

MONITORING AND EVALUATIONS MANUAL

PIDF SECRETARIAT



Pacific Islands Development Forum

LAST UPDATE: 10TH JUNE 2016

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**Pacific Islands Development Forum
Monitoring and Evaluations Manual**

PIDF

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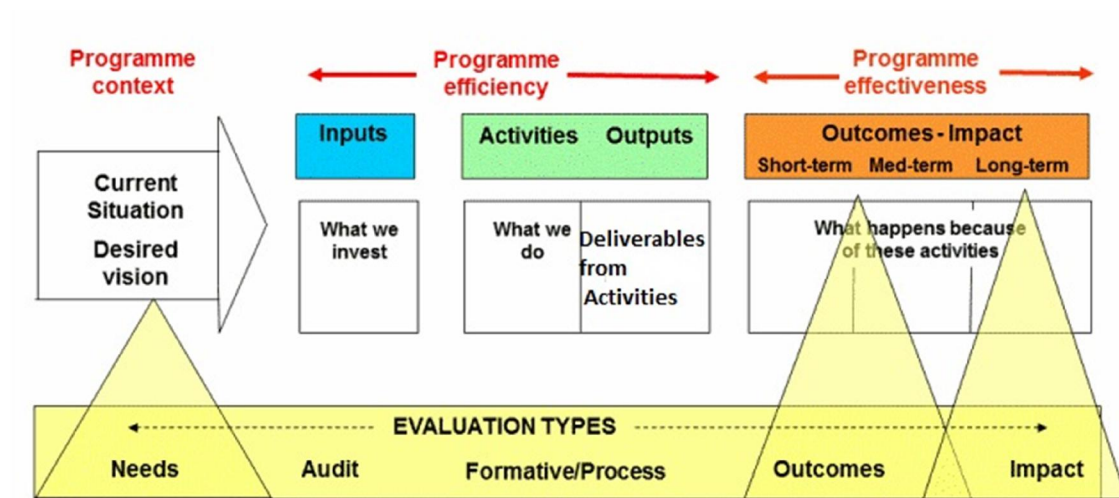
OBJECTIVE:

To define the organization and responsibilities to enhance the quality and utilization of M&E systems and deliverables and to integrate evaluative thinking into PIDF institutional practice.

Version	Date	Object of the update	Prepared by	Checked by	Approved by
0	10/06/2016		TL Policy Research and Evaluations	Deputy Secretary General	Secretary General

OBJECTIVES

Monitoring and Evaluation (M&E) is a process that helps improve performance and achieve results. Its goal is to improve current and future management of outputs, outcomes and impact. It is mainly used to assess the performance of projects, institutions and programmes set up by governments, international organizations and NGOs.



This M&E Plan contained in this document is designed to provide clear guidelines, well defined roles and action plan for the staff of Pacific Islands Development Forum (PIDF) Secretariat. The following outcomes of the M&E Procedures are:

- Information that is generated by M&E systems and activities has a credible basis;
- M&E information informs and influences decision making at the initiative, sectoral, thematic and country program levels;
- Effective mechanisms for incorporating lessons from the various Programs, Annual Work Plan and Strategic Plan whilst ensuring integrating corporate developments into the M& E systems are operational;
- The M& E Unit, its procedures and systems within PIDF Secretariat is fully institutionalized;
- The M&E Procedures and systems are standardized.
- Ensure Benchmarking and Comparative analysis.

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The growing interest in measuring the social, economic and environmental contributions of the sector of CROP Agencies, NGO, Institutions and International Organization recently over the past decade in particular in PICTs has been prompted by:

- Greater recognition on these sector in achieving social, economic and environmental objectives
- Increased recognition by these sector of the benefits of evaluation and measurement in improving their organizational performance
- Demands by Development Partners and governments for improved performance evaluation to enhance accountability and provide more information on the effectiveness of their funding
- Governments seeking greater understanding of the structure of the sector in order to assess the potential impact of changes in policy

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- 3) Monitoring and Evaluating Social Impacts Australia: A working Paper. Curtin University Australia. Retrieved June 2016 from www.curtin.edu.au
- 4) Program Evaluations Standards. Retrieved June 2016 from <http://www.jcsee.org/programevaluation-standards>
- 5) QMS Policy OF PIDF
- 6) Quality of Australian aid operational evaluations. Office of Development Effectiveness. Australia. Retrieved June 2016 from www.ode.dfat.gov.au.

