

*This unit was written by Kevin Clark and Marion Quinn,
who ran workshops for CID in March 2000*

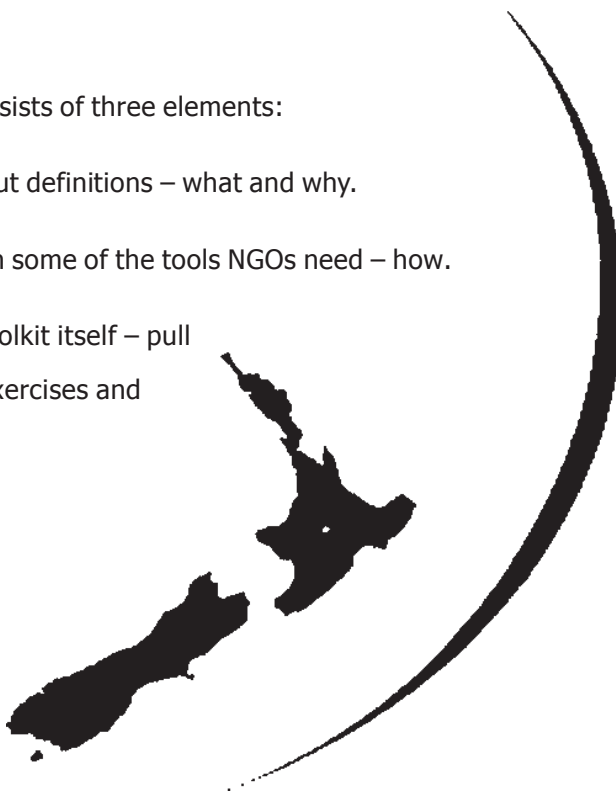
How to use this resource

Each unit in this folder consists of three elements:

The **cream** pages are about definitions – what and why.

The **apricot** pages contain some of the tools NGOs need – how.

The **grey** pages are the toolkit itself – pull
out reference sheets for exercises and
activities.





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SECTION 1

WHAT AM&E MEANS IN A DEVELOPMENT CONTEXT





WHAT IS AM&E?

Appraisal is a process which analyses a development need or problem, compares alternative solutions and options for how a project can contribute to resolving it, and assesses feasibility before funds are committed.

Monitoring is the process of collecting, analysing, reporting and using information about a project's progress and initial impacts.

Evaluation is a process whereby those with an interest in a project stand back from detailed project management and consider if it is doing the right things, not just doing things right.

WHY IS IT IMPORTANT?

AM&E is a very important part of development work.

If we don't properly appraise, monitor and evaluate the projects we fund or work on, we may end up doing things the wrong way – or even worse, doing the wrong things altogether.

Appraisal, monitoring and evaluation require different actions; they come at different stages of the development process; and they have different outcomes. If we understand these distinctions, we will do better work!

WHEN, WHY AND WHO?

	APPRAISAL	MONITORING	EVALUATION
WHEN	Before a project starts	During project implementation	During project implementation or after it is completed
WHY	<ul style="list-style-type: none"> • To improve planning and design • To understand the project environment • To collect base-line information • To identify indicators against which to measure achievements 	<ul style="list-style-type: none"> • To track progress and impacts • To adjust project design as necessary • To keep interested organisations involved and informed 	<ul style="list-style-type: none"> • To identify wider impacts • To learn lessons • To educate, motivate and empower • To develop future strategies • To provide accountability
WHO	All stakeholders including intended beneficiaries	Primarily project managers and intended beneficiaries	All stakeholders including intended beneficiaries



1. APPRAISAL: WHAT DO WE NEED TO DO?

In development projects the word appraisal is often used in two different ways.

Analysing the project

Appraisal is often used to refer to the entire analytical process leading up to a decision to fund a project. It can be defined as:

- a process which analyses a development need or problem; and
- compares alternative solutions and options for how a project can contribute to resolving it; and
- assesses feasibility before funds are committed.

The primary purpose of appraisal is to develop a project design that will work. An appraisal provides a better understanding of the project environment and ultimately an appropriate project design. As there are usually many different solutions to any development problem, defining the problem and assessing alternatives is a very important aspect of appraisal.

Project Proposal Assessment

Appraisal is also sometimes used to refer to a specific step in the process.

That is, the step of the donor assessing a project proposal (either through analysis of project documentation or through field assessment) and deciding whether it satisfactorily meets whatever criteria the donor has and whether it should be funded.

In this document we will call this kind of appraisal **project proposal assessment** to distinguish it from appraisal as defined above.

For New Zealand NGOs, project proposal assessment is a process required prior to making a funding decision in order to determine whether the project meets defined criteria and is likely to achieve its objectives. This may or may not require a field visit.

Before a project is funded and implemented, there is a need to:

- clarify the project's rationale and goal;
- identify the project's development objectives;
- identify the expected results (or outputs) from the project and how these will be achieved (the activities); and
- identify the required resources.



An important role of appraisal is to collect information to provide:

- a baseline against which the progress of a project can be assessed; and
- indicators which enable such an assessment to be made during project implementation. (Examples of indicators in Appendix 3)

Project appraisal can include a number of distinct activities and analyses including:

- social or environmental impact assessment;
- gender analysis;
- organisational analysis;
- stakeholder analysis;
- social cost benefit analysis;
- technical assessment; and
- baseline studies.

A variety of approaches may be followed to gather information, such as participatory rural appraisal and rapid rural appraisal. Various techniques and tools may be used such as:

- social surveys;
- key informant interviews;
- focus group or community meetings;
- participant observation; and
- SWOT (Strengths, Weaknesses, Opportunities, and Threats) analysis.

ACTIVITY

Spend a few minutes thinking about the following questions.

- How does your organisation understand appraisal? Is it similar to the above definitions?
- Who is primarily responsible for project identification, formulation and design of projects funded by your organisation?
- How is your organisation involved in project proposal assessment as defined above? What does it involve for your organisation?



2. MONITORING: ARE WE DOING THINGS RIGHT?

Monitoring is the process of collecting, analysing, reporting and using information about a project's progress and initial impacts.

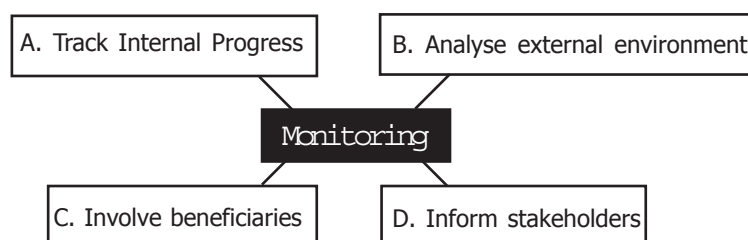
Monitoring is an ongoing process that should continue throughout the life of a project.

It aims to provide those managing the project with information on which to base decisions that will assist the project achieve its objectives. It is usually undertaken by those directly involved in implementing the project.

Monitoring has four purposes:

- A. to track the internal progress of a project against what was planned;
- B. to analyse the external environment for changes that will impact on the project and vice versa;
- C. to involve those intended to benefit from the project fully in all aspects of project implementation; and
- D. to inform other project stakeholders (those with an interest) and provide accountability (eg, to the NZ NGO, international partners, VASS).

“Monitoring is an ongoing process that should continue throughout the life of a project.”



Monitoring therefore requires those responsible for implementing the project to do a number of different things:

- to ensure that project inputs are being used efficiently (expenditure against budget);
- to identify strengths, constraints and weaknesses and how the project might need to be modified to improve performance;
- to analyse any factors which are affecting progress (political, economic, social, gender, cultural, organisational) and their importance;



- to assess, to the extent possible, preliminary impacts both positive and negative;
- to get feedback from project participants; and
- to communicate progress and issues to key stakeholders.

Monitoring is therefore both a descriptive and an analytical process – one of gathering information, assessing that information, and analysing the impact of that information on the project’s objectives.

Monitoring is the basis for ongoing decision-making, and also provides information for later evaluation.

ACTIVITY

Spend a few minutes thinking about the following questions.

