintended.

- *Sustainability*: The continuation of benefits from the intervention after major development assistance has ceased. Interventions must be both environmentally and financially sustainable. Where the emphasis is not on external assistance, sustainability can be defined as the ability of key stakeholders to sustain intervention benefits – after the cessation of donor funding – with efforts that use locally available resources.

The OECD-DAC criteria reflect the core principles for evaluating development assistance (OECD-DAC 1991) and have been adopted by most development agencies as standards of good practice in evaluation. Other, commonly used evaluative criteria are about equity, gender equality, and human rights. And, some are used for particular types of development interventions such as humanitarian assistance such as: coverage, coordination, protection, coherence. In other words, not all of these evaluative criteria are used in every evaluation, depending on the type of intervention and/or the type of evaluation (e.g., the criterion of impact is irrelevant to a process evaluation).

Evaluative criteria should be thought of as ‘concepts’ that must be addressed in the evaluation. They are insufficiently defined to be applied systematically and in a transparent manner to make evaluative judgments about the intervention. Under each of the ‘generic’ criteria, more specific criteria such as benchmarks and/or standards appropriate to the type and context of the intervention should be defined and agreed with key stakeholders. The evaluative criteria should be clearly reflected in the evaluation questions the evaluation is intended to address.

3.5.4 Defining key evaluation questions (KEQs)

Impact evaluations should be focused around answering a small number of high-level key evaluation questions (KEQs) that will be answered through a combination of evidence. These questions should be clearly linked to the evaluative criteria. Example of some key questions:

KEQ1.	What was the quality of the intervention design/content? [<i>assessing relevance, equity, gender equality, human rights</i>]
KEQ2.	How well was the intervention implemented and adapted as needed? [<i>assessing effectiveness, efficiency</i>]
KEQ3.	Did the intervention produce the intended results in the short, medium and long term? If so, for whom, to what extent and in what circumstances? [<i>assessing effectiveness, impact, equity, gender equality</i>]
KEQ4.	What unintended results – positive and negative – did the intervention produce? How did these occur? [<i>assessing effectiveness, impact, equity, gender equality, human rights</i>]
KEQ5.	What were the barriers and enablers that made the difference between successful and disappointing intervention implementation and results? [<i>assessing relevance, equity, gender equality, human rights</i>]
KEQ6.	How valuable were the results to service providers, clients, the community and/or organizations involved? [<i>assessing relevance, equity, gender equality, human rights</i>]
KEQ7.	To what extent did the intervention represent the best possible use of available resources to achieve results of the greatest possible value to participants and the community? [<i>assessing efficiency</i>]
KEQ8.	Are any positive results likely to be sustained? In what circumstances? [<i>assessing sustainability, equity, gender equality, human rights</i>]

A range of more detailed (mid-level and lower-level) evaluation questions should then be articulated to address each evaluative criterion in detail. All evaluation questions should be linked explicitly to the evaluative criteria to ensure that the criteria are covered in full.

The KEQs also need to reflect the intended uses of the impact evaluation. For example, if an evaluation is intended to inform the scaling up of a pilot program/project, then it is not enough to ask ‘Did it work?’ or ‘What were the impacts? A good understanding is needed of how these impacts were achieved in terms of activities and supportive contextual factors to replicate the achievements of a successful pilot. Equity concerns require that impact evaluations go beyond simple average impact to identify for whom and in what ways the programmes have been successful.

Within the KEQs, it is also useful to identify the different types of questions involved – descriptive, causal and evaluative.

- *Descriptive questions* ask about how things are and what has happened, including describing the initial situation and how it has changed, the activities of the intervention and other related programmes or policies, the context in terms of participant characteristics, and the implementation environment.
- *Causal questions* ask whether or not, and to what extent, observed changes are due to the intervention being evaluated rather than to other factors, including other programmes and/or policies.
- *Evaluative questions* ask about the overall conclusion as to whether a program/project or policy can be considered a success, an improvement or the best option.

Impact evaluations must have credible answers to all of these questions.