ABBREVIATIONS

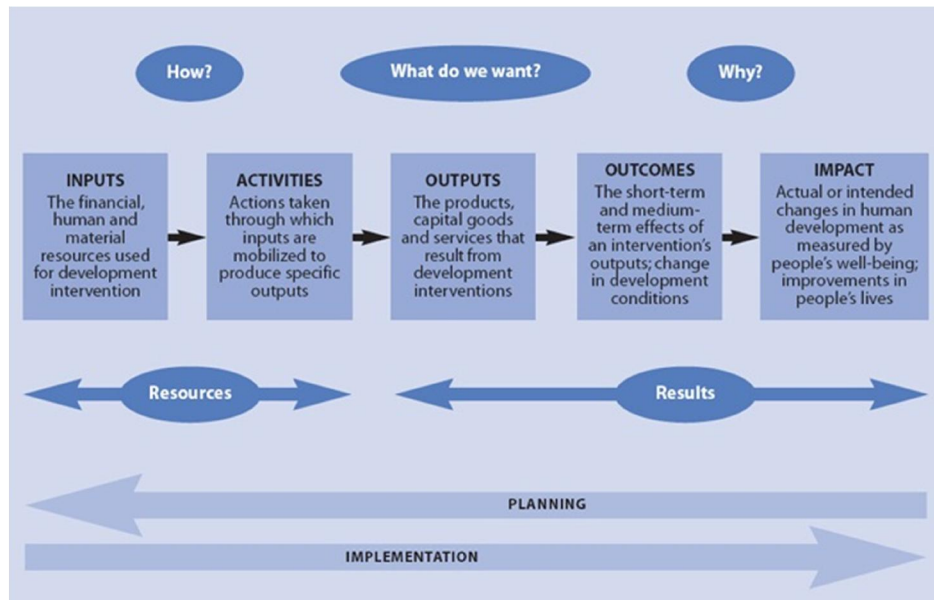
CPEIR- Climate Public Expenditure and Institutional Review
M&E- Monitoring and Evaluation
INDC- Intended Nationally Determined Contribution
ISO- International Standards Organization
NDC- Nationally Determined Contribution
NSDB- National Sustainable Development Boards
PIDF- Pacific Islands Development Forum
QAI- Quality at Implementation
QMS- Quality Management System
SDG- Sustainable Development Goals
TLPR&E- Team Leader Policy Research and Evaluation
ToR- Terms of Reference

M& E FOR IMPACTS

Monitoring and evaluation (M&E) allows people to learn from past experiences, improve service delivery, and allocate resources and demonstrate results as part of accountability to stakeholders. Depending on the context, stakeholders can include everyone from end-users to government agencies. M&E program performance achieves this because it enables the improved management of the outputs and outcomes while encouraging the allocation of resources where it will have the greatest impact. M&E also assists in keeping projects/programmes on track, providing a basis for reassessing priorities and creating an evidence base for current and future projects/programmes (IFC 2008).

Although evaluation is distinguished from monitoring, they are in fact interdependent:

- **Monitoring:** Regular systematic collection and analysis of information to track the progress of program implementation against pre-set targets and objectives. Did we deliver?
- **Evaluation:** Objective assessment of an ongoing or recently completed project, program or policy, its design, implementation and results. What has happened as a result?
- **Impact assessment:** Assesses what has happened as a result of the intervention and what may have happened without it, from a future point in time. Have we made a difference? Achieved our goal? (IFC 2008)



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WHAT IS THE BASIS OF THIS PLAN?

Although the international standards for M&E processes are well described in literature, and are generally quite consistent, the processes in this document are focused specifically on the needs of PIDF, and in recognition of the current practices and resources made available by PIDF for M&E.

The plan reflects:

- the tasks carried out by the different levels of PIDF staff in the implementing and oversight of M&E systems and deliverables;
- the tasks carried out by PIDF Staff, contractors and consultants who design, implement and produce M&E systems and deliverables;
- the capacity of PIDF staff to absorb new information and perform new tasks within their already busy work demands; and
- the expected end-of-program outcomes of the evaluation institutional change program itself.

