Overview

1. Introduction – M&E Basics; why it’s important and why it’s tough

2. Elements of a Good M&E system for CDD – what we monitor/evaluate and how

3. Results Frameworks for CDD projects

4. MIS and Reporting Systems – some tips
M&E Basics

**Monitoring:**
- Project managers learn what works, what doesn’t, and why. Measures progress against work plans
- Provides feedback for real time decision-making

**Evaluation:**
- What impact are we having? Have we reached the project’s stated goals over the long term?
- Assesses changes in the well-being of individuals, households, communities, etc. that can be attributed to a particular project/program.
- *Studies* - Tests innovative approaches to poverty reduction. Pioneer new approaches to decide if they should be expanded and pursued on a larger scale.
Why Monitor Results or Evaluate Impact?

• To *measure success* in achieving goals and objectives
• Helps us take *corrective actions* during implementation and improve and learn from mistakes in future
• Promotes *efficiency and accountability*
• Makes ‘development effective’ – builds *case for more aid*
• *What gets measured gets done!*

Despite this, the emphasis on evaluation and results has only emerged over the last 10-15 years
Why M&E for CDD is more necessary and more challenging…

• Dispersed and Large Scale (can cover 1000s of communities):
  • Dispersed implementation means M&E for CDD extremely important
  • Flow of information into MIS system more difficult to manage
  • Loss of control/comparison groups makes strategies for impact evaluation more difficult to implement

• Diversity of CDD Programs:
  • Open menu for sub-projects means investments not predetermined and multi-sectoral - can cover combination of infrastructure, human, social and economic activities
  • Participant communities may be unknown beforehand
  • Objective of good governance and building social capital necessitates evaluating less easily measurable goals (e.g. transparency, accountability, empowerment)

• Lack of In-country Capacity to Conduct M&E Work:
  • CDD operations often operate in fragile/emergency/poor situations
  • Government: concept, design and analytical capacity is relatively weak; firms contracted to conduct studies do not provide data of a high enough standard of quality to produce adequate research
  • Research Institutions: small number of institutions are rarely strong in “full service” (design, analysis and report writing) capability
2. Elements of the M&E System for CDD

Making the puzzle fit together!!
Elements of a Good M&E System for CDD

RESULTS FRAMEWORK

- Evaluation Strategy
- Complaints Handling System
- Participatory M&E/Social Accountability Tools
- Special Studies
- Reporting and Management Information System (MIS)

Most projects don’t have all of them and even when they do, they aren’t linked to each other.

- Sub-project data
- HR data
- Financial data
- Data on Trainings, etc.
What Do We Normally Monitor?

• **Monitoring system** (regular reporting, MIS, implementation and post-implementation monitoring, community monitoring, technical and financial supervision) should be able to answer questions of process.
• That is Achievement of Intermediate Results; and progress against work plan (inputs, outputs)
• **Goal is to provide real-time feedback for decision-making**
• Examples:
  - Are funds being used as planned?
  - Are project interventions reaching the intended beneficiaries?
  - Quality of inputs?
  - Are poor, women, and vulnerable groups participating in the process?
Methods for Monitoring

Examples of monitoring mechanisms in CDD projects:

- **Field monitoring** by project staff
- **Participatory/Community monitoring** by village committees using SA tools (e.g. Community Scorecards, social audit, etc.)
- **Independent/third party monitoring** by NGOs, civil society groups, journalists, media
- **Grievance & complaint resolution** mechanisms
- **Financial reviews**, audits, procurement post reviews
- **Special/Case studies** by independent researchers
- **Bank Supervision Missions**
Types of Data Collection Methods...

Informal/Less Structured Methods
- Reviews of official records
- Field visits
- Participant Observation
- Community interviews
- Key informant interviews
- Focus Group Interviews
- Direct observation
- Questionnaires

More Structured/Formal Methods
- Community Scorecards
- Citizen Report Card Surveys
- Panel Surveys
- One-Time Survey
- Census

Adapted from “Designing and Building a Results-Based Monitoring and Evaluation System: A Tool for Public Sector Management”, World Bank, 2000
Community scorecards being prepared in Malawi Social Fund

Members of Community Participatory Monitoring Group in Aceh discussing findings
Examples of online Grievance Redress Mechanisms
What would we like to evaluate for impact?

