

# IMPROVING THE EFFECTIVENESS OF OVERSEAS DEVELOPMENT ASSISTANCE IN TUVALU

## GUIDANCE NOTE FOR DEVELOPING A MONITORING AND EVALUATION FRAMEWORK



**SPREP**

Secretariat of the Pacific Regional  
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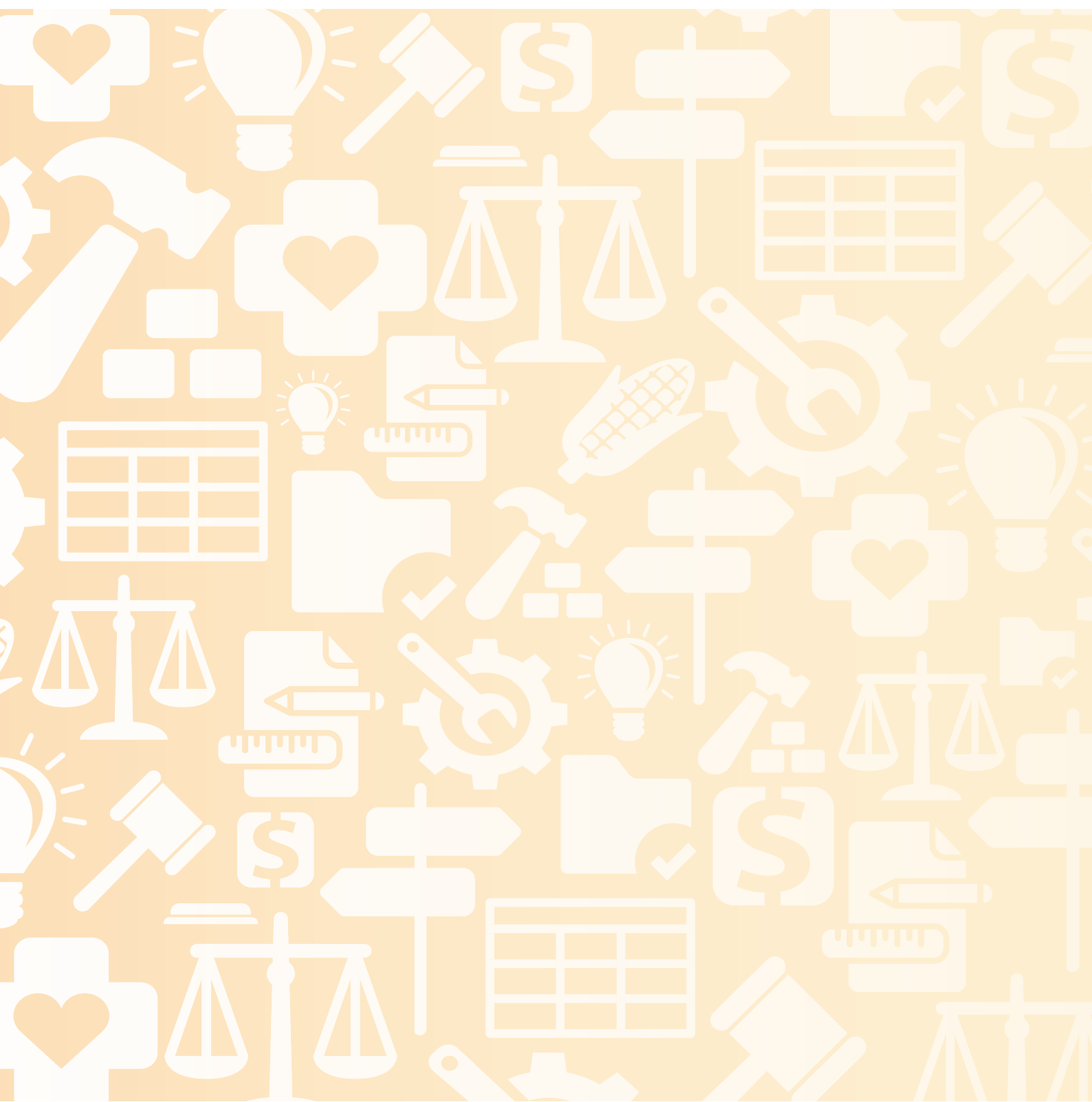


# **IMPROVING THE EFFECTIVENESS OF OVERSEAS DEVELOPMENT ASSISTANCE IN TUVALU**

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# Introduction

The Government of Tuvalu (GoT) is undertaking a reform program to improve the effectiveness, efficiency and resilience of its overseas development assistance (ODA). This work has led to the development of a *Tuvalu National Aid Policy (2012)*, and updates to the *Tuvalu Budget Manual (2014)* and *Tuvalu Government Financial Instructions (2016)* – amongst other things.

To support the operation of these reforms an ODA Handbook has been developed along with a series of supporting guidance notes and tools.

This document is the supporting guidance note to assist with development of Monitoring and Evaluation Frameworks for ODA project/programs.

The target audience for this Guidance Note is officials from the GoT.

The Guidance Note is also intended to be used by Development Partners of GoT to assist with the process of aligning and harmonising with GoT systems – consistent with commitments under the Paris Declaration on Aid Effectiveness.

The approach outlined in the Guidance Note is based on a contemporary, purposeful planning approach known as *Results-Based Management*. *Key features of the approach include:*

- a focus on answering the questions that are most important to GoT for its learning and strategic decision-making needs;
- is flexible and adaptable such that it can accommodate certain monitoring templates, reporting formats, methodologies etc as may be required by Development Partners in the short-term; and
- an emphasis on climate change and disaster risks. This reflects the situation in Tuvalu where climate events (e.g. extreme tide events, drought) impact on a wide range of different ODA policies – oftentimes substantially. Moreover, in the medium-term and long-term future, these risks are expected to further increase under the effects of human-induced climate change – presenting as a major development challenge for Tuvalu (Te Kakeega III: National Strategy for Sustainable Development 2016-2020).

It is envisaged the Guidance Note will be periodically updated and improved as more experience is gathered.



## STRUCTURE OF THE GUIDANCE NOTE FOR DEVELOPING M&E FRAMEWORKS IN TUVALU

This Guidance Note for developing monitoring and evaluation (M&E) frameworks in Tuvalu is organized into two parts as follows:

Part A sets the scene for undertaking M&E in Tuvalu. This section firstly provides a general overview of monitoring and evaluation and how it is used within the Tuvalu policy cycle<sup>1</sup>. It then outlines a suggested eight-step approach for developing an M&E framework.

Part B provides more detailed guidance relating to each of the eight steps for developing an M&E framework as outlined in Part A. This comprises:



Concluding remarks are also offered at the end.

In addition, some further guidance and information is provided in the appendices.

- Appendix 1 provides an brief introduction to key concepts relating to climate change and disaster risk;
- Appendix 2 briefly explains the linkages between program-level M&E – as provided for in this guidance note – and monitoring, reporting and evaluation activities undertaken at the Corporate and National Strategic Development Plan levels; and
- Appendix 3 provides some further guidance on formulating evaluation questions using the Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) evaluation criteria.

*The development of this Guidance Note has been supported by the Secretariat of the Pacific Regional Environment Program (SPREP) and the Asian Development Bank (ADB) through the Pilot Program for Climate Resilience: Pacific Regional Track (PPCR-PR). More information on the PPCR-PR can be found at <https://www.climateinvestmentfunds.org/cif/node/7295>.*

<sup>1</sup> This terminology is consistent with the Tuvalu Budget Manual. "Policy" can take a range of different forms, including new regulation – such as through the introduction of certain licensing requirements or taxation; as well as the delivery of direct projects and programs to the community such as education services or health care services. It is a generic term to capture all Government policies that are proposed through the annual budget and related ODA procedures.



# PART A: Setting the Scene



## OVERVIEW OF MONITORING AND EVALUATION

Monitoring and Evaluation are complementary, yet distinct, processes.

**Monitoring** is the ongoing continuous collection of information – primarily data on specified indicators – to provide an indication of the progress of implementation against stated objectives. Monitoring is often undertaken by internal staff (i.e. managers and program staff) and monitoring information is often compiled into progress reports to support everyday management decision-making as well as providing (internal and external) accountability.

Information gathered during the monitoring process also provides the basis for the evaluative analysis. However, on its own, monitoring information is generally not sufficient to provide for an in-depth assessment of the policy. In particular, monitoring information is not able to explain the reasons why or why not objectives (or performance areas more generally) were achieved.