- Who is primarily responsible for monitoring projects funded by your organisation?
- What role does your organisation play in monitoring projects that it funds?
- What is the purpose of this monitoring?



3. EVALUATION: ARE WE DOING THE RIGHT THINGS?

Evaluation is another word used to mean different things.

Look at the definition below

An evaluation is an assessment, as systematic and as objective as possible, of an ongoing or completed project, programme or policy, its design, implementation and results.

The aim is to determine the relevance and fulfilment of objectives, developmental efficiency, effectiveness, impact and sustainability.

An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors. (OECD)

This definition is somewhat complex, but it does include the different elements of evaluation.

Whereas *monitoring* has a greater focus on issues of efficiency and effectiveness, *evaluation* is more focused on wider issues of impact, sustainability and institutional capability.

The primary purpose of evaluation, then, is to learn lessons. Undertaken in a participatory way, it can also educate, motivate, empower and provide the basis for future strategies.

A secondary purpose is to provide accountability to those organisations and people with an interest in what the project is achieving or has achieved.

“Simply put, evaluation is a process whereby those with an interest in a project stand back from detailed project management and consider if it is doing the right things, not just doing things right.”

Review

Some think of evaluation as something that only happens at the end of a project, or some time after its completion, but evaluation can happen during the life of a project, often about half-way through the implementation phase. Such an evaluation is often called a review.



Evaluation part-way through a project is a particularly useful process, as it provides a more systematic and independent assessment of progress than regular monitoring normally does – it can look at different issues, consult more widely with stakeholders, identify problems and risks, and redesign a project if required to address issues identified.

It is important to clarify the distinction between **monitoring** and **evaluation** in terms of the role played by your organisation – what are usually called monitoring visits by New Zealand NGOs, for example, better fit the description here of review.

ACTIVITY

Spend a few minutes thinking about the following questions:

- Does your organisation evaluate projects it funds?
- Does anyone else evaluate projects you fund?
- Would you call field visits members of your organisation make to projects you fund monitoring or evaluation visits?
- Is evaluation important to your organisation? If so, why? If not, why not?



4. IMPACT ASSESSMENT: WHAT HAVE WE ACHIEVED?

NGO's are involved in development projects because they want to contribute to positive changes in the lives of women, men and children. The long term change that is desired is often expressed in the goal of the project.

The change that is expected as a direct result of the project is expressed in the objectives.

It is important to keep these in focus throughout the project cycle. Impact assessment helps us do this.

- It is a process of analysing and understanding change in a particular context.
- In impact assessment we consider intended and unintended consequences of the project.

ACTIVITY

Spend a few minutes thinking about the following question

- In your monitoring and evaluation activities, do you focus on activities and their progress or do you consider wider aspects?



SECTION 2

SOME TOOLS FOR MAKING AM&E WORK





PARTICIPATION: WHOSE COMMUNITY IS IT ANYWAY?

Participatory appraisal monitoring and evaluation (PAME)

Participatory appraisal monitoring and evaluation (PAME) highlights the importance of those for whom the project is intended to benefit, being actively involved in the process of:

- identifying needs; and
- designing how these might be met;
- monitoring progress during the life of a project; and
- evaluating the impacts.

“Participation emphasises the importance of process as well as outcomes if development activities are to be effective and lead to positive impacts.”

This does not exclude the involvement of outsiders, people with technical or other knowledge or funders being involved but it emphasises the importance of intended beneficiaries being the subject of their own development rather than the object of others’ development plans. (More about this in Section 3.)

*NGO values emphasise the importance of participation and process in project development and these are critical considerations in how NGOs undertake AM&E.

Participatory Rural Appraisal (PRA) is a type of PAME.

A significant (specific) approach to involving intended beneficiaries in development is called Participatory Rural Appraisal (PRA), sometimes called Participatory Learning and Action (PLA) in recognition that it is an approach that is equally relevant to and used in urban as well as rural settings. Robert Chambers has worked and written extensively on PRA.

Chambers emphasises the critical importance of involving all stakeholders in projects particularly those whom the project is intended to benefit. The focus is on recognition of the knowledge and expertise of the poor, marginalised, women, and children and less on the outside professionals and experts. With PRA there are some major shifts in approach required of outsiders from domination to facilitation, closed processes to open processes, a strong emphasis on the visual instead of the verbal, comparing instead of measuring, allowing them to do it rather than us doing it, a move from our reality to their reality and embracing plurality (both/and rather than either/or).



ACTIVITY

Spend a few minutes thinking about the following questions.

- What is the role of your partner organisations, and those the project intends to support, in PAME?

THREE PILLARS OF PRA:

Behaviour and Attitudes, Methods, and Sharing

Behaviour and Attitudes	Methods	Sharing
<p><i>Outsiders need to</i></p> <ul style="list-style-type: none"> • unlearn • sit down, listen, learn, respect • use your own best judgement at all times • accept that they can do it and facilitate • ask them • be nice to people • embrace error • relax • “hand over the stick” • teach us 	<p><i>Project Beneficiaries</i></p> <ul style="list-style-type: none"> • map • model • estimate • list • compare • score • rank • count • diagram • analyse • present • plan • act • monitor • evaluate 	<p><i>Project Beneficiaries</i></p> <ul style="list-style-type: none"> • share their knowledge and analysis



With PRA there are some major shifts in approach required of outsiders:

From	To
Domination	Facilitation
Closed processes	Open processes
Verbal	Strong emphasis on visual
Measuring	Comparing
Us doing it	Beneficiaries doing it

A move from our reality to their reality and embracing plurality (both/and, rather than either/or).

ACTIVITY
<p>Spend a few minutes thinking about the following questions.</p> <p>What is the role of your partner organisations and those the project intends to support PAME?</p> <p>What roles can your organisation play in supporting PAME?</p>

TOOLS FOR APPRAISAL

Identifying the issues

In any NGO project there are a complex range of issues to consider and a number of stakeholders, often with differing and conflicting interests.

The process of appraisal is to identify and analyse the key issues of a project, and to identify how each of the stakeholders will participate.

Key issues in most projects include:

- economic/financial;
- social;



- gender;
- cultural;
- institutional; and
- environmental issues;

as well as more specific issues such as the institutional capacity of the organisation undertaking the project, sustainability and the appropriate process (ie, who participates and how).

Sometimes the issues are not immediately obvious, and it is important to ask the right questions to identify them.

ACTIVITY

Dhalpari Village Development Project

In Appendix 1 of this unit there is a fictitious case study of a village development project, and the various stakeholders who have an interest in how it might develop and impact on the community.

It identifies the different stakeholders and where their interests coincide or conflict.

Read the case study

Imagine that you are a New Zealand NGO interested in supporting the project. What are the issues that are critical to consider in the appraisal of the project?

List these issues under the following headings:

Economic/financial, social, gender, cultural, institutional, environmental, capacity of the organisation, sustainability, participation.

What would be your next step in appraising the project?

Projects will usually have differing impacts and effects on men and women.

Think about this in relation to the Dhalpari Case Study. It highlights the crucial importance of gender analysis in appraisal. What issues did you identify above?

Appendix 2 provides some examples of gender sensitive indicators that may be relevant in relation to the Dhalpari project. See also References for some articles on gender issues in AM&E.



Clarifying project goal, objectives, expected results (outputs) & activities

Goal

The Goal is a single statement of the overall development aim of a project.

Key characteristics of a project goal are that:

- it provides the rationale for the project;
- there is only one;
- it is reasonably focused and achievable (achievement may require more than the project itself but the project needs to be important to reaching the goal);
- it is a statement about long term changes.

“It is important in project appraisal and design to ensure that the goal and objectives are clear and that the activities contribute to achievement of these.”

Objectives

Objectives are the specific outcomes expected from the project. There may be a number but if there are too many the project becomes very complex and difficult to implement. One way to distinguish an objective from an output or activity is that an objective usually indicates some qualitative change – words like improve, reduce, develop are often found in objective statements.