Seven Gate Processes of M& E

The Processes presented in this document are:

K1 System: Initiative Design (required features for M&E)

K2 System: Initiative M&E Systems

K3 System: Initiative Progress Reporting

K4 System: Terms of Reference for Independent Evaluations

K5 System: Independent Evaluation Plan (Methodology)

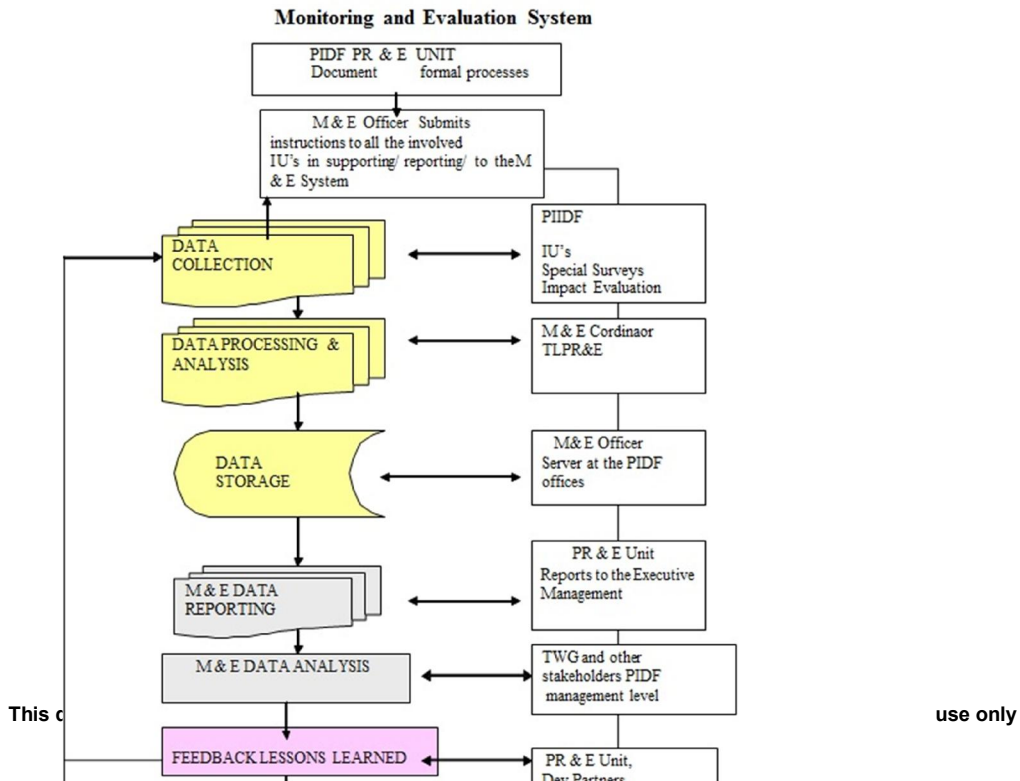
K6 System: Independent Evaluation Report

K7 System: Initiative Monitoring Visit



Monitoring and Evaluation Activities

The monitoring, supervision and evaluation responsibilities lies within the Policy Research and Evaluation Unit. A key aspect of an M&E system is to develop clarity regarding the flow of information from data reporting through data analysis.