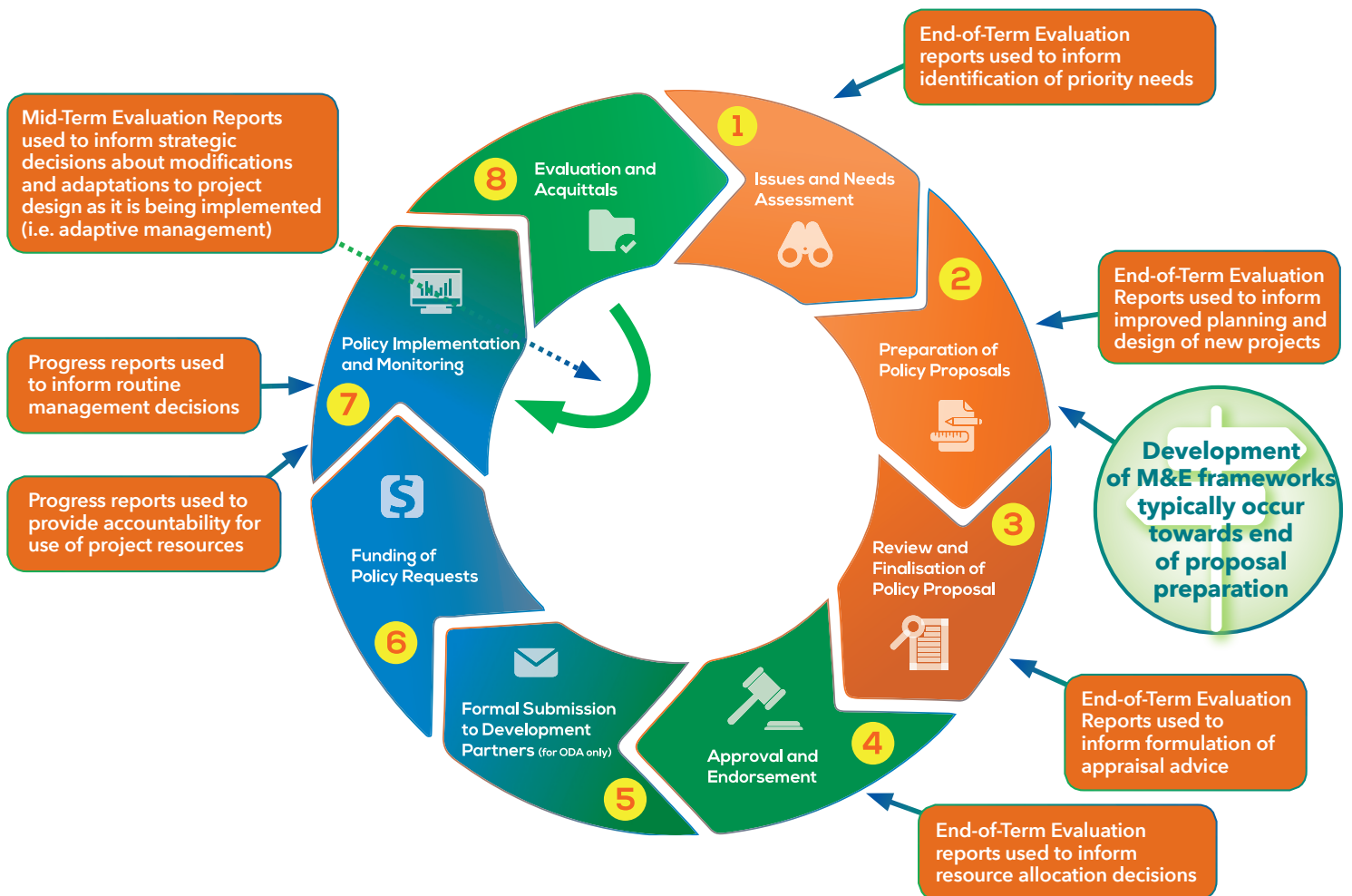
**Evaluation**, by contrast, is the periodic and more in-depth analysis of the policy in key areas – building on monitoring information. Key areas of analysis include (OECD, 2010a):

- whether a policy design and approach is/was suitable in terms of achieving its objective and working within a given context (relevance/appropriateness);
- the extent to which outcomes and objectives were achieved, or are expected to be achieved, and the underpinning reasons for this (effectiveness);
- how efficiently inputs are/were converted to outputs (efficiency);
- the contribution of the policy to the achievement of longer-term goals (impact); and
- the extent to which the benefits of a policy are expected to continue beyond the policy lifetime (sustainability).

Information gathered and analysed as part of evaluation is typically undertaken by specialist evaluators (usually external to the policy), and documented in Mid-Term or End-of-Term evaluation reports (or ‘reviews’). The main interests of evaluation are learning for (policy) improvement, including for more strategic decision making.

### When is information and knowledge generated from Monitoring and Evaluation used?

In Tuvalu, the information and knowledge generated from Monitoring and Evaluation (M&E) is used at a number of different stages of the policy life cycle. Figure 1 provides an overview of a policy cycle for Tuvalu and shows how key M&E information and knowledge – as documented in Progress reports, Mid-Term Evaluation reports and End-of-Term Evaluation reports – is used within this. Figure 1 also shows where a M&E Framework should ideally be developed.



**FIGURE 1. STAGES OF THE POLICY CYCLE AND HOW M&E INFORMATION AND KNOWLEDGE IS USED WITHIN THIS**

Source: this representation of the project cycle is taken from the Tuvalu ODA Handbook which in turn is based on the Tuvalu Budget Manual (2014) and Tuvalu Government Financial Instructions (2016) – amongst other things.

As can be seen in Figure 1 above, information and knowledge generated from M&E is not only used for stages 6 (Implementation and Monitoring) and 7 (Evaluation and Acquittals). Importantly, M&E information and knowledge is also used as key inputs to stage 1 (problem and needs assessment) stage 2 (preparation and design of new policy proposals), stage 3 (appraisal of new policy proposals), and stage 4 (resource allocation decisions). In this way, policymaking processes in Tuvalu should be thought of as a continuous and integrated cycle, with the planning and design of (ongoing + new) policies building on and learning from knowledge generated from monitoring and evaluation.

## APPROACH TO UNDERTAKING M&E FOR TUVALU GOVERNMENT POLICIES

A meaningful evaluation of a policy requires a framework within which the monitoring and evaluation can be designed, data analysed and results interpreted. This Guidance Note sets out an eight-step procedure for developing a M&E Framework.

The approach outlined is based on a Program Theory-Driven Evaluation structure (Donaldson, 2007) and is consistent with a contemporary, purposeful planning approach known as *Results-Based Management*. The content – key definitions, concepts, procedures, and tools – has been drawn from a range of evaluation resources, which are acknowledged in the Reference list.

As outlined in the Introduction, a feature of the approach is to focus on answering ‘the right questions’. The intention is that, by focusing the M&E work in this way, the learning needs of GoT in particular will be better served – something that hasn’t always been achieved for M&E exercises

undertaken in Tuvalu in the past. Moreover, this feature is also intended to promote a more practical and achievable approach to collecting monitoring information – rather than formulating over-ambitious and over-engineered Monitoring Plans that tend to lead to poor execution and execution failure.

Another feature is that it is flexible and adaptable. The eight-step procedure provides generic guidance for developing a monitoring and evaluation framework in a structured and systematic way. Within this procedure, templates, formats, and methodologies etc can be adjusted according to the preferences of responsible GoT staff and Development Partners. This feature is in recognition that it will take time for GoT to fully develop its M&E capacity, and for its many Development Partners to align and harmonise with GoT systems.

Further, given the major challenges presented by climate change in Tuvalu, the approach includes a special emphasis on analysing climate change and disaster risk elements – where appropriate. M&E plays a very important role in assisting Tuvalu to adapt to and effectively manage climate change and disaster risks – especially given there is a high degree of uncertainty about many aspects of these risks<sup>2</sup> and that many Tuvalu agencies (and Development Partners) are only just starting to account for climate change in the design of their development policies.

The eight-step procedure for developing a M&E Framework is illustrated in Figure 2 below.



**FIGURE 2 EIGHT-STEP APPROACH FOR PREPARING A M&E FRAMEWORK**

The above-outlined procedure should be undertaken during the later stages of policy planning and is typically elaborated on at an early stage during implementation.<sup>3</sup>

This procedure can be used for developing M&E frameworks for projects and programs (referred to as ‘policies’) and is intended to coherently integrate with Corporate Plan reporting and in turn reporting against the Te Kakeega III National Strategy for Sustainable Development: 2016–2020 (TKIII). These linkages are outlined in relevant sections of the eight-step procedure and further elaborated in Appendix 2.

<sup>2</sup> uncertainty can apply to every component of climate change and disaster risk as described in Appendix 1 (i.e. likelihood of hazard event, exposure, sensitivity, and adaptive capacity). For the likelihood of hazard event component of risk for example, there is a wide variation (in the degree of uncertainty) across different hazard types. For example, there is a reasonable level of confidence in projections for sea-level rise over the next 15 years (PCCSP, 2011). However, there is much less confidence in projections relating to the frequency and intensity of typhoon events (PCCSP, 2011). Moreover, the further into the future we look (or the policy is expected to run), the higher is the level of uncertainty. This uncertainty makes the design of effective policies - at the outset - more difficult.

<sup>3</sup> Increasingly, M&E frameworks are being developed concurrently with, and inform, a project/program/plan design. A M&E Framework should be reviewed and finalised as part of the project Inception workshop.



## PART B: The Eight Steps for Developing a M&E Framework

This section provides guidance relating to each step of the eight-step procedure for developing an M&E Framework outlined in Part A.

While the step-by-step process described suggests a sequential progression through the phases, it may be necessary to revisit and repeat some of the steps, for example as more information on the costs of data collection activities comes to light.