Activities

Activities are the discrete tasks undertaken during project implementation. There are usually a number of different activities that contribute to achievement of expected results and objectives. They denote what is done with the available resources, such as people, money, equipment and technology.

Expected results

Expected results (or outputs) of a project are the identifiable results of project activities. There may be one or more for each objective. They are the results of actions that should have occurred by the end of the project, and are often what you can see – wells dug, a schoolroom built, a small business established and the like. But this is not always the case – the outputs in a project involving training, for example, may be the number of men and women trained, but also could be the skills learned.

What is particularly important is the linkage between the goal, objectives, expected results and activities – there is a causal relationship between them. People often confuse these



different levels and in particular combine objectives, outputs and activities in one statement or write activities as objectives.

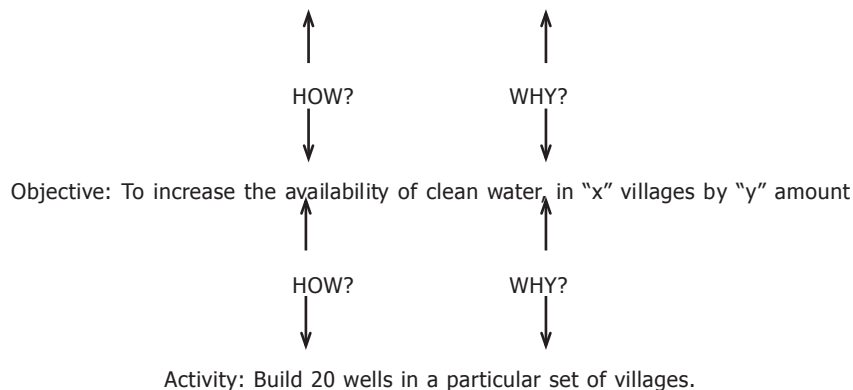
An excellent way to test whether you have all the elements in the right place is to ask 'Why' and 'How' questions. Ask WHY questions to move to a higher level, HOW questions to move to a lower level. (see Why How diagram below)

**“Test the linkage:
Ask ‘Why’ and ‘How’ Questions”**

For example, if a project objective is described as “to build 20 wells in a particular set of villages” and you ask the question WHY, the answer might be “to increase the availability of

clean water”. This is in fact the objective and the first statement is the activity. If you ask WHY again of the ‘new’ objective the answer might be “to improve the health status of men, women and children in a particular area”. This would be the goal. If you started with the goal statement just mentioned and asked HOW, you may end up with the same objective and activity or there may be other objectives and activities (relating to immunisation, health education, vegetable growing) that would contribute to the same goal.

Goal: To improve the health status of men, women and children in a particular area.



Being SMART (but not overdoing it!)

In terms of good project planning it is important that everyone is very clear what is to be done, how, when and why. People have been urged for years to be SMART that is to write SMART objectives.

SMART refers to Specific, Measurable, Achievable, Relevant and Timebound. It is a shorthand for some of the issues that need to be considered in project design and often used in the context of SMART objectives. In trying to be SMART people have tended to include goals, objectives, expected results and activities all in one without being clear about each individually.



This is partly why objective statements are sometimes confused with activities or expressed as a combination of objectives, outputs and activities.

One way to look at it is to think in terms of a SMART project or SMART indicators. This means that there is a logical connection between what the project intends to achieve and how it will do this, and how we are more likely to end up with SMART objectives.

SMARTness is particularly important for project design and for monitoring and evaluation. It assists to make clear what is being attempted, whether progress has been made, and whether expected results have been achieved.

ACTIVITY

Clarifying objectives

The following were stated as the objectives for a microcredit project in Zimbabwe:

1. To set up 20 groups of ten women and provide each with a loan of NZ\$40.
2. To provide weekly training sessions for each group for the term of the loan.
3. To ensure each loan is repaid in twelve months.
4. To encourage savings by the women in the groups.

These are more like activity statements. Using the WHY test, propose one or more objectives which would encompass the above statements.

Compare the two alternative objective statements below and think about which one more clearly identifies a qualitative change.

1. To immunise all preschool children in country X against measles, polio and diphtheria.
2. To increase the level of immunisation in country X against measles, polio and diphtheria to 90% of all girls and boys under five.



Where do we start? Baseline Studies

An important part of appraisal is the setting up of baseline data as a benchmark against which progress can be measured, and the setting of indicators that show what has been achieved or what changes have occurred.

A baseline study is a collection of primary and secondary data that describes and analyses the socio-economic conditions in a particular site at a particular point in time. In relation to development projects, baseline data provides the status of something before the project starts. A specific study may be required, or relevant information may be collected from other studies, such as gender analyses, feasibility studies, needs assessments, etc.

Disaggregation

It is critical to disaggregate data if impacts are to be assessed usefully and accurately. Disaggregation by sex is particularly important as any project is likely to have different impacts on women and men. However, other variables may also be important, such as age, socio-economic status, urban/rural, level of education.

A range of data is likely to be required, including:

- general demographic information;
- information on the community or population in the project area including economic activity;
- infrastructure;
- resources;
- social organisation; and
- information on the household and the division of labour within it.

Depending on the type of project, sector-specific information may be needed, such as land tenure and use, and health and education status. Baseline studies are also important in identifying and assessing issues of local concern, such as problems and needs, access to and control over resources, constraints, opportunities and development options.

But remember that collecting, analysing and using data is time consuming and can be expensive – more is not necessarily better. It is important to assess the amount of information required for a particular project before you start.



Indicators

Indicators provide the basis for monitoring and evaluation activities.

A good indicator will usually have three elements:

1. subject (what the indicator is describing);
2. quantity (how much) and quality (how much better);
3. time (by when).

Indicators should be:

- realistic and cost effective;
- relevant;
- valid and plausible;
- sufficient;
- verifiable (measurable);
- specific and gender sensitive (ie, they measure project impacts on men and women).

“indicators are statements, measures or signals which are used to demonstrate the achievement of a project-related activity, output or objective and/or change that has occurred.”

Indicators show different things at each level of a project:

- at the goal level, indicators measure the broad impact after the project is completed; eg. decreased levels of malnutrition in male and female children;
- at the objective level, indicators show the change that has occurred or condition at end of project; e.g. availability of wider range of food for household;
- at the output (expected) results level, indicators show the magnitude and quality of what has been done; e.g. number of vegetable gardens;
- at the activities level, indicators are evidence that the activities have taken place. e.g. training in vegetable growing.



ACTIVITY

1. The goal of a Pollution Project in Kiribati is to decrease the level of pollution in the lagoons. One objective is to increase community capacity to address the causes of environmental pollution. Think of what some possible indicators for the objective might be. (Note: Focus on the indicators for the objective, not the activities level).

Consider: What is the focus of the concern – discuss the development issues and the need.

2. Some objectives of a Health Project in community "X" in the Philippines include:

1. To improve the health status of under 5 year olds in community "X";
2. To increase immunisation of under five year olds against polio, tetanus, diphtheria and measles by 20%; and
3. To reduce the incidence of maternal mortality in community "X" by 10%.

Think about what baseline data would be needed and how might it be collected. What are some of the key indicators that would enable the project implementers to measure progress?

3. Copy the project outline and indicators in Appendix 3 and cut this into separate goal, objectives, expected results and activities. Also cut up the indicators and then try to match these up.



Checklists

One useful tool for NGOs in considering project proposals or undertaking field visits for monitoring or evaluation purposes is to develop checklists of the key questions to ask. NGOs need to develop their own checklists as their particular needs and interests differ or they may specialise in particular areas (eg, children, microcredit). There are likely to be a set of issues and questions that are relevant to any project and other questions that will be specific to particular agencies or sectors. Some of the key questions to ask in relation to all projects are included in Appendix 4.

An example of the kinds of questions one might also ask in a microcredit project is attached in Appendix 5.