3.5.6 Designs for Impact Evaluations

3.5.6.1. Experimental designs

Experimental designs also called randomized control trials use randomization techniques at the outset of the program/project (usually through a lottery system) to sample the treatment and the control groups. There are different methods to randomize a population, but a general requirement is that the socio-economic characteristics and the size of the two groups should be broadly equivalent to maximize the statistical degree of precision of the impact on the target group.

Randomized experiments solve the problem of selection bias by generating an experimental control group of people who would have participated in a Program/Project but who were randomly denied access to the Program/Project. The random assignment does not remove the selection bias, but instead balances the bias between the participant (treatment) and non-participant (control) groups, so that it cancels out when calculating the mean impact estimate.

In ex ante impact evaluations based on experimental methods, baseline data are collected on the treatment and control groups before project inception to enable a thorough understanding of the characteristics of the treatment and control groups before the intervention is implemented. In experimental methods, project authorities are required to continuously collect data and monitor progress on key indicators contained in the baseline survey and as defined in the indicator matrix, from both the treatment and control groups throughout implementation. This allow to generate the necessary data sets for thorough impact analysis at different points of implementation (e.g. at project mid-term

and project completion). Such data can also be used by external entities interested in evaluating the impact of the project. However, this requires a very strong M&E system. Given the rigorous approach to selecting the treatment and control groups and the frequency of primary data collection for generating the required data sets, experimental methods are considered the most robust methods to assess and attribute impact to a development intervention. However, they have cost and time implications, and might raise ethical considerations (given the purposive exclusion of a group of people from the project benefits) that need to be dealt with upfront. In this regard, in order for the experiment to be transparent, ethical and fair, the evaluator must ensure that everyone has an equal chance of being in the treatment group to receive the Program/Project. Methods of fairly selecting participants include using a lottery, phasing in a Program/Project, and rotating participants through the Program/Project to ensure that everyone benefits.

3.5.6.2. Non experimental designs

In non-experimental designs used in ex post impact evaluations, the participant and comparison group are not selected randomly at the outset of the project but the comparison group is reconstructed ex post at the time of evaluation. A combination of data and statistical methods are needed to create a reasonable counterfactual.

In order to determine ex post the changes that might have occurred as a result of the intervention and attribute impact, impact evaluations using non-experimental methods undertake at least two complementary analyses, one “before and after” and one “with and without”. The “before and after” analysis will require the availability of reliable baseline data, and the collection of primary data on the participant group on similar indicators at

the time of evaluation, yet baseline surveys are often missing, or if available, their reliability is questionable.

Under such circumstances, the baseline situation should be reconstructed, using proven methods such as memory recall. The main limitation of the “before and after” approach is that it cannot distinguish between the intervention’s effects and other external effects (i.e. other interventions benefitting the same project population). Therefore, this method alone will not allow firm attribution of improvements or worsening conditions only to the intervention being evaluated. The second analysis, the “with and without”, requires comparing the changes induced by the intervention on a set of observable variables (e.g. food security, well-being or income) or unobservable variables, on both the treatment group and the comparison group (i.e. those not benefitting from the intervention). A variety of methods are used in non-experimental methods to ensure that the treatment and comparison groups are as similar as possible and to minimize selection bias. This includes propensity score matching, regression discontinuity design, difference in difference and instrumental variables.

3.5.7. Address dropouts and refusals

While appropriate sampling can help to reduce ‘selection bias’, bias can also be introduced when there are high dropout rates (or substantial ‘loss to follow-up’) –many people leave the program/project and are no longer available by the time an evaluator comes in to collect data. Similarly, a low response rate when asking people to fill in a questionnaire or a high number of people refusing to participate in the data collection effort may introduce “measurement bias”. Ways of addressing these issues include: making a special effort to increase participation; collecting information from several

sources, which can then be triangulated; and determining how those who participate are different from those who drop out or refuse to participate at all, and also how participants compare to the population of interest (and, in turn, how this affects the interpretation and generalization of results). Again, transparency and in-depth discussion are warranted.