Practitioners are also encouraged to concentrate on the key principles or considerations that are most important for each of the eight steps. By focusing the work in this way, the M&E Framework developed is more likely to add-value to GoT strategic planning, and be more practical and achievable to implement. Broader expertise in monitoring and evaluation practice will be developed as more experience is gathered.

### STEP 1: DEFINE THE POLICY DESIGN

The first step in developing a M&E Framework is to define the logic and evidence of the policy design. The main purpose for doing this is to help ensure there is a sound and shared understanding of the policy design on which to base the M&E. This forms the foundation of the monitoring and evaluation work.

#### Defining the Policy Design – Important Principles and Considerations

Make sure the policy design and logic is meaningful and understood by policy staff, management and key stakeholders.

Be as clear and specific as possible about how change<sup>4</sup> is expected to happen.

Don't be too ambitious about the influence the policy can have. Talk honestly about the policy's contribution to the larger change process.

Outline any negative changes generated by the policy – and associated mitigating measures if this is a real concern.

The 'Definition of the Policy Design' should draw from studies and documentation prepared as part or earlier stages of policy planning and design. This information can then be represented using a combination of narrative and graphics.

Information that should typically be covered in the narrative include:

- a brief explanation of how the policy aligns with high-level priority GoT strategies as outlined in the Te Kakega III National Strategy for Sustainable Development: 2016-2020 (or equivalent);
- a description of the nature, extent and underpinning causes of the problem(s)<sup>5</sup> the policy is trying to address, including information on who<sup>6</sup> is effected and factors that influence (relevant) behaviours of these stakeholders [problem statement];
- a definition of the policy objective(s)<sup>7</sup> – or key changes the policy is seeking to generate or contribute to [objectives statement];

<sup>4</sup> achievement of policy objectives

<sup>5</sup> For some projects, climate change and disaster risk (e.g. coastal flooding risk to community areas) will be the main 'problem' that the project is trying to address.

<sup>6</sup> Particular attention should be given to gender and vulnerable stakeholder groups.

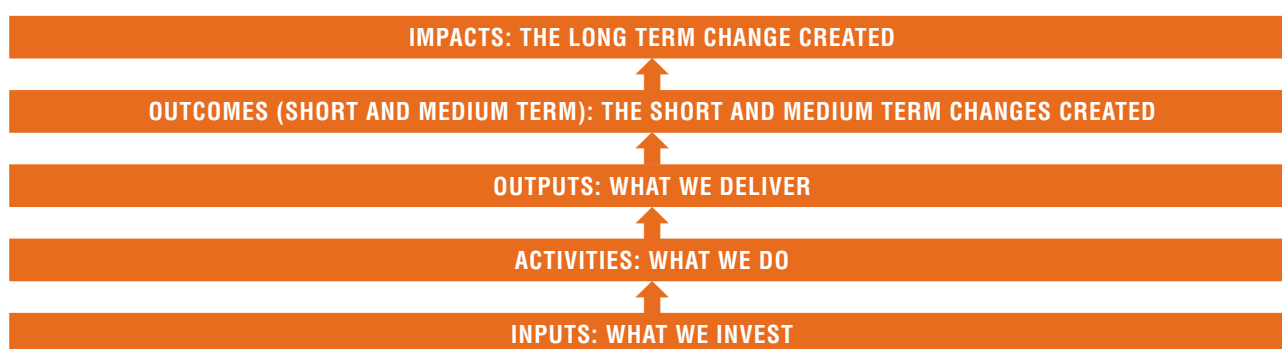
<sup>7</sup> this should align with one or more of the underlying causes of the project problem identified in the problem statement.

- a description of the policy strategies, including *how and why these strategies are believed to generate or contribute to the intended change*<sup>8</sup> [strategy description]; and
- references for all sources of information (peer-reviewed publications, grey literature, expert judgement, workshop reports, evaluation reports etc) mentioned in the above.

Graphic representation of the policy design can be undertaken using a ‘logic model’. A logic model is simply a visual display of the pathways from actions to results – illustrating the cause-effect linkages between key elements of the policy design.

There are many forms of logic models that can be used for this purpose including chains of boxes, circular formats, as well as connected columns known as the “pipeline logic model”. Practitioners are encouraged to utilise whatever form is most meaningful to them.

In the Pacific Region, the most common form of logic model used is the LogFrame Matrix. Select elements of a LogFrame Matrix are illustrated in Figure 3 below.



**FIGURE 3. CORE ELEMENTS OF A LOGFRAME MATRIX**

It is also important to clarify – as part of preparing a logic model – what ‘cause-effect linkages’ or ‘connections’ are expected to hold true but are not necessarily supported by robust evidence. Similarly, it can also be important to clarify what internal factors or ‘pre-conditions’ must be in place for the policy to be successful in achieving its objectives in the Tuvalu context (e.g. the Department responsible for implementing the policy has sufficient skills, experience, and systems to manage delivery as per design). Together, these aspects of policy design are sometimes referred to as “assumptions” (Markiewicz & Patrick, 2015).

Finally, it should be recognised that the more complex the policy is, the more complex the logic model is likely to be – reflecting the larger number of activities, outcomes, impacts, assumptions etc. If resources for M&E are limited, restricting the scope of the logic model to consider shorter, simpler “cause-effect linkages” in the logic chain may help it to be more understandable and useable (HM Treasury, 2011).

## **STEP 2: INCORPORATE EXTERNAL FACTORS AND RISK**

A policy is often affected by factors or events that are fully or partly outside the control of the organisation(s) that is responsible for implementing it. These factors, sometimes referred to as ‘external factors’, include things such as significant political changes (e.g. changes in Government policy directions, new legislation) and continuity of partnership arrangements (including changes of funding, policies, practices, or leadership that affect cooperation). These external factors also include climate hazard events such as extreme tide events, drought or cyclone.

<sup>8</sup> this would essentially include a description of what the ‘strategies’ are that have been selected to achieve the project objectives. It should also outline the reasons and supporting evidence as to how and why the strategies employed by a project will work to achieve the intended objective. This is essentially a description of the ‘program theory’.

The second step of the procedure for developing a M&E framework is therefore to further develop the Definition of Policy Design prepared in Step 1 so that it includes information on how key external factors potentially affect the policy and how related risks have been accounted for in the policy design, if at all. This information is important to enable the monitoring and evaluation work to support adaptive management of these risks.

### Incorporate External Factors and Risk – Important Principles and Considerations

Give an accurate understanding of the context within which change<sup>9</sup> is supposed to take place.

Focus on the external factor(s) that present the greatest risks to the policy.

Be as clear and specific as possible about how the external factor will potentially impact on the policy, and how key design modifications or ‘risk management strategies’ will act to manage related risks.

Consider climate change and disaster risks.

The suggested approach for incorporating external factors and risk in to the Definition of Policy Design is to populate the Risk Table outlined in Table 1 below.

Information needed to populate the Risk Table should (ideally) be drawn from studies and assessments undertaken as part of earlier stages of policy planning.<sup>10</sup>

**TABLE 1. RISK TABLE<sup>11</sup>**

1. NATURE OF RISK		2. MAGNITUDE OF RISK (WITHOUT RISK TREATMENT)			3. RISK TREATMENT MEASURE(S)	
Event	Elements of policy affected by event, if it occurs	Likelihood of event occurring (almost certain, likely, possible, unlikely, rare)	Consequence of event, if it occurs (insignificant, minor, moderate, major, severe)	Overall risk rating, without risk treatment (low, medium, high, extreme)	Risk treatment measure	Overall risk rating, with risk treatment (low, medium, high, extreme)

Source: Adapted from Australian Government (2003) and New Zealand Ministry of Foreign Affairs and Trade (2009)

Where the external factor relates to a climate hazard event (e.g. drought or cyclone), it is suggested that special attention is paid to understanding the uncertainty associated with the assessment of risk. This uncertainty especially relates to the likelihoods of some climate hazards events occurring in the medium to longer term future – under the effects of human-induced climate change. More information on key terms and concepts relating to climate and disaster risk specifically, including uncertainty, is provided at Appendix 1.

<sup>9</sup> achievement of policy objectives

<sup>10</sup> More information on undertaking risk assessments to input to policy planning is available in the supporting guidance note entitled “Improving the Effectiveness of Overseas Development Assistance (ODA) in Tuvalu: Guidance Note for Assessing and Appraising Policy Risk”

<sup>11</sup> Care should be taken to reference relevant studies, reports, databases, models, expert opinions etc.

### STEP 3: FORMULATE KEY EVALUATION QUESTIONS

The Definition of the Policy Design developed as part of Steps 1 and 2 provides for a sound and shared understanding of the policy design and its risks. Based on this understanding, the next step of developing a M&E Framework is to formulate and prioritise key evaluation questions.

Key evaluation questions are the questions that are most important to primary stakeholders for their learning and strategic decision-making needs. They ask the questions that stakeholders<sup>12</sup>, and in particular the GoT, 'really need to know' the answers to.

These evaluation questions will – in subsequent steps of the procedure for developing a M&E Framework – provide direction and focus for the activities and analyses of the M&E work.

#### Formulate Key Evaluation Questions – Important Principles and Considerations

Develop questions that are meaningful and important to primary stakeholders (KSGKSG) for their learning and strategic decision-making.