K1 INITIATIVE DESIGNS

	Element	Further Guidance Available
Initiative Design Planning		
1.1	Terms of reference reflect the requirements for the M&E Specialist/Designer	Example TOR for M&E Specialist on Design Mission
1.2	M&E Specialist/Designer has demonstrated skills in logic modeling and theory of Change	M& E Specialist Qualifications
1.3	Design plan reflects sufficient opportunity to gather relevant contextual information to inform the design	
1.4	Design plan reflects sufficient opportunity to meaningfully engage national partners in the design process	
Design Features		
Program Logic		
1.5	The goal (beyond the life of the initiative) is aligned with relevant Country Program Strategy Objectives, national sustainable development priorities, SDGs targets, INDC,NDC	SDG's, NSDB, Green Growth Framework, NDC, Strategic Plan, 10 Priority areas of PIDF
1.6	The proposed mechanism by which the entire initiative and the broader goals are linked is made explicit (theory of change)	
1.7	The target groups, beneficiaries or individuals expected to change any behaviors' for key outcomes (and related interventions) are identified	
1.8	The end-of-program outcomes are expressed in terms of performance outcomes not open-ended capacity outcomes	
1.9	The end-of-program outcomes are pitched at the correct level for the time, effort and resources applied	
1.10	Immediate and intermediate outcomes are described for key interventions	
1.11	There is a robust logic (and/or theory of change) that links the interventions with immediate, intermediate, and end-of-program outcomes	
1.12	The extent to which the context will likely influence the initiative outcomes is described	
Enabling Quality M&E Systems (these features are expected to be carried over into any RFT, Contract or MOU)		
1.3	The design articulates that international standards for evaluation are expected to be met for the design, implementation and products of the M&E system.	http://www.jcsee.org/programevaluation-standards
1.4	The design articulates the importance of partner government mutual accountability by making provision for the mutual assessment of progress	
1.5	For initiatives over \$10,000, adequate provisions have been made for design and oversight of M&E systems for the life of the initiative by an adequately qualified M&E Specialist.	M& E Specialist Qualifications
1.7	Important evaluation questions emerging during the design are highlighted	
1.8	Adequate resources are available for M&E- approximately 5-7% of total budget	

K2 INITIATIVE M&E SYSTEMS

	Element	Further Guidance Available
Design Phase to Mobilization		
2.1	Adequate resources are allocated for M&E	
2.2	Terms of reference for the M&E Practitioner reflect requirements for a quality system. Adherence to international evaluation standards has been required.	Example TOR
2.3	Adequately qualified M&E Practitioner is recruited	ToR M&E Coordinator
M&E System Planning (in time to inform the first annual plan)		
2.4	There is a summary of the initiative goals, outcomes, investment size and length and any other relevant information	Full description of expected content
2.5	There is an adequate basis for the development of the M&E Plan (e.g. Evaluability or Readiness Assessment)	
2.6	The M&E Plan reflects current international standards for evaluation practice (e.g. Joint Committee on Standards for Educational Evaluation – Program Evaluation Standards)	http://www.jcsee.org/program-evaluation-standards
2.7	End-of-program outcomes are clearly articulated.	
2.8	Key evaluation questions are posed such as exploratory questions that answer important questions about the program.	
2.9	The quality, reach and value for money of key deliverables are monitored and evaluated	
2.10	The reach/coverage, quality, and exposure of participants to key deliverables are monitored and evaluated	
2.11	Relevant aspects of the context and key risks are monitored	
2.12	Responsibility is allocated to specific individuals (not organizations) for all M&E activities	Responsibility Matrix
2.13	Mutual accountability and joint assessment by local partners is provided for (using partner systems where appropriate)	
2.14	Personnel responsible for implementing the M&E plan have the capacity to do so (time, resources and skills)	
2.15	Baselines are constructed where appropriate	
2.16	A strategy for the utilization of information is described	
2.17	A complete schedule of M&E activities shows when all key M&E activities will be carried out and information available	
2.18	The M&E plan can be easily understood by non-specialists and key stakeholders	
2.19	The M&E plan is resourced and costed	
During Implementation		
2.20	M&E reports are available upon request and report against planned M&E activities a) Summarizing information collected, analyzed and interpreted in the reporting period b) For all major evaluation activities (e.g. surveys, studies)	

2.21	Progress reports meet stakeholder needs, report against M&E plan, have a credible basis for claims, and recommend actions to improve performance.	Guidance to Implementation Partners
2.22	Information has informed initiative learning, decision making and actions	