3.6. Causality- Contribution vs. Attribution

At its very essence, data collection grapples with the problem of causality; what, if any, is the link between FONERWA support and the impact on actual beneficiaries of Program/Project interventions. For example, FONERWA could simply measure the number of hectares of terraces built, the number of green jobs created before and after its various interventions and, in the case of improvement in the livelihoods of individuals assume that supported projects made a difference. However, many other factors, such as other interventions by different Public/Private entities, Development Partners and other NGOs not supported by FONERWA influences livelihoods of communities/individuals as well.

The real challenge is to demonstrate that improved resilient livelihoods of communities was due to FONERWA supported interventions, rather than these other factors; what is usually termed the problem of attribution.

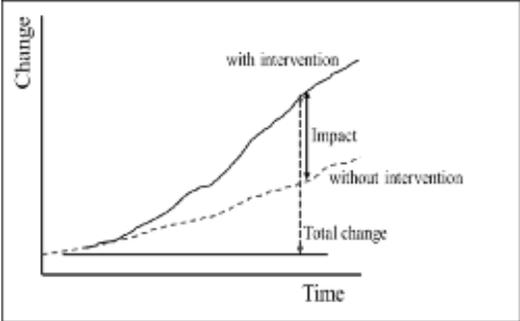
3.6.1 Attribution

One of the essential elements of an impact evaluation is that it not only measures or describes changes that have occurred but also seeks to understand the role of particular interventions (i.e., programmes or policies) in producing these changes. This process is

often referred to as causal attribution, causal contribution or causal inference. The OECD-DAC definition of impact makes it clear that an impact evaluation must establish what has been the cause of observed changes: “Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.” Causal attribution is defined by OECD-DAC as: “Ascription of a causal link between observed (or expected to be observed) changes and a specific intervention.

Figure 1 illustrates the change resulting from an intervention by the top sloped line. The change without the intervention is shown by the dotted sloped line. The impact of the intervention is the difference between these two lines, which is the change attributable to the intervention.

Figure 3: Change resulting from intervention



The purpose of a lot of impact evaluations is to construct the dotted line, the so-called counter-factual; to show what the national climate resilience status would have looked like if FONERWA Program/Project interventions had not been there. The difference between the ‘counterfactual’ situation and the real one would show how much difference FONERWA supported interventions made, and thus how much of the improvement was attributable to the FONERWA Program/Project interventions.

3.6.2 Contribution

Measuring contribution versus the more challenging task of attributing change to FONERWA supported interventions is focused upon the “additionality” of FONERWA interventions and plausible evidence produced by Implementing Partners of what would have occurred if FONERWA support had not been forthcoming. This should not just include input additionality such as financial resources that are not displaced but also what is often termed “the unique benefit” of the intervention which may comprise behavioral change, quality improvements, knowledge and innovation, unintended positive effects and spill-overs of FONERWA interventions.

3.7 Lessons learned

The lessons learned from an evaluation comprise the new knowledge gained from the particular circumstance (initiative, context outcomes and even evaluation methods) that is applicable to and useful in other similar contexts. Frequently, lessons highlight strengths or weaknesses in preparation, design and implementation that affect performance, outcome and impact.

3.7.1 Purpose of Learning in M&E

The purpose of learning in M&E is to apply knowledge gained from evidence and analysis in order to improve outcomes and ensure accountability for the resources used to achieve them. For each and every investment, FONERWA should realize a return on the investment by tying it to learning priorities. In this sense, learning from M&E means using M&E data/information for accountability and decision-making for management purposes, adjustments, and future programming. At every level of the Program/Project Management

Cycle, it is important to learn what works well in a particular context or what does not work well, which aspects of a project has more influence on the achievement of results, which strategies can be replicated etc. At the organizational level, FONERWA can compare results across projects to determine which ones contribute to achieving its goals, mission and vision

3.7.2 How to implement learning?

To implement learning processes, M&E Specialists in collaboration with other Specialists within FONERWA should aggregate results from different projects, programs and policies depending on project similarities to understand the wider reach or aggregate learning from different projects, programs and policies to guide the strategic development of new projects, programs, policies and funding opportunities. It is good practice to share learning at both project, community and institutional levels. Results achieved by projects, programs and policies either positive or negative should be shared with all stakeholder in response to their needs. This strengthens both accountability and transparency.