Base questions on the policy design and analysis of external factors and risk – any gaps, points of uncertainty or accountability needs.

Only develop a short list of evaluation questions (around 5) to keep M&E implementation practical and achievable.

The suggested approach for formulating key evaluation questions is to reflect again on the Definition of the Policy Design prepared as part of Steps 1 and 2 and thinking through:

- which aspects of the policy (in particular 'cause-effect linkages') have important knowledge gaps;
- which policy risks are uncertain and require adaptive management as the policy is being implemented; and
- what do Central Agencies and Development Partners need to know for accountability purposes etc.

Evaluation questions can be formulated around the areas identified in this reflection exercise as most important.

Where appropriate, the formulation of evaluation questions can be further guided by five standardised evaluation criteria or domains (i.e. appropriateness, impact, effectiveness, efficiency and sustainability) as developed by the Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC). More information on these evaluation criteria and how they can be used to help formulate evaluation questions is provided at Appendix 3.

Only a small number of key evaluation questions ought to make the final list – in order to keep the M&E framework practical and achievable.

Efforts should be further made to ensure evaluation questions are:

- **Useful:** Evaluation questions are phrased in clear and succinct terms and indeed align with the priority strategic decision-making needs; and
- **Agreed:** Relevant stakeholders endorse the guiding questions.<sup>13</sup>

<sup>12</sup> Stakeholders are funders, government agencies, non-government organisations, other organisations, groups or individuals who have a direct interest in the policy and its monitoring and evaluation. They potentially include:

- Government officials, policy makers, service and contract managers
- Funders and Donors
- Program/Policy Board Members, managers and policy delivery personnel
- Service users, clients or beneficiaries
- Community interest groups or associations

<sup>13</sup> A key opportunity to gain agreement is typically the Policy Inception meeting or workshop. This meeting is attended by key policy staff, Development Partner representatives, and other stakeholders – and includes confirmation of the M&E framework as one of the meetings/workshops primary outputs.

Moreover, where climate change and disaster risk and related uncertainty is a major consideration in policy design (or is the primary policy problem), this may warrant a dedicated evaluation question or sub-question(s). Examples of climate change and disaster risk-related evaluation questions and sub-questions that may be incorporated in this step include:

- to what extent is (was) the adaptation measure – i.e. design modification/risk reduction measure – effective at mitigating potential negative impacts on the policy? what are (were) the key factors of success/failure? [*effectiveness criteria question*]
- to what extent does the design of the policy adequately account for uncertainties in the frequency and intensity of future climate hazard events?<sup>14</sup> [*appropriateness criteria and/or sustainability question*]
- to what extent can and should the policy design – and adaptation measure therein – be replicated to other settings? [*sustainability criteria question*]

It may take several iterations to decide on the final short-list of key evaluation questions and sub-questions.

## STEP 4: PREPARE A MONITORING PLAN

To be able to properly answer key evaluation questions formulated in Step 3, good quality information and data must be collected and collated. The fourth step in developing a M&E Framework is to formulate a plan to make sure that the basic data needed to help answer evaluation questions (developed as part of Step 3) is indeed collected.

The basic data collected as part of monitoring is commonly referred to as an ‘indicator’ – which is a quantitative or qualitative variable to measure progress in a specific area of intervention performance. As mentioned in PART A: Setting the Scene, this information is often collected by internal staff (i.e. managers and program staff) and is also the primary information that is collated and communicated in regular (e.g. quarterly and annual) Progress Reports – to support everyday management decision-making as well as providing (internal and external) accountability.

### Prepare a Monitoring Plan – Important Principles and Considerations

Only collect indicators which materially help to answer priority evaluation questions.

Consider both quantitative and qualitative indicators, not only quantitative.

Ensure that indicators that are included in the Monitoring Plan have S.M.A.R.T characteristics.

Always keep the Monitoring Plan achievable.

A suggested format for preparing a Monitoring Plan is presented in Table 2 below. As can be seen, the format specifies the relevant element of the policy design (column 1)<sup>15</sup>; the indicators to be collected and corresponding baselines<sup>16</sup> and targets (column 2); data sources for these indicators (column 3); frequency of data collection (column 4); responsibilities for data collection and related analysis (column 5); and resources needed (column 6).

<sup>14</sup> does it adequately incorporate flexibility to allow for the possibility of adjustment in the future to cope with effects that are more or less severe than anticipated, or to adapt incrementally? or does is the adaptation measure ‘climate-resilient’ such that it can tolerate a wider range of climate conditions, while retaining the same basic structure and functioning?

<sup>15</sup> If helpful, practitioners may also include relevant evaluation questions within the Monitoring Table. One way to do this is to include a reference to relevant evaluation question as a parenthesis in column 1.

<sup>16</sup> the “baseline” is the situation before or ‘without’ the project.



**TABLE 2. THE MONITORING PLAN FORMAT**

ELEMENT OF POLICY DESIGN: IMPACT/ OUTCOME/OUTPUT ETC [EVALUATION QUESTION REF]	INDICATOR	DATA SOURCE + DATA COLLECTION METHOD	TIME OR SCHEDULE AND FREQUENCY FOR DATA COLLECTION	RESPONSIBILITIES	RESOURCES (\$)
Outcome: <i>Increase energy production from renewable sources</i>	Indicator 1: <i>Cubic metres of methane produced per year</i> Baseline: 0 Targets: 100 by 2019	<i>Site visit report, by project officers</i>	<i>Quarterly</i>	<b>Data collection:</b> Extension Officer <b>Data analysis and verification:</b> Project Co-ordinator	<i>USD\$ 25,000 per annum.</i>
Outcome <i>Household adopt practices and methods for using biogas systems</i>	Indicator 2: <i>Number of households that have ‘fully adopted’<sup>17</sup> practices and methods for using biogas systems</i> Baseline: 0 <b>Target:</b> 20 by 2019	<i>Daily Diaries, by participating households</i> <i>Site visit report, by extension officers</i>	<i>Diaries inputted to daily</i> <i>Site visit quarterly</i>	<b>Data collection:</b> Extension Officer <b>Data analysis and verification:</b> Project Co-ordinator	<i>Costs included above</i>
Output: <i>Domestic scale biogas systems installed and demonstrated</i>	Indicator 3: <i>Number of demonstration biogas systems installed</i> Baseline: 0 Target: at least 20 by 2019	<i>Site visit report, by extension officers</i>	<i>Site visit quarterly</i>	<b>Data collection:</b> Extension Officer <b>Data analysis and verification:</b> Project Co-ordinator	<i>Costs included above</i>
Output: <i>Production and dissemination of technical “how to” biogas toolkit,</i>	Indicator 4: <i>Biogas ‘toolkit’ prepared and printed</i> Baseline: Not started <b>Target:</b> Toolkit printed 9 months after inception of project	<i>Toolkit document</i>	<i>Annually</i>	<b>Data collection:</b> Technical Officer <b>Data analysis and verification:</b> Project Co-ordinator	<i>0</i>

*Adapted from UNDP 2014, ADB 2007, and OECD 2001.*

As mentioned in the above, there are a number of important considerations to keep in mind when preparing a Monitoring Plan – to make sure it is fit-for-purpose and place. These considerations include:

- keep the Monitoring Plan **focused and achievable**. A common pitfall of M&E is to formulate over-ambitious and over-engineered Monitoring Plans, which in turn leads to poor execution and/or execution failure. Practitioners should therefore be disciplined in only including indicators which clearly align with priority evaluation questions. If, after this, the Monitoring Plan is still considered to be over-ambitious, it may be necessary to further prioritise evaluation questions.
- **never include indicators in the Monitoring Plan just because they are easy to measure**. For some evaluation questions there may not be indicators that are useful for forming an answer. This is fine – these evaluation questions may be better answered solely through periodic and more in-depth data collection methods as discussed in the next section.
- **consider both quantitative and qualitative indicators**. Some evaluation questions may be better informed by qualitative indicators (e.g. participation satisfaction with program) rather than – or in combination with – quantitative indicators (e.g. number of program participants). Don’t bias towards quantitative indicators just because they are easy to measure.

<sup>17</sup> ‘fully adopted’ is defined here as households actively employing all of the key practices and methods as prescribed in the toolkit - and filling in the diary. Key practices and methods are:

1. use pig dung in the prescribed way on a regular (approx 3-daily) basis
2. use methane gas in the prescribed way on a regular (approx 3-daily) basis
3. collect and use slurry/residue/digestate in the prescribed way on a weekly basis
4. maintain pig pen and water tank in the prescribed way on a quarterly basis
5. maintain digester tank in the prescribed way on a quarterly basis

- **indicators that are included have S.M.A.R.T characteristics.** To be useful, indicators should have the following characteristics:
  - (S)Specific – specific to the area of performance being assessed
  - (M)Measurable – based on measurable factors that can be observed, documented and verified
  - (A)Achievable – required data can be collected and capacity is available to do this
  - (R)Relevant – relevant to the area of performance being assessed
  - (T)Time-bound – has a clear and appropriate timeframe for assessing performance
- **make sure baseline levels are established at the outset.**<sup>18</sup> Collection of baseline information will often need to commence before the policy is actually implemented, to ensure the accuracy of this information. Where this does not occur, an evaluation may not be possible or may be severely limited.