K3 INITIATIVE PROGRESS REPORTING

	Element of Progress Reporting	Further Guidance Available
	Feature of Progress Reporting	
3.1	There is an executive summary that communicates the key information required for Quality of Implementation reporting.	QMS, ISO 9001
3.2	The relevant aspects of the context and any risks are adequately described	Risk Management
3.3	There is a reflection on the continuing relevance of the initiative	
3.4	An assessment of the adequacy of progress toward sustained end-of-program outcomes is described	
3.5	Factors that have accounted for the progress toward sustained end-of-program outcomes are explored	
3.6	The implications of issues identified are discussed with respect to the likely achievement of end-of-program outcomes	
3.7	Management responses taken to date or proposed for the future are described in terms of the likely achievement of end-of-program outcomes	
3.8	The coverage, reach and quality of key outputs or deliverables for the reporting period are described	Ratios and Indicators
3.9	The adequacy of progress against the annual plan is described	Dash Board Reporting
3.10	A reflection on the adequacy of planned inputs to meet the expected end-of-program outcomes is provided	
3.11	The adequacy of progress against the budget is assessed	
3.12	Factors that have accounted for the progress against the annual plan and budget are explored	
3.13	The report provides balanced and fair reporting of positive and negative issues, achievements and	
3.14	Data or findings are presented in formats that effectively and efficiently communicate important information	
3.15	The extent to which key management or implementation systems are effective and efficient is assessed	
3.16	Factors that have accounted for the strengths or weaknesses in management or implementation systems is described	
3.17	Important lessons are summarized	
3.18	Previous and/or proposed management responses or recommendations are summarized	

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K4 TERMS OF REFERENCE FOR INDEPENDENT EVALUATIONS

	Element	Further Guidance Available
Background and Orientation of Evaluation		
4.1	A brief orientation to the initiative is provided which includes: total value; time frame; expected end-of-program outcomes; a short summary of the key approaches employed in the initiative; a brief explanation of the initiative's expected contribution to the Country Program Strategy and national development planning.	
4.2	The rationale for the request for the evaluation: including the overall purpose and primary users of the information are described	
4.3	The TOR identifies the key decisions (management, operational and/or policy) which the evaluation is intended to inform	
4.4	The key issues that lead to the evaluation questions are described in neutral language	
Evaluation Questions/Scope		
4.5	The key evaluation questions are consistent with the overall purpose and management decisions of the evaluation	Full description of expected content
4.6	The questions are consistent with the overall purpose of the evaluation	
4.7	It is clear which questions are considered to be the priority questions for PIDF that must be answered with a good degree of rigor	
4.8	The scope of the questions is suitable for the time and resources available to the team	
4.9	There is adequate specificity in the questions to guide the development of evaluation plan	
Evaluation Process		
4.10	A verbal briefing of the key issues and priority information is planned	
4.11	Adequate time has been allocated for document review and document <i>appraisal</i>	
4.12	There is a requirement for an elaborated evaluation plan – the depth of planning required reflecting the importance of the review/evaluation questions and management decisions	
4.13	The submission date for the evaluation plan allows sufficient time for data collection activities to be scheduled	
4.14	There is provision for processing the information collected to enable systematic analysis and interpretation and the development of an evidence base	
4.15	Adequate time is made available to complete the draft report	
4.16	The process for commenting is efficient and allows independence of the evaluation team's final report	
4.17	Adequate time has been allocated to responding to comments	
4.18	The roles and functions of each team member are stated	
4.19	The skill sets of the evaluators reflect the priority questions of the evaluation	
4.20	The reporting requirements balance the need to track progress of the evaluation with the need to focus on substantive evaluation activities	

K5 INDEPENDENT EVALUATIONS PLAN

	Element	Further Guidance Available
5.1	The evaluation plan is based on a collaborative approach	
5.2	The primary intended users of the evaluation are clearly identified and their evaluation needs are described	
5.3	The purpose and/or objectives of the evaluation are stated	
5.4	A summary is provided to orient the reader to the overall evaluation design	
5.5	Limitations or constraints on the evaluation are described (e.g. time frame; resources; available data; political sensitivities)	
5.6	The Key Evaluation Questions are supplemented by detailed descriptions and/or sub questions	
5.7	It is clear which questions are considered to be of higher priority and are expected to provide the most important information	
5.8	There is sufficient flexibility to be able to address important unexpected issues as they emerge	
5.9	The methods to collect data are described for each question (or related questions)	
5.10	The proposed data collection methods are appropriate for the questions posed	
5.11	Triangulation of data collection methods is proposed to strengthen the confidence in the findings	
5.12	The sampling strategy is clear and appropriate for the evaluation questions posed	
5.13	The plan identifies ethical issues and how they will be addressed	
5.14	The plan identifies ethical issues and how they will be addressed	
5.15	The process for making judgments is clear	
5.16	Approaches to enhance the utilization of findings are outlined (if this has been requested in the terms of reference)	
5.17	The evaluation plan provides guidance on scheduling. The final schedule (if attached) reflects adequate time to answer the posed evaluation questions	
5.18	The allocation of evaluation tasks to team members is clearly described (i.e. data collection, processing and reporting)	