A. Poverty/ Welfare Dimensions
- Has CDD reduced poverty? Has it reached the poor?
- What are the impacts on livelihoods and employment?

B. Infrastructure
- Has CDD improved access to services, quality, utilization?
- Are CDD projects cost effective compared to other mechanisms?
- Is the infrastructure maintained?

C. Local Governance/ Empowerment
- Do CDD projects promote improvement in local governance?
- Does it build stronger, more responsive local institutions?
- Has transparency, participation, inclusion (esp. of women/vulnerable groups) increased?

D. Social Dynamics
- Do CDD projects improve social relations and cohesion?
- Does it reduce incidents of conflict?
How Do We Evaluate?

Key Guiding Principles in Impact Evaluation:

- The **Counterfactual** - Comparison/control groups
- **Sample size** large enough to generate statistically significant results
- **Baseline** data
- Mix of **Quantitative & Qualitative** methods ideal
Types of Evaluation Work

- **Impact Evaluation**: Rigorous quantitative evaluations which attribute impact on outcome indicators to the project (e.g. Indonesia KDP/PNPM-Rural, Philippines Kalahi-CIDDS or Afghanistan NSP)
- **Purpose**: Establish effectiveness of project in achieving development objectives
- **Best practice**: Treatment and Control groups measured ex-ante and ex-post project implementation; could be through:
  - Randomized Control Trials (RCTs)
  - Non/Quasi-experimental techniques (e.g. Propensity Score Matching)
- Outcome indicators based on overall project objectives (including per capita consumption, access to health care and education, employment)
- Qualitative component to determine how and why impacts are occurring
Types of Evaluation Work (contd.)

- **Infrastructure Studies**: Rigorously developed methods using economists and engineers to assess sub-project infrastructure (E.g. Burkina Faso Community Based Rural Devt Proj)
  - Purpose: establish effectiveness of project as infrastructure delivery system
  - EIRR: direct and indirect economic impact on local economy
  - Quality: based on existing standards
  - Cost-effectiveness: relative to equivalent government construction

- **Thematic Evaluations**: Can be done on specific issues of interest (e.g. gender impacts, procurement, micro-finance, corruption, etc.) normally using qualitative approaches (e.g. PNPM Marginalized Groups study)
  - Smaller sample size allows methodological flexibility
  - Techniques include Focus Group Discussions, Key Informant Interviews and Direct Observation

- **Randomized Pilots for new programs**: Offer a mechanism to rigorously test new design options during the umbrella project’s implementation period using smaller scale interventions for which rigorous impact evaluation is built-in (E.g. TASAF Community Based Conditional Cash Transfer Pilot)
Example of a Specialized Study

Measuring Theft

Corruption Study  (photos courtesy of Ben Olken)
Some Common Constraints Faced

- Difficulties in reporting and collecting real-time, accurate data especially in large, complex operations…
- Problems with MIS – garbage in/garbage out. Lack of proper analysis of data.
- Lack of in-country specialized skills and capacity esp. for impact evaluations
- Time to prepare baselines, evaluations, etc.
- Maintaining control/comparison groups over a long enough time to measure impacts.
Keys to Effectiveness of M&E Systems

• Build evaluation work into project work plan and budget and sustain over time
  • Ex-ante preparation including M&E framework and baseline in place before implementation
  • Trust funds (e.g. SIEF, JSDF) often required to allow flexibility in resource disbursement relative to loan funds particularly at baseline

• Utilize the most rigorous methods available
  • Specific talent and skills needed in M&E personnel
  • Careful balance between cost, timeliness and rigor of methods
  • PNPM/KDP Experience: full time M&E staff plus outside numerous external consultants and experts
Keys to Effectiveness of M&E Systems...

- Clear understanding of what questions are being answered and how indicators are being measured
  - Strong interaction with and input from project team at every stage of the evaluation process
  - Timeline for evaluation fits expected trajectory of impact for outcomes being measure
  - Good practice: research questions and indicators based on consultation with counterparts and project results framework

- Link findings to improvement of operations
  - Commitment from counterparts and project team to use findings to improve the project
  - Use M&E inputs for adaptive management and learning
  - Dissemination strategy which effectively communicates results and recommendations
  - M&E resources used to test new design features and previously unexplored research topics; findings have led to changes in project design and implementation.
Common Problems Faced & Ways to Avoid Them (cont.)