Also, where climate change and disaster risk is a major consideration in policy design and a dedicated evaluation question or sub-question(s) has been formulated, a number of specific indicators and/or measurement requirements may be needed – on top of what is ordinarily collected for most development policies. These include, but are not limited to, (i) a dedicated/disaggregated output level indicator to monitor progress in implementing climate change and disaster risk treatment measures (e.g. % of assets built that comply with agreed climate-proofing engineering standards); and (ii) specific timing requirements for measuring relevant output and outcome indicators corresponding to when climate hazard events occur (and the incidence and magnitude of relevant climate hazard event).<sup>19</sup>

It is worth further noting here that significant additional monitoring work is generally not needed to answer climate change and disaster risk related evaluation questions or sub-questions. This is because most climate change and disaster risk treatment measures ultimately aim to ensure the given policy is able to achieve its intended development objectives in the face of climate hazard events (Bours et al, 2014). In this way, the same indicators to measure the effectiveness of the policy are also used to measure the effectiveness of the risk treatment measure.

## STEP 5: PREPARE AN EVALUATION PLAN

As mentioned in PART A: Setting the Scene, monitoring information on its own is generally not sufficient to provide for a complete answer to key evaluation questions. In particular, monitoring information is not able to explain the reasons why or why not objectives (or performance areas more generally) were achieved, or identify specific success factors or barriers. More in-depth information collected at discrete points in time is needed for this.

The sixth step in developing a M&E Framework is thus to prepare a plan to ensure the in-depth information needed to fully answer the evaluation questions (and complement indicators collected as part of Monitoring) is collected and methods for doing this are appropriate. For the purposes of this M&E Framework, this is called an ‘Evaluation Plan’.

Information gathered as part of the ‘Evaluation Plan’ is typically undertaken by specialist evaluators (usually external to the policy), and documented in Mid-Term or End-of-Term evaluation reports (or ‘reviews’).

<sup>18</sup> where possible, indicators should further align with indicators specified in the Ministry Corporate Plans and the Te Kakeega III National Strategy for Sustainable Development: 2016-2020 (TKIII). This will facilitate coherent and efficient reporting. More information on the linkages between program, Corporate Plan and National Strategy for Sustainable Development level reporting is outline in Appendix 3.

<sup>19</sup> In some cases, it may also be desirable to ‘re-orient’ some output or outcome indicators to reflect negative impacts from a climate event. For example, an indicator to measure agriculture production may be re-packaged to be ‘loss of agriculture production’ from cyclone event.

## Prepare an Evaluation Plan – Important Principles and Considerations

Consider a mix of different methods which are best suited to answering a particular evaluation question.

Take into account pragmatic considerations such as resources available to the evaluation activities and time constraints.

Promote a partnership arrangement between internal (i.e. within KSGKSG) and external evaluators for undertaking complex data collection activities, where appropriate.

The suggested format for the Evaluation Plan is presented in Table 3 below. This format is different from, but also related to, that used in the Monitoring Plan. It specifies the evaluation questions (column 1); a summary of relevant indicator information collected as part of Monitoring (column 2); the suggested question method for collecting and analysing in-depth information needed to fully answer the evaluation question (column 3); and who is responsible for collecting this information and when (column 4).

**TABLE 3. EVALUATION PLAN FORMAT**

EVALUATION QUESTION	SUMMARY OF MONITORING	METHOD FOR COLLECTING AND ANALYSING IN-DEPTH INFORMATION	WHO IS RESPONSIBLE AND WHEN
To what extent have households 'adopted' practices and methods for using biogas systems? What factors contributed to, or prevented, achievement of this behaviour change?  Have key climate change and disaster risk reduction practices been adopted by households? If not, why not?	Indicators 2, 3 and 4	<ul style="list-style-type: none"> <li>• Analysis of monitoring data</li> <li>• Key informant interviews</li> <li>• Interviews/consultations with island Falekaupule and Kaupule</li> <li>• Interviews/consultations with participating and non-participating households</li> <li>• Case studies of three participating islands</li> </ul>	Collection of in-depth evaluation information will be undertaken by specialist evaluators (external to the project) working with KSGKSG officials interested to build capacity in evaluation. This will be undertaken 3 months before the end of the project period.

## METHODS

There are a range of different data collection methods that can be used to generate in-depth evaluation information, including both quantitative and qualitative methods. Common tools or methods used in the Pacific region include before/after surveys, semi-structured interviews, focus groups, workshops, and literature reviews.<sup>20</sup>

It is recommended that a mix of different tools are used that best suit the approach required for answering a particular evaluation question. Selection of tool should also take into account pragmatic considerations such as resources available to the evaluation activities and time constraints.

More information on the types of data collection tools and when to use them can be found in Markiewicz & Patrick (2015) or the Better Evaluation website – <http://betterevaluation.org/>.

<sup>20</sup> Increasingly, the cost-benefit analysis method is also being employed. This method can be suitable for answering evaluation questions relating to 'value for money'.

## WHO IS RESPONSIBLE AND WHEN

The allocation of responsibility for collecting evaluation data will depend on a range of factors including, but not limited to, (i) the complexity of the evaluation task; (ii) the importance placed on objectivity and independence; and (iii) timeframes for undertaking evaluative analysis for the purposes of informing adaptive management.

Where feasible, a partnership arrangement between internal (i.e. within implementing agency of GoT) and external evaluators should be promoted. This will help to further build the capacity of GoT to undertake this work, amongst other things.

## STEP 6: PREPARE A TERMS OF REFERENCE FOR KEY EVALUATION EXERCISES

The data collected as part of the Monitoring Plan (Step 4) and Evaluation Plan (Step 5) is the information that is needed to help answer the key evaluation questions and sub-questions (formulated earlier as part of Step 3). Analysis of this information to generate answers to these questions is the role of a specialist evaluator(s).<sup>21</sup> Specialist evaluators can be internal to GoT or external – depending on what the evaluation exercise is.

To make sure the evaluation exercise meet the needs and expectations of key stakeholders, and is consistent with the approach outlined in the M&E Framework, it is advised that a Terms of Reference (ToR) be developed. ToRs are useful to guide specialist evaluators/technical assistance that you would like to bring in for the evaluation exercise, giving them an understanding of their role and what is expected. This is Step 6 of the procedure for developing a M&E Framework.

### Prepare a ToR for Key Evaluation Exercises – Important Principles and Considerations

Be as clear and specific as possible about the needs and expectations of the evaluation exercise, and the role of any specialist evaluators/technical assistance you would like to bring in to help with the evaluation exercises.

Explicitly require full consideration of relevant data already collected and analysed as part of the implementation of the M&E framework.

Promote a partnership arrangement between internal (i.e. within implementing agency of KSG) and external evaluators where feasible – to further build M&E capacity of KSG, amongst other things.

The contents of the ToR should essentially cover the scope and objectives of the evaluation, as well as how it will be conducted, governed and managed, and the delivery of the required reports. More specifically, it is suggested that the following be included:

- summary information from Steps 1 and 2 of the M&E Framework document. This would cover:
  - the background, rationale and objectives of the policy to be evaluated, its target recipients, delivery method and intended results;
  - the extent of the existing evidence base related to the policy design;
- the audience and intended use of the evaluation report(s);
- the evaluation questions as outlined in Step 3 of the M&E Framework document;
- the available monitoring information as outlined in Step 4 of the M&E Framework document;
- the possible evaluation methods as outlined in Step 5 of the M&E Framework document;
- the required capabilities, skills and experience of the proposed evaluation and team;

<sup>21</sup> it should be noted that answering the evaluation questions typically requires some level of 'evaluative judgment'.

- the required reports, including guidance on structure and content as well as (limits on) overall length and number of recommendations<sup>22</sup>;
- data archiving requirements; and
- the evaluation timetable.

For some policies, Development Partners may require the engagement of external (and independent) technical assistance (TA) to undertake major evaluations (such as a mid-term evaluation and end-of-term evaluation). In these cases, the intent for the ToR prepared here as part of Step 6 is for it to be collaboratively prepared with the Development Partner – so that external TA meets the needs of both GoT and the Development Partner.<sup>23</sup>

As mentioned in Step 5 above, a partnership arrangement between internal (i.e. within implementing agency of GoT) and external evaluators should also be promoted where feasible.

## STEP 7: PREPARE A COMMUNICATION AND KNOWLEDGE MANAGEMENT PLAN

Typically, the evaluative analysis undertaken by the specialist evaluator(s) in Step 6 is documented in a Mid-Term or End-of-Term Evaluation Report.

To ensure that the lessons documented in these reports are actually learned and this translates to real improvements to policy design and implementation, some forward planning for the communication and dissemination of evaluation reports is needed. There are many, many examples from the Pacific where evaluations have not been effectively used by stakeholders to inform their decision-making because communication and knowledge management has been lacking.

The seventh step in developing a M&E Framework is therefore to prepare a brief Communication and Knowledge Management Plan – to help ensure evaluation reports are indeed effectively communicated, understood, and utilised. A suggested format for the Communication and Knowledge Management Plan is presented in Table 4 below.