It is important that gender issues are incorporated into a general appraisal checklist so that gender issues are addressed in all aspects of the project. A specific gender checklist in addition to this may provide further guidance/prompts on gender issues to consider in project AM&E. (Refer to Gender Checklists in Appendix 7 or Gender and Development Unit)

ACTIVITY

- Have a look at any checklists your organisation has and see whether each covers all the issues in the checklist in Appendix 4. Are there areas where checklists are deficient?
- In drawing up a checklist think of issues particularly relevant for your organisation.
- Choose a project from your organisation and answer the questions in Appendix 4.



TOOLS FOR MONITORING

It is an on-going process that should continue throughout the life of a project. It provides information on which to base decisions for those managing the project. It assists in the achievement of project objectives. Monitoring is therefore primarily the responsibility of the organisation implementing the project (ie, usually the partner NGO). However, as it is a critical component in achieving project objectives, NZ NGOs might consider ways in which they could support their partners to undertake effective monitoring.

This might include, for instance:

- analysing and reviewing current monitoring systems with partners during field visits and discussing opportunities for development;
- providing information (training manuals, videos, publications) on monitoring systems, PRA/PLA, etc;
- helping to secure additional resources to design and document monitoring systems (possibly using VASS AM&E or capacity building grants);
- providing financial assistance (possibly from VASS AM&E funds) and, if necessary, names of resource people/organisations that can deliver short training courses or workshops.

“As defined earlier, monitoring is the process of collecting, analysing, reporting and using information about a project’s progress and initial impacts”

Currently NZ NGOS primarily use VASS AM&E funds to undertake ‘monitoring’ visits, although, in view of the definitions used above, these may better be seen as short reviews providing a ‘snapshot’ of progress in achieving project objectives and impacts.

As field visits are usually short, it is important to prepare carefully to ensure that what you hope to achieve from the visit, both for your organisation and your partner, is clear and that your time in the field is used to best advantage. A useful resource, on which this section draws, is Bridging the Gap: A Guide to Monitoring and Evaluating Development Projects, (see publications in Section 3).



Field Visits

The following are some steps to be considered in preparing for and undertaking a monitoring/review visit.

Pre-departure Preparation

- **Clarify the objectives of the visit**

- Do you need to visit?
 - What will the visit achieve?
 - Are you the right person to undertake this particular visit?
-

- **Timing**

- Does the timing suit your partner?
 - Is it possible to integrate your visit into their work schedule (eg, a project assessment or review of systems that they may be planning)?
 - Could you arrange the timing of your visit to coincide with that of another donor to lessen the demands on your partner?
-

- **What will the partner get out of it?**

- Does the visit provide an opportunity to discuss future funding of the project or other avenues of support such as those available from VASS AM&E or capacity building funds?
 - Is there an area that you could provide some training in?
 - Can you bring some resources for them in PRA or another topic they have expressed interest in?
-

- **Develop Terms of Reference (TOR)**

Terms of Reference define the scope of the visit and ensure all parties are clear about:

- the objectives of the visit (why);
- the key issues to be addressed (what);
- the proposed approach and methodology (how);
- when it will happen, and an itinerary (when);
- who will be involved and their roles (who);
- what resources will be required, and who will pay for what (how much);



- expected outputs including reporting requirements.

It is important:

- to start work on the TOR early; and
- to ensure your partner has the opportunity to contribute to and comment on them so that all key concerns and issues are considered; and
- that all those who are to participate are clear about what is planned.

This progress will help develop partnership and ownership of the results by all involved.

Background Research

Once the visit has been confirmed, collect together and study all important documents relevant to the project.

- **Prepare a folder of relevant information** – This should include the project design document, project expenditure statements, project progress reports, any previous field visit reports, any relevant studies on similar projects in the region, any relevant country background material.
- **Analyse the project design** – Is it clear? Are the key indicators sound? Have they been used in reporting? Were the risks and assumptions identified correctly? Are there others? How are the risks being managed?
- **Put together a set of summary sheets to take on the visit** – These should include for instance, basic details, start and expected completion dates, targeted beneficiaries, funding sources, implementing partners, expenditure against budget, key indicators, targets set and progress reported to date, issues from previous monitoring reports.
- **Organisational and Information Flow Charts** – Depict in a chart format all those involved in the project and their relationships to each other. Also draw a chart depicting monitoring and reporting systems (eg, who monitors, to whom is information passed, who acts on it)?
- **Prepare checklists of key questions** – Identify the key questions you want information on during the visit. These can be used in discussion with your partner and as the basis for discussion with different individuals or groups you will be talking to.

On the ground

What is to be covered in a monitoring/review visit will depend on the objectives you have set. The following are some likely components of a short monitoring/review visit:

- **Meeting/workshop with partners** – This meeting should involve all key staff and, where relevant, volunteers, confirm key issues in relation to project implementation, the



TOR for the visit, checklist questions, the itinerary and how it is to be conducted. Explore how the partner sees the strengths and weaknesses of the project and its monitoring procedures. It may be useful to do a SWOT (strengths, weaknesses, opportunities and threats) exercise.

- **Review of monitoring systems, including financial monitoring** – This is the opportunity to review how monitoring is carried out. Is information being collected on key indicators? Who collects this information at project level? Who analyses (and reports on it) at Head Office level? How is the information used to improve project implementation?
- **Meeting with other NGOs, organisations, Government officials** – Are there other organisations or government officials who are involved in the project or who may have opinions and ideas to offer in relation to project implementation?

Visit to project site – this might involve:

- **Meeting with project field staff** – This is the opportunity to identify issues that field staff see as critical, to see if there is anything that needs to be added to/changed in relation to TOR and checklist questions and to discuss monitoring systems at the field level.
- **Meetings with key individuals** – These might include the headman of the village, teacher, nurse, health educators, women’s committee leader, co-op manager, agricultural extension officer or whoever plays a key role in relation to project implementation.
- **Meetings with beneficiaries** – These may include special groups such as health workers/midwives/contact farmers who may be primary beneficiaries of the project, as well as general village meetings. To ensure the full participation of women consider whether separate meetings with women might be necessary or helpful. Consider what opportunities there may be to use PRA techniques (eg, mapping, a transect walk through the community, gender analysis, time use studies) in conducting these meetings, though this will need to have been discussed with your partners before the project visit.
- **Wrap up meeting at field site** – This is an opportunity to discuss key findings with project field staff and stakeholders and to consider whether there is a need for any modification to current monitoring practices.
- **Wrap up session with partner** – Back in the Head Office discuss key findings (and obtain a ‘reality’ check) and preliminary recommendations with partners, in particular whether there is a need for any modifications to the project design and monitoring systems.



- **Outline of report and contents** – Any report on the visit should contain no surprises for your partner. General recommendations, and how they are to be implemented, should be agreed with partners prior to your departure.

Back Home

- **Debriefings** – You will need to report to your own organisation, staff and volunteers, and possibly, others such as the VASS PSC. Be honest about any shortcomings, but state also what is being done about them.
- **Finish Report** – Do this as soon as possible after you return. Make the report concise and analytical, provide clear and practical recommendations on action to be taken and indicate who is responsible for taking action.
- **Follow-up to visit** – If there is anything you have agreed to do, such as supplying information/resources to your partner, make sure you follow this up. This is an important part of partnership building.

Interviews and Question Checklists

The interview is basic to many monitoring activities particularly those which focus on finding out what people are doing and thinking in the field. It is the main tool in gathering **qualitative** information as opposed to **quantitative** information which is usually collected from sources such as formal surveys, using structured sampling techniques and pre-formulated questionnaires.

There are a number of different types of interviews that you may use on a monitoring visit. These include:

- **Informal** – an unstructured interview where you just want to obtain an impression or a general idea of what people are thinking.
- **Topic focused** – this may be with a specific group of people (eg, health workers) where you are wanting to focus on a particular topic such as the appropriateness of the health training curricula.
- **Semi-structured** – likely to be the most useful interviewing technique, semi structured interviews provide a framework, through the use of a checklist of questions, to ensure information is collected on key issues, but provide sufficient flexibility to follow up on any other critical issues that may arise in the discussion.