3.7.3 Developing learning in project cycle

Learning is a core component of M&E. The incorporation of learning into the Program/Project cycle will enhance the achievement programs/projects outputs, outcomes and impact. Lesson learning also improves efficiency and effectiveness of projects and programs due to informed decision making. The lessons usually emerge as a result of monitoring or evaluation processes occurring throughout the project cycle. Learning throughout the project cycle need to be documented and disseminated to all stakeholders.

3.7.4 Processes to engage in learning

1. Hold reflective sessions internally to capture lessons learned in the various stages of the project cycle.
2. Participate in Programs/Projects lesson learning events.
3. Package lessons and provide content for sharing across other Programs/Projects and with external stakeholders,
4. Learn lessons through peer review with other Programs/Projects/Institutions.
5. Establish a platform for sharing key documents like share point, knowledge portal, group emails.
6. Hold learning clinics each month to reflect on monitoring and evaluation topics.
7. Build and use a knowledge management system.
8. Ensure new activities or actions emerging from lessons learning sessions inform planning and are incorporated into the subsequent work-plans.

3.7.5 Different Ways of learning at individual and organizational level

1. Learning through mentoring

- Select a number of local and international mentors with their own set of skills and experience in a particular field,
- Focus on specific issues or identified needs,
- Reflect and question existing practices.

Having a mentor means having access to someone external who can bring fresh eyes and help an individual or an organization by asking useful questions, recording decisions and making constructive suggestions.

2. Learning through training

It is important that FONERWA put in place a capacity building plan for M&E specialists on a number of short term and long-term courses like producing good log frames, developing theory of change, data Analysis, conducting impact evaluations. These refresher courses help staff stay aware of new practices in the development world.

3. Learning through affiliations with National/Regional International M&E Associations

Being affiliated with National/Regional and International M&E Associations is also a way of learning especially for M&E specialists. These types of associations are very good sources of exposure and provide best opportunities to learn best practices in Development Evaluation quickly.

FONERWA should consider registering or encouraging its M&E staff to register to these type of Monitoring and Evaluation Learning working groups. M&E Specialists are encouraged to join the Rwanda Monitoring and Evaluation Organization which offers space where members can share approaches to MEL, discuss challenges, learn about innovative tools, invite external guests to present, as well as organizing ad-hoc training.

4. Learning through stakeholder's engagement, especially local knowledge sources

Collaboration is critical in establishing and implementing learning agendas. Bringing stakeholders into the design process will improve the quality of the learning questions and increase buy-in and stakeholders' willingness to contribute to implementation of learning activities.

5. Learning beyond M&E

Learning for continuous improvement often requires multiple knowledge products. These should often include monitoring and evaluation activities, but they can also include activities that go beyond traditional M&E activities like in-person group seminars and workshops, formal presentations among working groups and communities of practice, and the collation and dissemination of case-studies and stories related to tacit knowledge and experiences in other fields as well.

3.7.6 Learning events

Learning events enable to reflect on what’s working, what’s not working, what to adapt and replicate or change.

The following table provide a non-exhaustive list of some learning events that could be undertaken by the Fund in order to foster a culture of learning internally and throughout the Programme/Project life cycle.

However, the M&E team is free to choose, design and implement other learning mechanisms that are suitable to the organization and should take the lead into updating this table as well as any other section of this manual that may be deemed necessary once a year.