### Prepare a Communication and Knowledge Management Plan – Important Principles and Considerations

Tailor the evaluation reports (e.g. re-package technical report into a Cabinet Information Paper) to the needs of the target audience – in particular policy makers from the GoT.

Ensure evaluation reports are easily accessible for future use.

The basic information to be included in this plan includes (i) the report type; (ii) a summary of the audience(s) and reporting timelines; (iii) description of how key reports are to be re-structured or re-packaged to better meet the audience needs; (iv) an outline of how relevant reports will be disseminated and communicated; and (v) an outline of how reports will be stored and made easily accessible for future use/reference.

<sup>22</sup> to make sure the evaluation findings can be utilized to improve the project

<sup>23</sup> This ToR could be developed/confirmed as part of the Project Inception workshop.

**TABLE 4. COMMUNICATION AND KNOWLEDGE MANAGEMENT PLAN FORMAT**

REPORT TYPE	AUDIENCE(S)	TIMELINE (DEADLINE)	HOW REPORTS WILL BE RE-PACKAGED	HOW REPORTS WILL BE DISSEMINATED	BUDGET	HOW KNOWLEDGE WILL BE MANAGED
End-of-term evaluation report	E.g. KSG policy makers	E.g. June 2016	E.g. Summary paper, Ministerial brief etc	E.g. Print, email, website, film, radio, live presentation	\$500	Department knowledge management system, Library
End-of-term evaluation report	Other Development Partners	E.g. July 2016	E.g. 4 page lessons learned knowledge product	E.g. Print, email, website,	\$1000	Department knowledge management system, Library

Perhaps the key aspect of the Communication and Knowledge Management Plan is to tailor the evaluation reports (its re-packaging and dissemination) to the needs of the target audience. Special effort should be made here to meet the needs of GoT policy makers – who are responsible for making strategic planning decisions. Some tips for effectively communicating evaluation results to busy policy makers are outlined in Box 1 below:

**Box 1. Tips for making evaluation reports useful for busy policy makers**

- keep it simple
- use numbers sparingly in the summary reports
- identify winners and losers as well as the average effect
- don't overlook unintended consequences
- communicate key findings and recommendations, as well as underpinning reasons

*Source: adapted from Vaughan and Buss (1998)*

**STEP 8: PUTTING IT ALL TOGETHER**

The information prepared in steps 1, 2, 3, 4, 5, 6 and 7 represents the basic ingredients of a M&E Framework. Step 8 packages this information together to form a consolidated M&E Framework document. The advantage of packaging information into a single document is to ensure that all stakeholders have access to and understand the M&E priorities and methods – and are clear on their respective responsibilities for implementing it. In addition, the M&E Framework document can serve as a very useful resource for building M&E capacity within GoT<sup>24</sup>.

Ideally, the M&E Framework should cover the following key areas:

- **Introduction to the M&E Framework.** At a minimum, the introduction should set out the activities undertaken to formulate the M&E Framework and the objectives/functions of the framework in terms of informing decision-making. It may also include information detailing who will be responsible for overall co-ordination of the M&E Framework as well as the budget allocation for implementing M&E activities.

<sup>24</sup> and for informing development of M&E Frameworks for other policies.

- **Definition of Policy Design.** This section should include the definition developed as part of Step 1. It should also include key information from any risk assessments undertaken as discussed in Step 2. Not all M&E Frameworks must necessarily use a logic model, but a similar attempt at mapping logic<sup>25</sup> should be provided.
- **Evaluation Questions** formulated as part of Step 3.
- **The Monitoring Plan** prepared as part of Steps 4.
- **The Evaluation Plan** prepared as part of Step 5.
- **A basic Communication, and Knowledge Management Plan** prepared as part of Step 6.

In addition, it is recommended the M&E Framework include the following as appendices:

- the draft TOR for mid-term and end-of-policy evaluation analyses prepared as part of Step 6. The purpose of this is to make it explicit what the needs and expectations for the evaluation reports are and that they are consistent with the approach outlined in the M&E Framework.
- Data collection tools (e.g. survey instruments) and reporting formats to facilitate responsible officers undertake these activities.<sup>26</sup> Amongst other things, development of data collection tools reduce the risks of delay in implementation due to lack of continuity, turnover of personnel, and other organisational factors (Markiewicz & Patrick, 2015).
- a Gantt Chart or similar detailing a workplan to execute the M&E framework activities.

## Concluding remarks

M&E is an important mechanism to help Tuvalu improve the effectiveness, efficiency and resilience of its development policies and thus help it to achieve its' development goals.

This Guidance Note aims to provide an introductory guide to develop a Monitoring and Evaluation Framework for ODA policies in Tuvalu. The guide draws from international better-practice and is presented in a way that:

- is focused on answering the 'right questions' needed by GoT;
- is workable for the Tuvalu context; and
- emphasises consideration of climate change and disaster risks, recognising these risks present a major challenge for development efforts in Tuvalu.

The Guidance Note is in its pilot phase and should not be thought of as being "cut in stone". It is envisaged the Guidance Note and associated templates/formats will be periodically updated and improved as more experience is gathered.

If you have any further questions about the M&E process or how to undertake any aspects of M&E planning, please contact the Monitoring and Co-ordination Unit based within the Office of the Prime Minister (OPM).

<sup>25</sup> or theory of change

<sup>26</sup> It is important to design data collection formats or tools so that they are consistent with relevant existing, or previous, data monitoring and collection tools to enable comparison (HM Treasury, 2011). Engagement of specialist services to design databases and integrate with other information systems is often warranted, especially for programs operating in relative isolation (Markiewicz & Patrick, 2015, p.184).

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# Glossary

- Activities:** Activities are the tasks that (policy) staff undertake to transform inputs into outputs. They are ‘what we do’ when implementing a policy. Examples include constructing infrastructure, or conducting workshops or trainings.
- Assumptions:** Statements or hypotheses that are believed to be true and from which a conclusion can be drawn; these statements concern how and why we think the policy will work in its context. Assumptions are often unstated or implicit and made explicit through the logic model.
- Appropriateness:** Appropriateness is a measure of whether an policy's design and approach is suitable in terms of achieving its objective and working within its given context. Suitability may apply, for example, to whether the policy is of an appropriate type or style to provide (financial and non-financial) incentives for driving behaviour of individuals or organisations. Related term: relevance.
- Baseline:** An analysis describing the situation prior to a development policy, against which progress can be assessed or comparisons made.
- Benefits:** Benefits are the gains associated with the policy. They are the positive outcomes generated by the policy. Benefits can be monetary or non-monetary.
- Costs:** Costs are the losses associated with the policy. They are a broad(er) term which encapsulates both policy inputs and negative outcomes (e.g. environmental impacts). Costs can be monetary or non-monetary.
- Data Collection Tools:** Methodologies used to identify information sources and collect information during an evaluation. Note: Examples are informal and formal surveys, direct and participatory observation, community interviews, focus groups, expert opinion, case studies, literature search.
- Effectiveness:** The extent to which the development policy's objectives were achieved, or are expected to be achieved, taking into account their relative importance.
- Efficiency:** A measure of how efficiently inputs (funds, expertise, time, etc.) are converted to outputs.
- Evaluation:** The systematic and objective assessment of an on-going or completed policy, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfillment of objectives, development 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. Evaluation also refers to the process of determining the worth or significance of an activity, policy or program. An assessment, as systematic and objective as possible, of a planned, on-going, or completed development policy.
- External Factor:** The environment in which an policy exists include a variety of external factors that interact with and influence the policy, either positively in supporting or advancing it or negatively in potentially detracting from its success. These factors include things such as significant political changes (e.g. changes in Government policy directions, new legislation), continuity of partnership arrangements (including changes of funding, policies, practices, or leadership that affect cooperation), and climate hazard events (e.g. drought or cyclone). Related term: risk.
- Impacts:** Impacts are long-term outcomes (typically beyond the life of the policy).
- Indicator:** Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an policy, or to help assess the performance of a development actor. Related terms: monitoring.
- Outcomes:** Outcomes are the effects (as in cause-effect) resulting from the output(s). They are the change(s) generated from the policy. Examples include increase quality of public water supply, reduced incidence of water-borne disease.  
Outcomes can be short-term, medium-term (typically corresponding with the end-of-[the]policy period), or long-term (beyond the life of the policy). Outcomes can also be intended or unintended, direct or indirect. Further, they can be positive or negative (against purpose).
- Outputs:** Outputs are the products or services resulting from policy activities using the policy inputs. They are the deliverables of the policy. Examples include an operational set of infrastructure, staff knowledge in operation/ maintenance of infrastructure.
- Result:** Result is a broad(er) term which encapsulates both outputs and outcomes (including impacts).
- Risk:** An policy faces risk if the success of the policy depends, at least in part, on a random event or external factor. Formally, risk can be quantified or assessed as the expected losses (or gains) from a random event. Risk events can be political, social, financial, environmental, or institutional in nature. Related term: external factor.
- Sustainability:** The continuation of a the policy benefits beyond the policy lifetime. The resilience to risk of the net benefit flows over time.

## APPENDIX 1

# Key terms and concepts relating to climate change and disaster risk

The key terms provided below are the basics for understanding climate change and disaster risk; and are important knowledge for developing M&E Frameworks. Further reading is recommended to develop a more in-depth understanding of climate change and disaster risk.