Respondent selection will depend on the particular information you want to obtain. Interviews may be held with individuals, groups or a community (eg, a village). In some cases it will be useful to arrange focus group meetings on specific topics. In all cases consider whether it would be helpful to hold separate meetings with women to ensure their views are heard. Ask also to have individual meetings with key women in the community and project if you do not think you are hearing their views.



Use of Question Checklists for Field Visits

Question checklists are a relatively simple and practical tool that can help make field visits a more structured activity and assist the production of more consistent and relevant information. Some of the potential benefits in using question checklists are:

- they help to ensure key issues are covered;
- they help to ensure consistency and comparability of reporting;
- the discipline of checklists helps to institutionalise a system of project monitoring which helps new staff/volunteers to understand the project more quickly;
- a formalised data collection and reporting system is an important part of developing an institutional memory. Ad hoc systems tend to become very personalised and breakdown when the officer/volunteer leaves; and
- the completed checklists can provide some raw data for subsequent analysis, if questions are adequately structured.

Guidelines for controlling the quality of interviews

In order to get the most out of interviews it is important to provide some control over the process, while still allowing enough flexibility to follow up on unanticipated important issues that may arise. Consider the following points in arranging and facilitating interviews:

- **Whom to meet** – Who is going to provide answers to your key questions? Are all key stakeholders and beneficiaries, both men and women, represented amongst your respondents? Are there other key individuals, not necessarily directly involved in the process who might provide interesting insights/views?
- **Where and when to meet** – Consider when people you wish to interview will be available. If you want to meet with women there is little point in turning up at a village at a time when most women are in the gardens/fields working.
- **Initial contact** – Be friendly and thank the group/individual for meeting with you as they are busy people. Explain who you are, why you are visiting and what you want to discuss with them.
- **Controlling conversations** – Guide the discussion to ensure your main questions are covered. Avoid domination by one or two. If necessary suggest you meet with dominant individuals after the meeting. Direct questions to specific individuals if they are not participating.
- **Neutral attitude** – Be objective and avoid using 'loaded' words.
- **Formulating questions** – The nature of questions used in interviews, how they are selected, structured, asked and answered will have a fundamental impact on the quality of and usefulness of the information generated. Use a checklist of key questions to be covered and think about:



- **Sequencing** – In general begin with straightforward factual type questions and lead up to those requiring the respondent to give an opinion.
- **Wording** – Good questions will be clear and precise enough to provide the information you are looking for. For example, instead of asking a broad question (eg, What problems do you face with getting water?), several shorter and more specific questions are likely to provide more precise information (eg, Where do you get water for household consumption? Who is responsible for collecting water? Is there enough water all year? Is the water clean?).

ACTIVITY

Think about how the following questions could be rephrased (with one or more questions) to be clearer and more precise about the information you are seeking.

- Do you grow enough food to satisfy your family's needs?
- How often do you attend the maternal and child health centre with your children?
- Have you understood and adopted the recommendations made by the agricultural extension worker in your area?

Think of a project you are familiar with and draft an itinerary for a 5-day monitoring visit. Indicate whom you will meet with, what the aim of the meetings will be, what you plan to do in each meeting (eg, a workshop with your partner, focus group meeting with nurse tutors, semi structured meeting with primary health workers etc). Plan a semi-structured interview for one of the meetings. Identify the key areas you want to cover. Prepare a checklist of questions to obtain the information you need. Think about how you will sequence and word the questions.



TOOLS FOR EVALUATION

The aim of evaluation is to determine the relevance and fulfilment of objectives, developmental efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both partners.

Programme or project evaluation is not done very often, yet it is an important opportunity to stand back from the day-to-day demands of managing organisations, programmes and projects and think about wider questions and issues. The emphasis is on assessing impacts and this is important at all stages of the project.

Often we think about evaluation as something done at the end of a programme or project, but, as indicated above, mid-project evaluation (called review) is equally important so that issues identified and lessons learned can be incorporated into a project rather than waiting until after it is finished to think about what could be done better.

A critical requirement for effective evaluation is clarity in design (eg, clearly stated goal and objectives, expected results and activities). This does not mean a project needs to be inflexible or incapable of change if something isn't working or if external factors make it difficult to continue as planned. It is only with clarity and planning that the need for such changes becomes obvious.

Evaluation also needs clear benchmarks. Benchmarking is looking at what was the situation before the project started. Also indicators are needed that enable an assessment of changes and progress in meeting objectives to be made.

Without benchmarks it is difficult to attribute change to project inputs. It is difficult enough even when there is a clear design and indicators identified. A project is implemented in a socio-economic and political context and cannot be isolated from this. This is why external factors need to be considered seriously in project design, monitoring and evaluation.

The VASS Project Selection Committee is currently developing a framework for carrying out impact evaluation with the NGOs. Specific training and fieldwork on issues relating to impact assessment at all stages of the project cycle, is in progress.

“Evaluation is an assessment, as systematic and as objective as possible, of an ongoing or completed project, programme or policy, its design, implementation and results.”





SECTION 3

AM&E EXERCISES, ACTIVITIES, CHECKLISTS AND TOOLKIT





APPENDIX 1 – AM&E EXERCISES AND ACTIVITIES

The Dhalpari Village Development Project

The goal of the Dhalpari Village Project is to increase income and standards of living in the village. The primary objective is to increase production of the main crop, rice. This will be achieved through the development of small scale irrigation and the introduction of new varieties of rice which should potentially enable two or maybe even three crops a year to be produced instead of only one as currently is the case.

The project is an 'integrated' rural development project. The NGO proposing the project (and seeking support from a New Zealand organisation) plans to provide assistance with carrying out the irrigation work and provision of seed, fertiliser and pesticides. With assistance from government, the establishment of a cooperative is planned (on which all households in the village will be represented). The cooperative will provide credit, access to farm inputs (including hire of a tractor) and will buy rice from the farmers.

It is also planned to introduce a microcredit programme which will target women and provide small loans to assist them to undertake small income generating activities. It is expected most loans will be used to purchase livestock (chicken, cows, goats). How the microcredit programme will be run has not yet been decided. It is the first time this NGO will have been involved in microcredit.

The project also hopes to address health issues by constructing a health clinic. The village currently has limited access to health facilities. The nearest clinic is three hours travel by road.

The village does have a primary health care worker who was trained by the NGO several years ago and now works voluntarily as the NGO has not been able to access funding to continue paying her (or the other 20 healthworkers trained to work in neighbouring villages). She often does not have medicines. Water is currently collected from an area up stream – about half an hour's walk from the village.

Education is also an issue and the NGO has been trying to encourage parents to send their children to the local school that they worked with the community to build and equip.

The NGO Director has, at the request of the visiting NZ organisation, organised a village meeting to discuss the project. Some interested outsiders (eg, the agricultural extension officer responsible for the district and a doctor from the closest town) have also been invited. Some other NGOs active in the district and which have had some contact with the village will also attend. These include a local environmental NGO and a local NGO focussing on development 'advocacy'. The NGO Director will invite representatives of all interests to put forward their views on the project.



Attendees

Although the following have been invited not all will attend:

- In-country NGO Director
- NZ organisation Project Officer
- Headman of the village
- Agricultural extension officer
- Doctor from neighbouring town
- Two representatives of the rice farmers (male)
- Two village women's committee representatives
- Primary health worker
- Local school teacher
- Environment NGO
- Advocacy NGO

Task 1: Prepare for your assigned role and attend the village meeting. You will be given an opportunity to present your views on the proposed project and to highlight issues of importance to you. This should be done in no longer than 2 minutes. You may be asked one or two questions at the end of your presentation.

Task 2: Take part in a debriefing session.

1. (Local) NGO Director (Chair of the meeting)

Your role is to chair the meeting. Ensure all attendees have an opportunity to present their views (in the order presented below) for a maximum of 2 minutes. Allow one or two questions at the end of each presentation if you wish/time allows. You may choose to allow some interjections, but maintain control of the meeting. Summarise the main issues and wrap up the meeting.

Formally welcome each individual as they come into the room and introduce them to the NZ organisation Project Officer.