Table 2: Learning Events

#	Event	Definition	Activity	Audience	Timing	Process
1.	After Action Reviews(AAR)	After Action Reviews support existing learning and Improvement cycles. It’s a quick reflective exercise for team-	E.g.: Training	Participants /beneficiaries	2 days after training	<ul style="list-style-type: none"> • The training facilitator define questions around what he/she wants to learn from the activity • The questions should be related to the training

		<p>based learning during a project or ongoing initiative, in order to improve results in the current project.</p>				<p>objectives & expectations set out in the training agenda</p> <ul style="list-style-type: none"> • Each participants answer the questions & writes down his/her self-reflections • Get a neutral facilitator(not part of the training) to facilitate the AAR for more open process • Plan the structure of the AAR with the facilitator to customize it to your needs <p>E.g.: start by asking participants;</p> <ol style="list-style-type: none"> 1. What was set out to do? 2. What was actually done? 3. What can be learnt?
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						<p>4. What should be done same and differently?</p> <p>Then ask questions around specific details of the training such as</p> <ul style="list-style-type: none">- Training preparation,- Content,- Logistics, etc. to spot what worked well, what didn't and what could be changed. <p>5. During the next training, use what you learned from this process to adapt and improve on what wasn't well done in the previous training</p>
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2.	Debrief	A debrief is an interview method for efficiently capturing key lessons from staff returning from field missions or at the end of an assignment	E.g. Field visit/ mission	Staff, Managers, Supervisors , Project Implemente rs	Immediately after field visit or after field mission	<ul style="list-style-type: none"> • Prepare a presentation on the general objectives of the field visit of the mission and expected outputs • Present how the field visit went versus achieved outputs on field • Describe the opportunities and challenges • Use clear cases to evidence your points • Engage conversation with participants, allow them to reflect and ask questions
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						Both staff, Managers and Supervisors use the debrief to learn and improve decision making based on the information from the debrief
3.	Critical reflection	A critical reflection is a process of identifying, questioning, and assessing deeply-held assumptions about our knowledge of the project environment, beneficiaries, community,	E.g.: improve productivity	Beneficiaries/Community & other Project stakeholders	After an agriculture season	<ul style="list-style-type: none"> • Convene the community or all project beneficiaries to discuss on project implementation • Facilitate a conversation between project implementers and project beneficiaries on project implementation progress, successes, failures, opportunities and challenges • Engage the least likely to be heard to provide their views on

		stakeholders, the way project activities, events and issues, beliefs, feelings, and actions are perceived				<p>the project or on specific matters or themes</p> <ul style="list-style-type: none"> • Engage them in sharing their subjective stories and anecdotes • Spot connections between personal and broader structural issues • Engage conversation on way forward, what to maintain and what to do differently • Draw an adaptive agenda for course correction
4.	Scenario planning for	Scenario planning help to better understand the	Any activity	Donors/ Strategists/ M&E	Every six months	<ul style="list-style-type: none"> • Identify important context indicators

	unstable environments	situation on the ground, make calculated forecasts, and prepare for unpredictable future events		Specialists and Project Implementers	<ul style="list-style-type: none"> • Analyze trends and other factors that could offer early warnings of potential changes • Look into external factors such as political stability, economy, security, legal framework, environmental, health conditions, Government and ministerial decisions • Review each factor over the past 6 months, assess changes and trace a pattern • Once you have identified the most influential factors, create a 2x2 matrix describing four major potential scenarios
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						<p>based on the security or insecurity of those factors.</p> <ul style="list-style-type: none">• Discuss opportunities and threats for each scenario as well as which activities could still be attempted, and which should be paused or avoided• Identify all pathways to implementation that would allow to achieve the project's objectives within the new environment
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Annex 1: FONERWA Refined Log frame



Logical Framework
June 2018-June 2024

Annex 2: Theory of Change



FONERWA ToC

Annex 3: M&E Plan Template

LEVEL <i>(Outcome/ Output/ Activity)</i>	BOX FROM RESULTS CHAIN <i>(Copy each significant step in results chain)</i>	INDICATORS OF SUCCESS <i>(If there are more than one indicator per result chain box, place each indicator on a separate line.)</i>	DEFINITION/ CALCULATION <i>(Explain how you will define and calculate your indicator)</i>	BASELINE <i>(Enter your baseline data for your indicator here. If you do not have a baseline, indicate the date you will collect your baseline)</i>	TARGETS & MILESTONES <i>(Enter your date and targets for the end of project and any prior intermediate milestones)</i>	DATA COLLECTION METHODS <i>(Explain how you will collect and analyze monitoring data)</i>	DATA ANALYSIS METHOD <i>(Explain how you will analyze monitoring data)</i>	RESPONSIBILITY <i>(Who will collect the data)</i>	ASSUMPTIONS/RISKS <i>(What are the assumptions you are making at this step in the result chain? What risks does it face?)</i>