**Risk.** A policy faces risk if the success of the policy depends, at least in part, on a random event. Formally, risk can be quantified or assessed as the expected losses (or gains) from a random event. This is represented mathematically as:

$$\text{Risk} = \text{Expectation Expected loss (or gain)} = \text{Likelihood of random event occurring} \times \text{Consequence (of random event)}$$

*[Source: adapted from Boardman et al, 2010]*

**Climate change and disaster risk.** Climate and disaster risk is a type of risk that relates to the interaction between (climate and geological-related) hazards, and evolving exposure and vulnerability of human, socioeconomic and biological systems [Source: adapted from World Bank Institute, 2009]. Formally, climate and disaster risk can be quantified or assessed as:

$$\text{Climate change and disaster risk} = \text{Likelihood of hazard event occurring} \times \text{Consequence (of random event)}$$

**where, Consequence = Function (Exposure, Vulnerability)**

**(climate and geological-related) hazard.** Hazards are environmental phenomena.

Hazards can be climatological. Examples include cyclones (typhoons), extreme rainfall events, drought, and extreme temperatures. Climate-related hazards occur as part of natural climate fluctuations (i.e. variability) and extreme conditions and can be rapid or slow onset. The likelihood of climate-related hazards events occurring is also influenced by human-induced climate change. (PCCSP, 2014). Hazards can also be geological. Examples include earthquakes.

**Exposure.** Exposure is the magnitude of values – including human life, human-made assets, and environmental assets – that are exposed, or situated in a location that is prone to hazards.

*[Source: adapted from World Bank Institute, 2009].*

**Vulnerability.** Vulnerability is the extent to which an activity or value is susceptible to hazard events. It is context specific, and may depend on thresholds (HM Treasury, 2009). Said another way, vulnerability is the ‘sensitivity’ of values – human life, human-made assets, and environmental assets – to damages and loss from hazards. That is, the degree to which values are affected [Source: adapted from World Bank Institute, 2009].

**Adaptive capacity.** Adaptive capacity refers to the ability of individuals/groups to manage climate and disaster risks themselves (i.e. autonomously). That is, the ability of individuals/groups to reduce their exposure and/or vulnerability to hazards. This is constrained by factors such as the information available, and the incentives individuals and organisations face (HM Treasury, 2009).

Exposure, vulnerability, and adaptive capacity can be modified. As such, climate and disaster risks are not inevitable and can be managed and reduced through appropriate development policy and actions.

*[Source: adapted from World Bank Institute, 2009].*



## APPENDIX 2

# Linkages between project/program-level M&E and Corporate Plan and National Strategy for Sustainable Development reporting

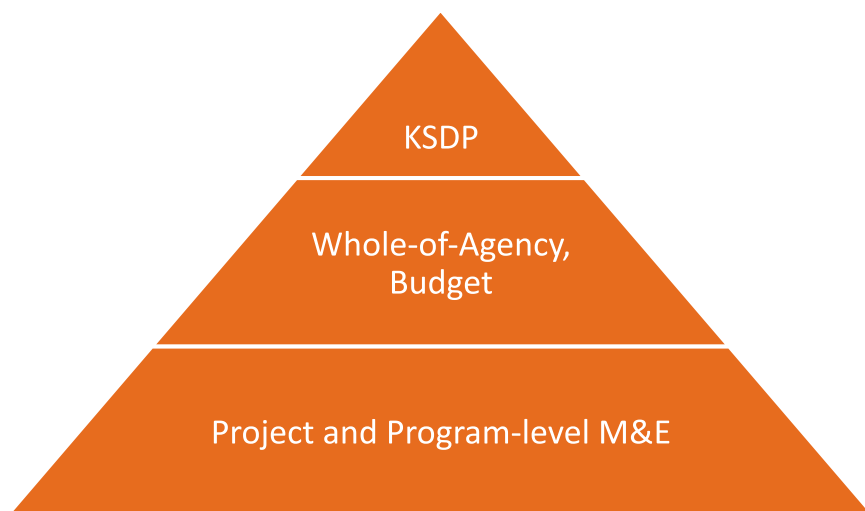
As outlined in Part A, M&E frameworks developed for projects and programs (referred to as ‘policies’) are intended to coherently integrate with Corporate Plan reporting and in turn reporting against the Te Kakeega III National Strategy for Sustainable Development: 2016-2020 (TKIII).

Essentially, M&E frameworks developed for projects and programs are the most detailed level of monitoring and evaluation (and reporting) work that is performed. This level of detail is necessary to be able to adaptively manage the project/program as it is being implemented and to generate meaningful learnings to, amongst other things, inform design and resource allocation decisions for future projects and programs. It is also the detail required by Development Partners for their accountability needs.

The next level of monitoring and evaluation (and reporting) work is at the whole-of-Agency level. That is, the Corporate Plan level. Information included in the Corporate Plan reporting (and related reviews and evaluations) is drawn from the project/program level M&E work. However, not all of the information generated at the project/program level is incorporated – reflecting the broadened scope of the exercise.

And the highest level of monitoring and evaluation (and reporting) work is at the National Strategy for Sustainable Development (NSSD) level. Information included in the NSSD level reporting (and related reviews and evaluations) is drawn from the Corporate Plan. However, not all of the information included in the Corporate Plan level is incorporated – reflecting the further broadened scope of the M&E and reporting exercise.

This relationship is illustrated in Figure 4 below.



**FIGURE 4 LINKAGES BETWEEN PROJECT/PROGRAM LEVEL M&E AND CORPORATE PLAN AND NSSD LEVEL M&E**

In this way, project and program-level M&E provides the foundation for M&E work performed at the higher levels.

Monitoring information included in the Corporate Plan and NSSD reporting (specifically indicators) should, in general, be the same basic information that is collected at the project and program-level (aggregated as appropriate).

Similarly, updates and changes to projects and programs included in Corporate Plans and the NSSD should be informed by evaluations performed at the project and program levels.

## APPENDIX 3

# Common Headline and Subsidiary Evaluation Questions

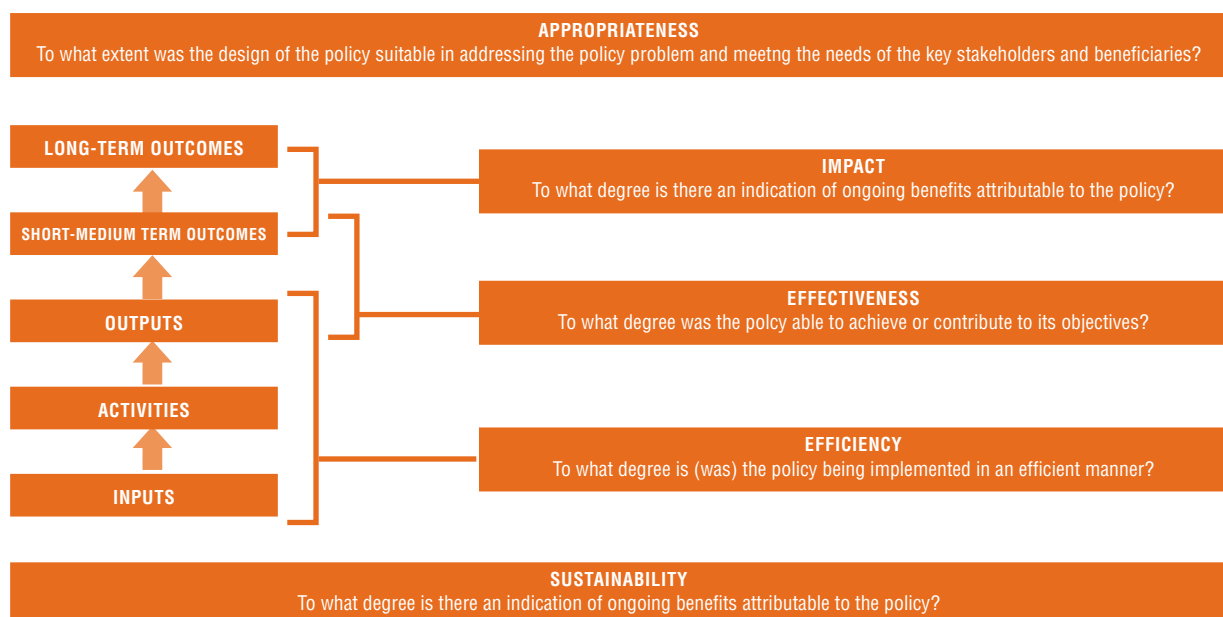
Where appropriate, the formulation of evaluation questions can also be further guided by five standardised evaluation criteria or domains as developed by the Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC). These criteria are outlined in Table 5 below.

**TABLE 5. OECD DAC EVALUATION CRITERIA**

CRITERIA	DEFINITION
Appropriateness/relevance	Appropriateness is a measure of whether an policy's design and approach is suitable in terms of achieving its objective and working within its given context. Suitability may apply, for example, to whether the policy is of an appropriate type or style to provide (financial and non-financial) incentives for driving behaviour of individuals or organisations.
Impact	The extent to which goals (longer-term outcomes) were achieved, or are expected to be achieved. Any other medium or longer-term changes (positive and negative, intended or unintended) generated by a policy.
Effectiveness	The extent to which short-term outcomes and objectives (i.e. end-of-policy outcomes) were achieved, or are expected to be achieved.
Efficiency	A measure of how efficiently inputs (funds, expertise, time, etc.) are converted to outputs.
Sustainability	The continuation of a the policy benefits beyond the policy lifetime. The resilience to risk of the net benefit flows over time.