Explain the purpose of the meeting – that the NZ partner has come to appraise the project proposal and to meet with the beneficiaries. Outline the background to and intention of the project (to increase income and living standards in the village through increased agricultural



production (through irrigation, high yielding varieties of rice, fertiliser, pesticides) and a cooperative (to subsidise cost of inputs and buy rice) in which every head of household will be represented. Also a microcredit project targeting women to encourage small income generating activities (such as cows, goats, poultry. Also hope to be able to build a health clinic in time).

Invite the NZ Project Partner to speak (invite questions, if you wish).

Then invite each of the participants to speak in the order outlined above, providing opportunities for one or two questions of each speaker if you wish/time allows.

At the end, wrap up the meeting, summarising the main issues that have been raised and stating that you and the NZ partner's Project Officer have some further talking to do.

2. NZ Partner

Introduce yourself, thank the community for meeting with you and explain something of your organisation and the purpose of your visit. Outline why your organisation is interested in the project and generally what sort of information you are hoping to find out in this meeting.

Take advantage of any opportunities allowed by the Chair to ask questions of those presenting their views to clarify what they have said or seek additional information.

Look interested (nod, comment) in issues that you think your NGO will be particularly interested to know about.

3. Headman of the Village

Welcome the visitor from NZ to your village. Express appreciation for their interest in assisting your village and present a strong argument for why the project should be supported. Explain that it is a poor village but people are very hard working. People depend entirely on agriculture. Currently there are very few opportunities to make money. Describe what it would mean for this village to have the sort of development planned. Outline your relationship with the local NGO (good, honest, interested in helping your village, has done some work previously on training health workers in the district).

4. Agricultural Extension Officer

Indicate support for the project. There is potential to greatly increase rice production in this area – but the village needs initial assistance with irrigation and to get organised. You are very happy to work with the NGO and the farmers to teach new farming methods. Also you can arrange assistance from the Ministry of Agriculture, if this project goes ahead, to set up a cooperative.



All heads of households can be represented on this. It will provide access to credit and subsidised inputs and facilitate loans of agricultural equipment such as a tractor for ploughing land. The cooperative will buy rice from the farmers at a competitive price.

5. Doctor from neighbouring town

You are supportive of the project. There are many very poor people in this village. You treat many of them – but usually see them when their illnesses are quite advanced as they have little money to spend on the bus, or doctor's fees or medicines. This project would bring income to the village and thus improve their health. Also the village desperately needs a health clinic with at least a nurse and a visiting doctor. You hope the project will be able to address the health needs in the area.

6. Male farmer (1)

You are really excited about the project. Welcome the NZ NGO and express appreciation for their support. You have relatives in another village who have had their village irrigated and are now using high yielding varieties of rice to produce 3 crops of rice a year. Their income and material benefits have gone up greatly. The farmers have had a number of meetings with the NGO and agricultural extension officer and are sure the project could work well with some initial assistance. You are excited about learning new skills such as driving a tractor. The coop seems a good idea etc.

7. Male farmer (2)

You agree with your friend (male farmer 1). This sounds a great project. You have a small farm but there is quite a bit of land that's not very productive at the moment (only used for growing vegetables) which could easily be turned into padi if it was worthwhile. There's also a small wooded area on the edge of the property (and bordering others property too) that could be cleared and put into padi. There would be quite a lot of work at the beginning clearing and ploughing the land but if you can borrow a tractor it shouldn't be too bad. After the land's cleared and ploughed it should be pretty easy going. There's a big demand for rice and prices are high. Government is keen to buy all it can to feed the growing numbers in the cities so you can't go wrong.

8. Village Women's Committee member (1)

You only heard about the project recently from your husband. You are concerned about the welfare of your family. You are in favour of this project if it will make it easier to feed your children and to have money to buy things like medicines and clothes and pay for school fees (if they pass primary and have a chance to go to secondary school in the town).

You are interested in the microcredit scheme but would like to know how it would work. You have only ever borrowed money from the moneylender for a funeral and for your



daughter's dowry and you are still paying it back. You would like a cow but not sure what you need to know to look after it or how you would feed it or how much time it would take.

Three crops of rice sounds a good idea in terms of increased income but you are a bit worried about how you will manage the extra work involved on top of your work growing vegetables for your family (and some for sale), collecting wood and water, looking after your five children and undertaking domestic chores like cooking, laundry, cleaning the house.

8. Village Women's Committee member (2)

This is the first you have heard of the project. It sounds like a good idea to have a project that brings more money into the village – but only if it is wisely spent – on food and clothes and medicines and school fees, not on alcohol or bicycles which is what you know happened in that other village that the earlier (male) speaker referred to. In that village the men started drinking a lot more when they had more money and then there were all sorts of family problems. How will we make sure that that doesn't happen here? You would also like a cow, but are not sure how you'd look after it or where you'd go to get food for it. The best place to sell the milk would probably be in the next (larger) village so you would need to get your husband to sell it for you. You think it would be good if the village could get a health clinic. The health care worker is very good but she often doesn't have any medicines and she is just like everyone else – suffering the same problems, trying to make a living and doing this voluntary work as well.

9. Primary Health Worker

One of your concerns is that the nutrition and therefore the health of people will suffer if there is too much emphasis on growing rice and not enough time or land for growing vegetables. You have put a lot of time into teaching women to grow green vegetables for iron and orange vegetables such as carrots for Vitamin A, as well as crops such as dhal which is high in protein. Some women have been able to earn a small income from the sale of surplus vegetables and have used this to buy medicines or to pay for their children to go to school. You are worried that health might be affected by the use of pesticides and fertilisers. Also if women have to work much harder (producing three crops of rice) there is likely to be a lot more pregnancy related illnesses and children will be weaned very early.

You think the NGO is very caring and has good intentions. You don't like to bring it up, but there were problems with the health project and it seems to have more or less failed now – with no more money available to pay the health workers or give them medicines. Is the NGO sure it has worked out how this programme can be kept going?

Microcredit programmes seem quite complicated from what you have seen working with another NGO. Does the NGO know about how to set up group lending schemes and ensure loans are repaid?



10. Local School Teacher

You think it would be great if income increased and people didn't have to struggle to send their children to secondary school. One thing though you have noticed is that children tend to stay away from school when it's the harvest period and all hands are needed at home or to work on the bigger farms. You wonder if children will stay away more if there are 3 harvests a year. Often it is the girls that stay away most to look after younger children and do the chores while their mother goes to the field.

11. Environmental NGO

You think the village ought to be very careful and consider carefully the impact of the high yielding varieties of rice and the effects of shifting to monoculture from a traditional mixed cropping farming system. If there was a drought or a flood or a pest problem (or even if prices fell greatly) they would be very vulnerable. Most farmers in this village are using organic methods of farming. Have they considered the effects of fertilisers and pesticides on the food chain and on the water supplies? Much of the village's protein supply comes from fish from the river that runs past the village. What impact will fertiliser and pesticide run off have on the fish supply? And they should remember that the forested area that one speaker mentioned could be turned into padi provides some valuable wood and non-wood products (timber for housing, firewood, traditional medicines).

12. Advocacy NGO

This project sounds fine but is it really addressing the underlying issues of poverty and injustice in the district – or in the country for that matter? Won't irrigation just increase the wealth of the bigger farmers and increase disparities in the community? The small farmers in this village will suffer when the bigger farmers suddenly want to buy their land or to take back land that they have leased because its value has increased.

In many other parts of the district big farmers have quickly taken control of the cooperative and monopolised benefits such as credit. The real issue is to force the government to carry out the land reform it has promised. We are proposing to take a test case to court next month against a farmer who has way above the maximum landholding.

And he pays his labourers below the minimum wage (particularly women). Some of the labourers have borrowed so much from him to survive that they are 'bonded' to him for life. Injustices like these can't be addressed by some small irrigation schemes and a few high yielding varieties of seeds. We have to publicise these injustices and the plight of most people in our country and organise people to understand what the real issues are and to force the government and the courts to do something about it.