M&E plan instructions

The indicator column provides an indicator statement of the precise information needed to assess whether intended changes have occurred. Indicators can be either quantitative (numeric) or qualitative (descriptive observations). Indicators are typically taken directly from the log frame, but should be checked in the process to ensure they are SMART (specific, measurable, achievable, relevant and time-bound). Often, the indicator may need to be revised upon closer examination and according to field realities. If this is the case, be sure any revisions are approved by key stakeholders.

The definition column defines any key terms in the indicator that need further detail for precise and reliable measurement. It should also explain precisely how the indicator will be calculated, such as the numerator and denominator of a percent measure. This column should also note if the indicator is to be disaggregated by sex, age, or any other variable.

The Baseline column defines an information base at a given time against which progress can be assessed. For each indicator, baseline data should be established to serve as a benchmark at start of project or program against which future progress can be assessed or comparisons made. Ideally for each new project or program, a baseline study should be carried out to establish baseline data for all Program/Project indicators.

The targets & milestones column: The target & milestones column identifies the quantifiable goal or objective a project or program plans to achieve. For each indicator identified, a target should be established.

The data collection methods identifies data collection methods and tools, such as the use of secondary data, primary data, surveys, observation, interviews, focus group discussion, questionnaire administration, checklists.

The data analysis methods column: Data analysis enable you to assess whether and how your program has achieved its objectives. **The data analysis methods column** explains for each indicator the process of data analysis. The process include but not limited to;

- Tabulating: Add items in columns of register or in survey response
- Cross tabulating: Choose two data items to see how they are related
- Aggregation: aggregation add individual units for overall picture of area
- Disaggregation: disaggregation break down total situation into units
- Estimation.

The responsibility column identifies the people responsible and accountable for the data collection and analysis, e.g., field staff, Program/Project managers, local partner(s), field enumerators and/or external consultants. Use the jobholder title to ensure clarity in case of personnel changes. This column is also useful in assessing and planning for capacity building for M&E.

The assumption column

Assumptions are external factors for which the intervention is not responsible, but that are very important for the realization of the results, the project purpose and the overall objective.

The assumption column identifies outside direct intervention control, but vital for achieving a successful implementation. They describe the situations, events, conditions or decisions which are necessary for the success of the project, but which are largely or completely beyond the control of the project's management. Assumptions influence or even determine the realization of results, project purpose and overall objective. Already in the planning phase, these external factors should be identified and it should be assessed whether they are likely to become true. Assumptions should be formulated as positive, reached states, so that they can be verified.

Annex 4: Metadata



Indicator reference
sheet_FONERWA.pdf

Annex 5: Project Completion Report Template

(Organization & Partner's name and logo):

Project Completion Report :

Date of report :

Project funded by (name & logo) :

Project Title	
Project Duration	
Project geographic coverage	
Name of Implementing Organization	
Name of Implementing Partners	
Name of Project Focal Person	
Project Budget	
FONERWA Contribution	
FONERWA Funding Window	
FONERWA Indicators to which the Project contribute to	
Project Intermediate outcome(s)	

List of Acronyms & Abbreviation

Outline of the Project

1. Introduction and background information

- 1.1. Project objectives
- 1.2. Project implementation structure
- 1.3. Project Activity Flow

Project achievement or Project performance

2. Progress made (Table showing progress against Monitoring plan)

- 2.1. Provide a narrative of main activities and achievements
- 2.2 Integrated work plan including status of achievement**
- 2.3 Monitoring plan – including additional column on status of actual achievements in comparison to the targets and milestones
- 2.4 Key outputs not completed
- 2.5 Key outputs completed but not planned
- 2.6 Key outcomes achieved
- 2.7 Financial report (brief analysis of expenditure vs project outputs).....
- 2.8. Value for money.....

Gender inclusion

Environmental and social safeguards.....