*Adapted from Patrick (2014)*

The relationship between the Logic Model and each of the five evaluation criteria/domains is illustrated in Figure 5 below. As can be seen, the Logic Model and five evaluation criteria can provide a structured and standardised way to help formulate meaningful headline evaluation questions. These headline questions can in turn be further developed into more specific sub-questions which focus on areas of main interest.



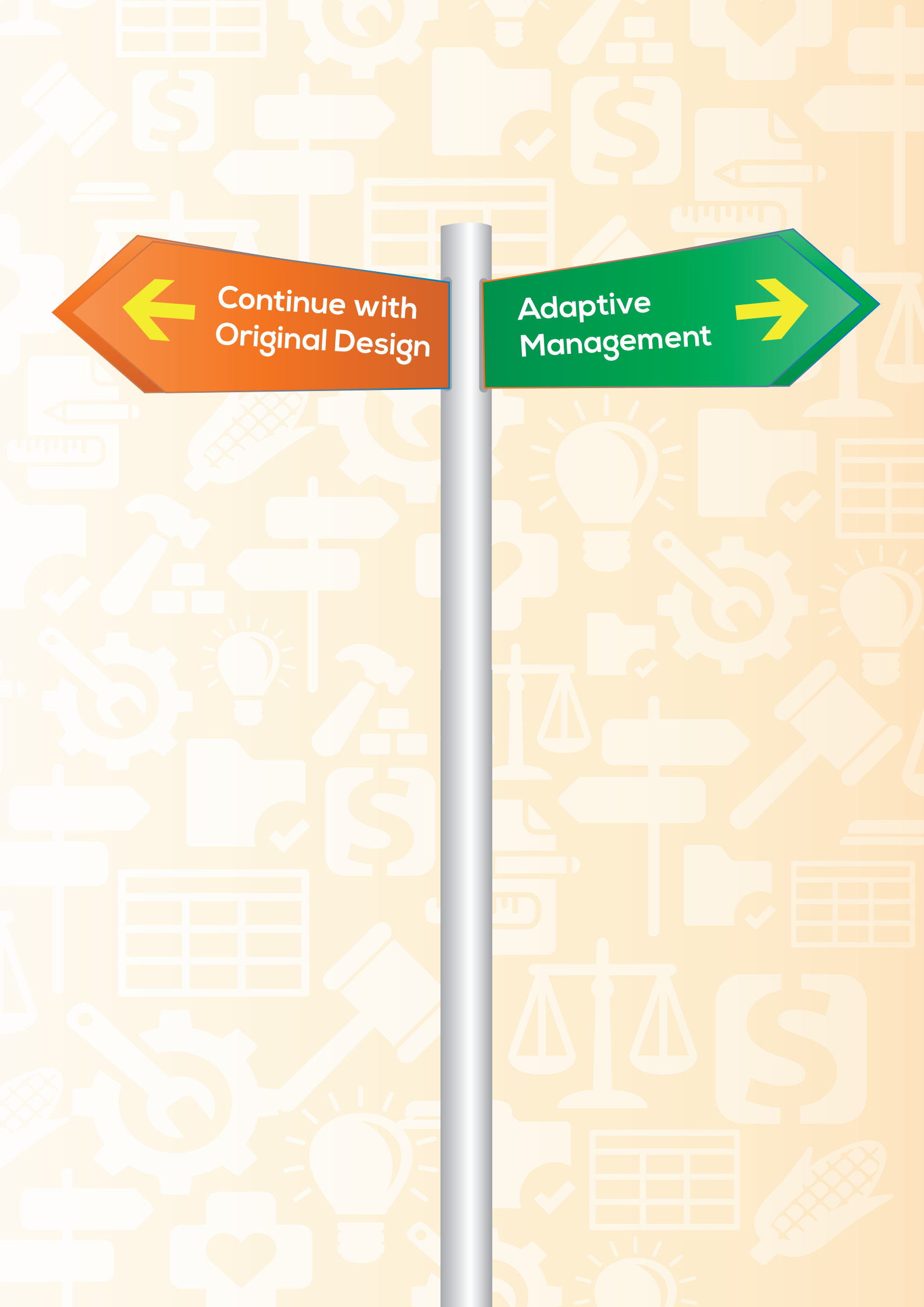
**FIGURE 5. RELATIONSHIP BETWEEN LOGIC MODEL ELEMENTS AND THE OECD DAC EVALUATION CRITERIA**

A table of headline and subsidiary evaluation questions that are commonly used in evaluation are outlined in Table 6.

**TABLE 6. HEADLINE AND SUBSIDIARY EVALUATION QUESTIONS THAT ARE COMMONLY USED IN EVALUATION**

<p><b>Appropriateness/relevance</b></p> <ul style="list-style-type: none"> <li>• Suitability of policy design in context</li> <li>• Fit of policy with program theory and logic</li> <li>• Testing of underlying assumptions</li> <li>• Extent policy meets the priorities and needs of key stakeholders</li> </ul>	<p><i>To what extent was the design of the policy suitable in meeting the needs of key stakeholders and beneficiaries?</i></p> <ul style="list-style-type: none"> <li>• To what extent was the nature and scope of the need or problem to be addressed clearly articulated?</li> <li>• Within the parameters of the policy design, to what extent were the intended target group or policy beneficiaries clearly identified?</li> <li>• Was the program theory and/or logic correct in capturing policy intent?</li> <li>• Were the underlying assumptions about how change occurs clearly identified?</li> <li>• To what degree was the policy design suitable for the cultural context?</li> <li>• To what extent did the policy design meet funder priorities and policies?</li> <li>• To what extent did the policy design meet the needs of the broader stakeholder community?</li> <li>• To what extent did the policy design meet target group and beneficiary needs?</li> </ul>
<p><b>Effectiveness</b></p> <ul style="list-style-type: none"> <li>• Fidelity of implementation</li> <li>• Achievement of policy objectives</li> <li>• Assessment of the quality and value of the policy</li> </ul>	<p><i>To what degree was the policy implemented as intended? If it wasn't, why not?</i></p> <p><i>To what degree was the policy able to achieve its stated objectives?</i></p> <ul style="list-style-type: none"> <li>• To what degree were benefits of the policy available to the intended target group and beneficiaries?</li> <li>• What factors contributed to, or prevented, achievement?</li> <li>• To what degree can we attribute any outcomes achieved to the policy or its effects?</li> </ul> <p><i>To what degree can the policy be assessed as being value to its key stakeholders and beneficiaries?</i></p> <p><i>To what degree can the policy be assessed as being of good quality?</i></p>
<p><b>Efficiency</b></p> <ul style="list-style-type: none"> <li>• Conversion of inputs to outputs and outputs to results</li> <li>• Governance and management</li> </ul>	<p><i>To what extent was the policy implemented in an efficient manner?</i></p> <ul style="list-style-type: none"> <li>• To what extent were the intended outputs delivered?</li> <li>• To what extent were the costs of policy delivery justifiable against its results?</li> <li>• To what degree was the policy cost-effective when compared with other like policies or other options that address the same needs?</li> <li>• To what extent was the available budget sufficient to cover policy costs?</li> <li>• To what degree were available resources (budget, staff, time) used to best effect?</li> <li>• To what degree was there good governance and management of the policy?</li> </ul>
<p><b>Impact</b></p> <ul style="list-style-type: none"> <li>• Changes (results) produced by the policy, intended and unintended, direct and indirect</li> </ul>	<p><i>What results, expected or unexpected, and direct and indirect, were produced by the policy?</i></p> <ul style="list-style-type: none"> <li>• To what extent did the policy achieve its intended changes?</li> <li>• What factors led to change or contributed to lack of change?</li> <li>• Which changes were intended, and which were unintended?</li> </ul>
<p><b>Sustainability</b></p> <ul style="list-style-type: none"> <li>• Continuation of policy benefits</li> </ul>	<p><i>To what degree was there an indication of ongoing benefits attributable to the policy?</i></p> <ul style="list-style-type: none"> <li>• To what degree did the policy develop capacity (in individuals and organisations) to produce ongoing benefits?</li> <li>• What factors contributed to or prevented the achievement of ongoing benefits?</li> <li>• To what extent can and should the policy model be replicated to other settings?</li> </ul>

Source: Markiewicz & Patrick (2015)



The **Pilot Program for Climate Resilience: Pacific Regional Track (PPCR-PR)** is a regional program which aims to strengthen integration of climate change and disaster risk considerations into 'mainstream' policy making and related budgetary and decision-making processes (i.e. 'climate change and disaster risk mainstreaming').

*The PPCR-PR is implemented by the Secretariat of the Pacific Regional Environment Program (SPREP) and Asian Development Bank (ADB) and is funded through the Climate Investment Funds (CIF).*



**SPREP**

Secretariat of the Pacific Regional  
Environment Programme