• Different parts of MIS don’t match. >> **Undertake regular meetings to tally information and fix anomalies**

• No feedback on reports leading to “garbage in, garbage out”. >> **Provide feedback on reports, do not collect information if it’s not needed, revise reporting system over time.**

• No analysis of data, staple data together from different units >> **need skilled project staff to be responsible for aggregating and analysing data, providing feedback.**

• No sanctions for non-reporting >> **usually sanctions are needed, e.g., withholding of disbursements**
3. Developing Results Frameworks for CDD projects

Creating a Work of Art!!
Traditional Logframe to WB Results Framework

• Logical Framework Approach developed in late 1960’s for USAID.
• Management tool mainly used in the design, monitoring & evaluation of international development projects.
• Used widely by bilateral and multilateral donors, some NGOs.
• Move to focus more on intermediate results (rather than outputs) in late ‘90s by some donors. >> Results Framework
## Traditional Logframe

<table>
<thead>
<tr>
<th>Hierarchy of Objectives</th>
<th>Objectively Verifiable Indicators</th>
<th>Means of Verification</th>
<th>Important Assumptions/Risks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goal</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Purpose</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Outputs</td>
<td></td>
<td><strong>WB Results Framework</strong></td>
<td></td>
</tr>
<tr>
<td>Activities</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
WB Results Framework

- Results Framework (RF) summarizes what project is trying to achieve and how results are measured, monitored and evaluated.
- Variation of the traditional Logical Framework.
- Links together the Project Development Objective (PDO), intermediate outcomes/outputs to be delivered by each component, & indicators to be used to achieve results.
- RF is useful for both project management and supervision by govt, WB, donors, other stakeholders. Helpful to track progress towards PDO and to make changes if necessary during implementation.
## Results Framework Template

<table>
<thead>
<tr>
<th>Indicators</th>
<th>Baseline</th>
<th>Yr 1</th>
<th>Yr 2 etc</th>
<th>Frequency &amp; Reports</th>
<th>Data Collection Instruments</th>
<th>Responsibility for Data Collection</th>
</tr>
</thead>
<tbody>
<tr>
<td>PDO Indicator</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Intermediate Results/Output Indicators</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
The generic CDD results chain

**INPUTS**
- Funds (Loan, govt & community contributions)
- Technical assistance (design, program rules)

**OUTPUTS**
- Community participation in activities
- Small-scale Infra: e.g. roads, irrigation, health centers, schools built, of high quality & tailored towards community needs
- Income-generating activities supported
- Training provided to communities

**INTERMEDIATE RESULTS**
- Building Social Capital (trust, association, community activities)
- Improved Access and Use of services – e.g. access to roads and markets, school enrollment, attendance, professional deliveries, access to healthcare
- Community skills improvements
- Jobs created

**LONGER TERM OUTCOMES**
- Community empowerment
- Improved local governance
  - Household welfare increases (consumption, income, assets)
  - Sustainable job creation
  - Improved educational and health outcomes

**RISKS/ASSUMPTIONS**
- Funds are available and disburse in a timely manner
- Design is sound & promotes real participation rather than patronage
- Qualified project staff are in place
- Communities are given genuine opportunities to receive info & participate
- TA & capacity building provided is sufficient and of high quality
- Quality of supply-side interventions
- Economic growth
- Enabling environment for social, political reforms
- External shocks are minimized (economic, financial, crises, natural disasters)
Some Typical Questions

IMPACT LEVEL

Does CDD Project:

• **reduce poverty** in the long term? *(Long-term Outcome/Goal – not usually included in WB RF)*
• **improve access/use of services** (clean water, sanitation, roads, markets, irrigation, health, education, etc) *(PDO/Intermediate Results Level)*
• contribute to **local economic growth** (job creation, local economic development)? *(PDO level)*
• provide **high quality services and public goods** to community? *(Intermediate results level)*
• Is project infrastructure **cost effective**? Rates of return? *(PDO/IR level)*
• Is project **sustainable**? *(Depends on meaning – PDO/IR level)*
Policy Questions (cont.)