K6 INDEPENDENT EVALUATIONS REPORTS

	Element	Further Guidance Available
Introductions		
6.1	A background to the evaluation summarizes: the total value of the initiative; the number of years of the initiative; the stage of initiative implementation; key outcomes of the initiative; and the key issues identified in the terms of reference	
6.2	A brief summary of the methods employed is provided	
6.3	Key limitations of the methodology are described and any relevant guidance provided to enable appropriate interpretation of the findings	
6.4	The executive summary provides all the necessary information to enable primary users to make good quality decisions	
Findings and Analysis		
6.5	The evaluation report clearly addresses all questions in the Terms of Reference	
6.6	The relative importance of the issues communicated is clear to the reader	
6.7	There is a good balance between operational and strategic issues	
6.8	The report clearly explains the extent to which the evidence supports the conclusions and judgments made	
6.9	Alternative points of view are presented and considered where appropriate	
6.10	Complicated and complex aspects of issues are adequately explored and not oversimplified	
6.11	The role of context and emergent risks to initiative performance are analysed	
6.12	The text uses appropriate methods/language to convince the reader of the findings and conclusions	
6.13	There is an adequate exploration of the factors that have influenced the issues identified and conclusions drawn	
6.14	The implications of key findings are fully explored	
6.15	The overall position of the author is clear and their professional judgments are	
Conclusion and Recommendations		
6.16	The conclusions and recommendations logically flow from the presentation of findings and any associated analyses.	
6.17	Individuals have been allocated responsibility for responding to recommendations.	
6.18	Where there are significant cost implications of recommendations, these have been estimated (financial, human and materials costs)	
6.19	The recommendations are feasible	

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K7 MONITORING VISITS

A Monitoring Visit is a visit conducted by PIDF personnel on an initiative in their portfolio. It can also be conducted jointly with implementation partners. There is no wide approach to how monitoring visits should be undertaken – this should be determined in accordance with the context and information needs of the initiative manager. This standard provides one possible format for monitoring visits.

Element	Further Guidance Available
Monitoring Visits Plan	
7.1	The number of the monitoring visit for the initiative is recorded
7.2	The broad purpose of the visit is described
7.3	The key questions for the visit are listed and are related to the purpose of the visit
7.4	The scope of the questions is suitable for the time and skills available for the visit
7.5	How information will be collected is described
7.6	The proposed ways of collecting information are suitable for the questions posed
7.7	A proposed schedule of expected activities and persons to meet is prepared
7.8	The proposed schedule allows sufficient time to address the visit questions
7.9	Roles and responsibilities for each team member are clearly described (including joint)
Recording and Managing Information during Mission	
7.10	Key points or issues are recorded after each activity
Visit Report and Response	
7.11	A background to the visit is presented
7.12	A brief summary of findings for each visit question posed is provided.
7.13	Important lessons learned or insights of general interest to the sector, the program, or PIDF corporately are identified
7.15	Information relevant to updating PIDF reporting is presented in language suitable for pasting into relevant reports
7.16	Management responses are summarized
7.17	Feedback to respondents or participants is provided where appropriate
7.18	The date the report is sent to the management team for oversight of management responses is recorded.
7.19	Follow Up section is completed



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LOGICAL FRAMEWORK

The logical framework (or logframe) approach provides a set of designing tools that, when used creatively, can be used for planning, designing, implementing and evaluating projects/programmes. Logframes provide a structured, logical approach to setting priorities and determining the intended results and activities of a project. Used correctly, logframes can provide a sound mechanism for developing a project/programme concept into a comprehensive project/programme design document. Logframes can also provide the basis for evaluating the effectiveness, efficiency and relevance of a project. There are a variety of approaches to logframes. Below is the logframe template of PIDF.

Programme	Objectives	Expected outcomes	Main activities	Budgetary Inputs	Responsibilities	Indicator	Data Source	Monitoring Frequency	Baseline	Targets 2016	Targets 2017-2018