APPENDIX 2 – GENDER EQUALITY INDICATORS

Potential indicators in relation to gender equality include:

- Cash Income
- Workload
- Health Improvements
- Access to training/extension services
- Access to credit
- Access to land, water, animals
- Access to appropriate technology and equipment
- Relationship between men and women
- Participation in Project Management
- Appropriate mechanisms and control procedures in place to ensure delivery of goods and services to women



APPENDIX 3 – LINKING INDICATORS TO DIFFERENT LEVELS

ACTIVITY

For practise in identifying indicators for goals, objectives and expected results and activities do the following activity.

1. Cut out the boxes from the sheets on the next pages.
2. Sort the boxes into 2 groups.
3. In group one, place goals, objectives, expected results and activities.
4. In group two, place the indicators.
5. Order the goals/objectives/outputs and activities and link the right indicators to each of them.
6. *The finished product will look like the example at the end of Appendix 3*



Photocopy and cut out for game . . .

To improve the status and quality of life of widows and destitute women in X communities by the end of the project (2003).	To increase the general knowledge and skills of widows and destitute women in X communities by 2003.
To increase the economic independence of 200 widows and destitute women in X communities by 2003.	At least half of the members in each microcredit group have gained functional literacy and numeracy skills.
200 widows and destitute women are operating successful microenterprises and loans have been fully repaid.	All members in each microcredit group have increased their knowledge of good nutrition and vegetable gardening.
Provide training in group management, savings mobilisation, peer support for loan repayment and small business development.	Provide literacy and numeracy training for all group members.
Establish a group savings and lending programme in X communities.	Provide education through weekly group meetings, particularly on health issues.
Consult with intended beneficiaries to identify income generating opportunities, provide support to assess business feasibility and provide each women with a loan of \$40.	Provision of seeds and training in vegetable gardening and good nutrition.
Provide technical training in the areas of small business developed.	To increase the percentage of widows and destitute women in X communities who own their own land by 2003.
Hold weekly meetings at which all women	Provide advocacy support for women to gain title to land from their in-laws or fathers.



Photocopy and cut out for game . . .

<p>95% of the beneficiaries are economically independent. Decrease in violence against the beneficiaries. Male and female children of the beneficiaries are attending school. Decrease of X% in malnutrition level of male and female children of beneficiaries. Actions taken by group members to improve their situation (eg, land ownership).</p>	<p>50% of beneficiaries are able to keep simple business records. Loan groups being run by group members with limited support. Quantity/quality of increased food available to household members.</p>
<p>95% of the beneficiaries have increased income which is sustainable.</p>	<p>100 beneficiaries can read and write basic documents.</p>
<p>95% of the beneficiaries have businesses that continue to make a profit 95% of the beneficiaries have repaid loans.</p>	<p>Number of beneficiaries who have established vegetable gardens.</p>
<p>All group members attended training before they could participate in a group.</p>	<p>80% of target beneficiaries regularly attend classes.</p>
<p>20 groups each of ten women set up. Weekly savings targets are met.</p>	<p>Awareness raising sessions included in all weekly group meetings.</p>
<p>All women in the groups identified a microenterprise and have received a loan to get them started All proposals assessed for feasibility.</p>	<p>50% of beneficiaries have received seeds and training.</p>
<p>Number of technical courses held. Number of visits to beneficiaries by technical support people.</p>	<p>20% of the target beneficiaries have gained title to land in their own names.</p>
<p>95% of the women have repaid their loans plus interest on schedule.</p>	<p>Number of women who have been successfully supported to gain title to land.</p>



Example: Linking Indicators to different levels

GOAL

To improve the status and quality of life of widows and destitute women in X communities by the end of the project (2003).

INDICATORS:

- 95% of the beneficiaries are economically independent.
- Decrease in violence against the beneficiaries.
- Male and female children of the beneficiaries are attending school.
- Decrease of X% in malnutrition level of male and female children of beneficiaries.
- Actions taken by group members to improve their situation (eg, land ownership).

OBJECTIVE 1

To increase the economic independence of 200 widows and destitute women in X communities by 2003.

INDICATORS:

- 95% of the beneficiaries have increased income which is sustainable.

EXPECTED RESULTS

- 200 widows and destitute women are operating successful microenterprises and loans have been fully repaid.

INDICATORS:

- 95% of the beneficiaries have businesses that continue to make a profit. 95% of the beneficiaries have repaid loans.

ACTIVITIES

1. Provide training in group management, savings mobilisation, peer support for loan repayment and small business development.
2. Establish a group savings and lending programme in X communities.
3. Consult with intended beneficiaries to identify income generating opportunities, provide support to assess business feasibility and provide each women with a loan of \$40.
4. Provide technical training in the areas of small business developed.
5. Hold weekly meetings at which all women make regular repayment of loans plus interest.

INDICATORS:

- All group members attended training before they could participate in a group.
- 20 groups each of ten women set up. Weekly savings targets are met.
- All women in the groups identified a microenterprise and have received a loan to get them started. All proposals assessed for feasibility.
- Number of technical courses held.
Number of visits to beneficiaries by technical support people.
- 95% of the women have repaid their loans plus interest on schedule.



OBJECTIVE 2

To increase the general knowledge and skills of widows and destitute women in X communities by 2003.

EXPECTED RESULTS

At least half of the members in each microcredit group have gained functional literacy and numeracy skills.

All members in each microcredit group have increased their knowledge of good nutrition and vegetable gardening.

ACTIVITIES

1. Provide literacy and numeracy training for all group members.
2. Provide education through weekly group meetings, particularly on health issues.
3. Provision of seeds and training in vegetable gardening and good nutrition.

OBJECTIVE 3

To increase the percentage of widows and destitute women in X communities who own their own land by 2003.

ACTIVITIES

1. Provide advocacy support for women to gain title to land from their in-laws or fathers.

INDICATORS:

- 50% of beneficiaries are able to keep simple business records.
- Loan groups being run by group members with limited support.
- Quantity/quality of increased food available to household members.

INDICATORS:

- 100 beneficiaries can read and write basic documents.
- Number of beneficiaries who have established vegetable gardens.

INDICATORS:

- 80% of target beneficiaries regularly attend classes.
- Awareness raising sessions included in all weekly group meetings.
- 50% of beneficiaries have received seeds and training.

INDICATORS:

- 20% of the target beneficiaries have gained title to land in their own names.

INDICATORS:

- Number of women who have been successfully supported to gain title to land.



APPENDIX 4 – APPRAISAL CHECKLIST

When reading a project proposal, think about the following questions:

1. Issues

- a. What information is there in the proposal about economic or financial issues?
What additional information in this area would be helpful?
- b. What information is there on social issues (eg, nature of the community, health, education)?
- c. Is there evidence that the NGO has the resources and experience to undertake the project?
- d. What indications are there that the project benefits will be sustained after the project is finished (eg, community/local organisations have been set up or strengthened to carry on the work started in the project)?
- e. Who has been involved in the planning of the project? Who are the intended beneficiaries? What role have women played?
- f. Has any gender analysis been undertaken? [For example: Do you know what the roles of women and men are in the community? Who has access to the resources necessary for this project (eg, land for growing food, credit for starting a business, education)? Who will have control over the benefits (eg, income from microenterprises, improved health status)? Who will be involved in project decision-making?]
- g. Is the project likely to have any negative environmental impacts?

2. Goal and Objectives

- a. Is there a clear goal for this project?
- b. Look at the objectives for the project. Are these really objectives or are they activities?

3. Baseline data

What, if any, sex-disaggregated baseline data have been collected? If none, what would have been useful?

4. Indicators

Are there any indicators identified that would measure the achievement of objectives? What are they? Are they gender sensitive? If none, what might they be?



APPENDIX 5 – MICROCREDIT/MICROENTERPRISE APPRAISAL QUESTIONS

There are a number of issues specific to microcredit/microenterprise development projects that are not generally included in AM&E checklists.

For NGOs that fund such projects, it would be useful to draw on their experience to develop a specific set of questions to consider.