3 . Challenges and lessons learnt

- 3.1. Risk
- 3.2. Challenges.....
- 3.3. Lessons learnt.....
- 3.4. Practices to scale up to projects.....

Success Story/ Case studies of success

Exit strategy/Sustainability

Chapter four

4. Recommendations and way forward

4.1. Recommendations

4.2. Results sustainability

4.3. Way forward

Annexes

1. Project financial report (ms- excel)
2. Success stories- (2)
3. To be attached separately, copies of research/study/others deliverables from the project, evaluations
4. GPS Information (Provide GPS information for all project sites, including both implementing organization offices and locations of all sites benefitting from project resources)
5. Photos(Include all relevant photos taken during project implementation&close out as evidence base)
6. Logframe
7. Risk register
8. Lessons learned register
9. List of beneficiaries and cooperatives or group benefited the project interventions.
10. Bugdet execution
11. Tenders executed.

Annex 6: Guidelines for field visit reporting

NAME OF THE PROJECT:

NAME OF IMPLEMENTING ORGANIZATION:

NAME OF PERSON WHO PERFORMED VISIT:

DATE OF VISIT:

<p>1. Comment on progress towards the project's agreed targets and objectives. Here the focus is on assessing Progress against the monitoring plan. Are activities being implemented according to plan and producing expected results?</p>
<p>2. Is there any issues, risks or problems? If so, please explain what these are.</p>
<p>3. What plans have been put in place to deal with these issues? Does the project need any assistance?</p>
<p>4. Comment on the project's expenditures</p>
<p>5. Outline key actions to be undertaken by project/program management team</p>
<p>6. Do you have any observations on the organizational structure and resources of the project?</p>
<p>7. Is there anything else you would like to comment on or report? Do you have any comments on personal areas of interest from the project or things that you have learnt?</p>
<p>8. Was the field visit well organized, did you access all necessary information/materials, etc.), did you manage to visits all sites? What sites were visited? How were the sites selected?</p>

Annex 7: Template for Evaluation Management Response and recommendations implementation plan

The Management response and recommendations implementation action plan should be in annex of every evaluation report and the M&E Specialists should monitor implementation progress of evaluation recommendations and use them as a basis for learning wherever deemed necessary and feasible.

Title of Project					
Title of Evaluation					
Period of Evaluation					
Programme Management Division Manager					
Business Development Unit					
Name of Evaluator/ Team of Evaluators					
General remarks by FONERWA Management					
Implementation Plan of recommendations					
Recommendations	Management response	Follow up action	Responsible	Timeframe	Indicator of completion
Recommendation #1					
Recommendation #2					
Recommendation #3					
Recommendation #4					

Annex 8: Guidelines for Success story collection and writing

To tell a success story requires to use simple words, powerful statistics or quantitative information to communicate progress made as a result of an intervention and bring to life the story with an individual/ personal narrative.

The story should communicate how the intervention/project has made a difference in people's lives. The story can be a success at an individual /community/country level.

Good stories in most cases include both a human interest lead that illustrates how a project has improved people's lives in the area of implementation and results henceforth to back up the claim of success

Success story outline

1. Title

- A good title should be simple and catchy: should be simple and written in way to attract the reader's attention
- It should summarize the story in a short sentence
- Should be told with action verbs to bring the story to life

Example: Use of improved cook stoves reduce Co2 emissions, creates better conditions for women

2. Body

- The first paragraph should describe the problem/issue/challenge and the context of project intervention. In this paragraph, the reader should be able to see the situation before intervention
- Pull out an individual/ personal quote
- Put an individual/personal story in a bigger picture. Describe how the intervention made a difference in the life of an individual/household/community or even a country. In this paragraph, you describe the intervention/activities carried out in relation to the intervention, the results and the changes such results had in improving a person's life