Does your CDD Project

- strengthen local representative bodies, e.g. village committees? *(PDO or IR level)*
- increase *citizens’ participation* in local development? *(IR level)*
- improve *women’s participation and voice*? *(IR level)*
- improve *community satisfaction* with government and services? *(PDO/IR level)*
- improve *social capital*? *(IR level)*
- help with *conflict mitigation/resolution*? *(PDO/IR level)*
Process Questions

• Is CDD Project proceeding according to plan? *(IR Level)*

• Are results (project results/outputs) being achieved: *(IR Component Level)*
  ▪ Councils/committees formed, re-elected, strengthened?
  ▪ Local development plans completed?
  ▪ Block grants distributed and used appropriately?
  ▪ Subprojects implemented and maintained?

• Quality issues: participation, technical quality, fund usage, transparency *(IR Component Level)*
Results Framework Tips

PDO:
• Pay attention to wording of Project Development Objective
• Only one PDO

Indicators:
• Rule of thumb: 1-3 indicators per PDO level and per IO level
• Make sure indicators reflect your PDO and IO statements
• Ensure indicators areas unambiguous as possible

Implementation Arrangements Table
• As much as possible, insert baseline values. Have until 1st ISR.
• Think carefully about timing of accomplishments, esp. in early years of project when start-up may be slow or delayed due to procurement.

Overall:
• Don’t get into “wordsmithing” as a group
• At some point, TTL and Govt decide & bring closure
Finally, consider a Results Framework Workshop during Design

Several Options:

(1) Use as a full design workshop to go over entire project design with all stakeholders - normally 4-5 days depending upon project complexity

(2) Use just for M&E purposes (Indicators & Implementation Arrangements) – 1-2 days

(3) Do it within task team and w/key members of Govt.
4. Reporting & MIS for CDD

(aka A Painful Topic!!)
Various Levels of Reporting Exist

- Reporting from **Implementing Agency to WB**
  - FMRs
  - Semi-Annual Progress Reports
- **Implementing Agency to various constituents at multiple levels**
  - Annual reports to general public
  - e.g., national and district parliaments, village meetings
- **Within-project reporting**
  - Village/commune >> district >> province >> national & vice versa
Within Project Reporting

Sample CDD Reporting & Information Systems

- Basic Project & Subproject Management Information
- Human Resources
- Financial Information
- Capacity Building/Training
- Grievance Redress
Within Project Reporting: Developing the MIS

- **Step 1**: Refer to your overall questions, Results Framework
- **Step 2**: Compose list of key indicators to monitor and track periodically for reporting.
- **Step 3**: Check list with stakeholders including project mgrs, WB
- **Step 4**: Design reporting system and forms.
  - Usually included in Project Operations or Implementation Manual.
  - Reporting section should describe reporting system including: (i) information flows; (ii) frequency; (iii) who’s responsible; and (iv) reporting formats if any.
  - Annex usually includes specific reporting formats

**Tips:**
- Ensure forms are self-explanatory and have instructions and examples
- Field test forms prior to mainstreaming
- Ensure that financial and project reports match
Developing the MIS Database

- **Step 1:** Hire a specialized MIS firm or specialist
- **Step 2:** Review indicators list/reporting forms to see which fields should be included in MIS. Review flow of reports. Be specific about what information you expect from MIS and how often.
- **Step 3:** See what national codes are available for locations.
- **Step 4:** Specialists go to field to observe reporting context and speak to field staff.
- **Step 5:** Design program together with project management.
- **Step 6:** Run several tests of system before mainstreaming
- **Step 7:** Training in the field for consultants and data entry personnel.
Common Problems Faced & Ways to Avoid Them

- Reporting forms/MIS overly complex >> Start simple, field test first
- Project is not clear on what forms/info need to be included in MIS >> Review reporting needs carefully, consult stakeholders, start simple
- Project relies on excel spreadsheets as database >> DON’T
- MIS specialist/firm receives no guidance from program management >> Provide regular guidance and clear instructions in TOR and during consultancy
- MIS doesn’t take into account capability of data entry staff or time needed >> Field test, provide training, start simple
CommunityCollect

Streamline operations, reduce costs & control risk by:

1. **Removing friction and complexity** in getting data from the field and into centralized data stores with ubiquitous accessibility

2. **Optimizing reporting interfaces** for ease of consumption, sharing, aggregation, understanding, and reuse of data.
Thank you!

Questions/Comments?