Some of these might include the following

- What is the capability of the implementing organisation and its staff in community development, gender analysis and microenterprise development?
- What are the gender ratios in staffing (particularly if women are the key target group)?
- How has the project attempted to involve the poorest and/or most marginalised in the community?
- How are the beneficiaries involved in project planning and implementation as well as business development?
- How does the programme include 'best practices' usually associated with microcredit schemes (eg, group formation and peer support/monitoring and programme management, training, savings mobilisation, market interest rates, attention to gender issues)?
- What are the gender roles in this community? How do men and women use their time (in relation to productive, reproductive and community activities)? What is the potential and actual impact of microenterprise activities on these roles?
- What access do women have to resources relevant to microenterprise development (land, education, credit, appropriate technology, labour, other inputs)?
- What control do women (compared to men) have over the use of income from microenterprise activities?
- If targeting women, to what extent are savings groups used to develop a wider range of skills for the women involved and to address broader gender issues in the community?
- What are the goal and objectives of the microcredit/microenterprise project – is it part of a broader programme to address community development?
- What sex-disaggregated baseline data has been collected and what indicators will be used to assess the achievement of the longer term objectives?
- Is the project sustainable? Is there strong community commitment to the scheme? Are systems in place to maintain high levels of repayment? Are interest rates sufficient to maintain the value of the fund? Are there systems in place to ensure the viability of income generating activities?



RESOURCES

Publications available from DEV-ZONE (Development Resource Centre)

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email: info@dev-zone.org

Web: <http://www.dev-zone.org>

DEV-ZONE (DRC) has the following AM&E resources available for borrowing by registered borrowers. It is free to register.

Bridging The Gap: A Guide to Monitoring and Evaluating Development Projects

B. Broughton and J. Hampshire. Australian Council for Overseas Aid (ACFOA), 1997.

This is a very practical book that provides NGOs with information about the following: principles of monitoring, review, and evaluation; management information systems; monitoring systems for implementors; key indicators; data collection, analysis and reporting; regular review; making the most of short visits; planning and managing evaluations; project framework; logical framework; participatory approaches; learning and workshopping.

Toolkits: A Practical Guide to Assessment, Monitoring, Review and Evaluation

L Gosling and Mike Edwards. Save the Children. Development Manual 5. 1998.

This book aims to help development workers evaluate and monitor their work in a systematic way in order to improve its effectiveness and quality and identify strengths and weaknesses. It covers the whole process of assessment, monitoring, review and evaluation of development programmes, including the questions of who to involve, how to avoid discrimination and what methods of evaluation to use.

Participatory Monitoring and Evaluation (PM&E): An Introductory Pack Institute Development Studies (IDS). 1997.

This is a briefing pack from the Institute of Development Studies in the UK. Although the pack largely focuses on the application of PRA methods to PM&E, other categories of PM&E are also discussed for the purposes of a more accurate representation of the literature that exists.

Partners in Evaluation: Evaluating Development & Community Programmes with Participants

Marie-Therese Feuerstein. 1986.

Partners in Evaluation is both a practical field handbook and a textbook. The methods, principles and examples it contains can be used in many different types of programmes but they are particularly appropriate to development and community programmes, whether in, adult education, rural or urban development and craft co-operatives.

Gender Issues – A Framework for Project Analysis

VASS Handbook.

This article is based on the book Women in Development: A Framework for Project Analysis, Gender Roles in Development Projects by Catherine Overholt, et. al. (Kumarian Press, 1985)



Time Use Study for Gender Analysis

Alexandra Stephens. 1998.

Gender Sensitivity in PRA

World Neighbors in Action. 1996.

Other publications

Baseline Study Handbook – Focus On The Field

Solveig Freudenthal and Judith Narrowe.

Evaluating Social Development Projects

David Marsden and Peter Oakley (eds).

Putting People First – Sociological Variables In Rural Development

Michael M. Cernea (ed).

VASS Handbook

New Zealand Ministry of Foreign Affairs and Trade – see in particular sections on 'Appraisal, Monitoring and Evaluation' (B25-28), 'Capacity Building' (B7-12), 'Management Support for New Zealand NGOs'(B21 - 24).

Whose Reality Counts? Putting The First Last

Robert Chambers.

Videos available from DEV-ZONE (Development Resource Centre)

Note: All videos are catalogued as: TYPE – Video; LOCATION – Videos unless otherwise indicated.

Participatory forest management

ID 7810. Institute of Development Studies (IDS). 1993. PAL VHS 40 mins

Contents: *PRA; environmental management; community development; India; Forestry; demonstrates mapping, transactions, matrix scoring.*

On same tape as 'Handing Over the Stick'. 4 Stars.

PRA in Central Asia: Coping with Change video

ID 7814. Institute of Development Studies (IDS). 1996. PAL VHS 30 mins.

Contents: *Robert Chambers; Central Asia; PRA methodologies.*

See also source-book of same name; 5 Stars.

The poverty experts: a participatory poverty assessment in Tanzania.

ID 7815.1996. PAL VHS 35 mins.

Contents: *PRA; Poverty; Africa; Research; Environmental degradation; PPA; PRA tools.*

Poor sound quality; 4 Stars.

Participant's diary of a PRA exercise

ID 7816. Institute of Development Studies (IDS). PAL VHS 20mins

Contents: *PRA; Do it yourself game; India; Mapping; local knowledge; agriculture.*

On same tape as 'We could do what we never thought we could'; 3 Stars.



Participatory Learning & Action (PLA) Tool Kit for the South Pacific

ID 7946. Pacific Regional Agricultural Programme (PRAP). 1998. Large box containing materials. Type: Book. Location: Development – practice – participation.

Contents: *Participation; PLA; PRA; RRA; extension; training; matrix scoring and ranking; participatory surveys and appraisals; case studies; standardised format for reporting PRA; participatory methods.*

Questions of difference: PRA, gender and environment. A training video

ID 8469. Guijt, I. International Institute for Environment and Development (IIED). 1993. VHS Pal – 120 minutes.

Contents: *People's roles; images and realities; introduction to PRA; communication; PRA methods for analysis; case studies: mangrove use in Pakistan; drylands use in Burkina Faso; biodiversity in Brazil; planning fieldwork.*

Recommended

Putting the last first and PRA attitudes and behaviour

ID 8489. Institute for Development Studies. VHS – 70 minutes.

People and the Planet Compilation

ID 9941. 87 mins. VHS/PAL.

Web Sites

These sites can be accessed via the DRC links page at:

http://www.drc.org.nz/links/Topics_A-M/Monitoring_and_Evaluation/

Eldis Participatory Monitoring and Evaluation:

<http://nt1.ids.ac.uk/eldis/hot/pme.htm>

This is the number one site providing links to websites about the following participatory monitoring and evaluation topics:

- Background to PM&E: Concepts and the different purposes of PM&E
- Who participates and when in PM&E?
- Methods tools and manuals
- Indicators
- Case studies
- Other issues
- Discussion lists and bibliographies



Monitoring and Evaluation News

<http://www.mande.co.uk/news.htm>

Internet based news service focusing on innovations in monitoring and evaluation methods that are relevant to development projects with social development objectives. Current issue plus archives available on WWW. Pages can also be retrieved by email.

OECD Development Assistance Committee Working Party on Aid Evaluation

<http://www.oecd.org/dac/Eva1uation/index.htm>

The Working Party on Aid Evaluation consists of professional evaluators and managers in the field of development assistance. Its Members meet periodically to share experience to improve evaluation practice and strengthen its use as an instrument for development co-operation policy.

International NGO Training and Research Centre (Intrac)

<http://www.intrac.org>

INTRAC is an Oxford based NGO which is working on PRA, impact assessment, capacity building and other development issues. It has a publication list available on its web site, organisations conferences and promoted debate on significant development issues.

Resources for Methods in Evaluation and Social Research

<http://members.localnet.com/~shackman/eva1webs.html>

A site managed and developed by Gene Shackman. This page lists FREE resources for methods in evaluation and social research. The focus is on "how-to" do evaluation research and the methods used: surveys, focus groups, sampling, interviews and other methods. Most of these links are to resources that can be read over the web.