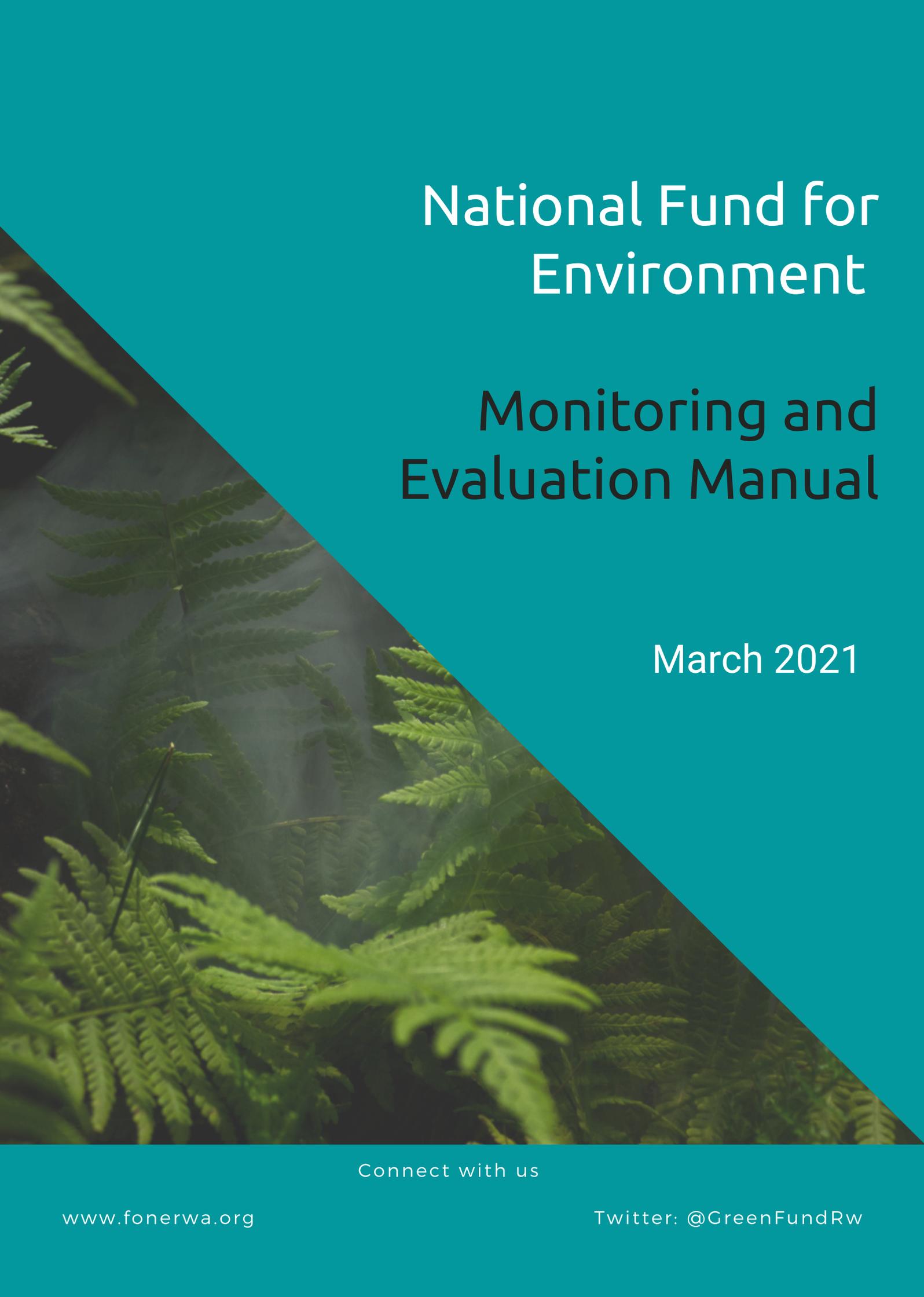
3. Add a picture

It's common saying that a photograph speaks a million. In a success story writing, it is important to use a photo to bring a story to life.

- The picture should be in color,
- The picture should portray an action
- The picture should catch people's attention
- The picture should present the main character
- The picture should have a caption and in the copy block, the photograph name or organization should be included

4. Pay attention to the following

- 1. A success story should be short- it shouldn't exceed 5,000 characters***
- 2. It should be on one page***



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