MODULE-I
OVERVIEW OF PME

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CHAPTER-1

INTRODUCTION

Planning, monitoring and evaluation (PME) remains a challenge for many development organisations, increasingly faced with the task of designing and using a well-structured, user-friendly PME system, and of linking this closely with the project life cycle. Effective PME is, nevertheless, essential for the organisational survival and to enable them to make an effective contribution to sustainable development. There is a constant demand for training in PME and most organisations have only limited resources to meet all these requirements, and in any case training in PME on its own is usually not particularly effective in developing better performance. The modules here offer background information, suggestions for effective support to PME processes with rich selection of examples, success stories, challenges and practical advice.

1.1 WHICH ISSUES NEED TO BE ADDRESSED? RECOGNISING THE VALUE OF PME AND ITS ROLE IN AN EFFECTIVE PROJECT?

For a PME system to be effective, the strategic impact of projects must be given primary importance. This means an emphasis on what changes the work is trying to achieve in both the short and the long term, and looking critically at the effect of a project and who benefits from it as well as describing activities and their immediate outputs.

It is essential that the project management fully support the process of developing planning, monitoring and evaluation systems. Ensuring clarity about the importance and role of planning, monitoring and evaluation is an integral part of project management and accountability.

1.2 PERCEPTIONS AND RELATIONSHIPS

People can feel “threatened” by monitoring and evaluation because it involves a judgement about the work and will have an effect on future projects. Managers and operational staff need to be involved to ensure they understand and are committed to PME processes and learn from it.

PME processes need to be developed within an organisational culture that is genuinely

trying to understand what aspects of the work are successful, and which are not – a culture of self-criticism. It is essential to acknowledge problems and analyse the reasons behind them. This can be difficult, especially when admitting weaknesses may affect funding decisions. Developing relationships between the project and with donors and other stakeholders that encourage openness, learning and accountability is critical. It is important to understand cultural and linguistic differences that affect communication, how far self-criticism is an accepted form of behaviour, and how receptive to external perceptions people may be (*Details on learning's are covered in the module "institutionalising PME").*

1.3 SKILLS DEVELOPMENT

Leaders, managers, staff, partners and communities need to develop techniques and approaches to planning, monitoring and evaluation. Skills required include: Managing information, data collection, data analysis, selection of meaningful indicators, prioritising, producing clear and crisp reports and analytical skills, such as how to interpret quantitative and qualitative information, how to make sense of contradictory or complex outputs and how to draw conclusions and apply these.

Planning skills: Analysing needs and using the analysis to set objectives and decide how best to achieve them. This is key to the whole process.

When setting out to improve people's performance, it is helpful to distinguish between behaviours that people should demonstrate and the underpinning knowledge they should possess. This distinction can help to clarify what will be developed and which approaches are likely to be most effective.

It may be useful to distinguish between improving system performance – routines, practices and the way planning, monitoring and evaluation is organised – from people performance – the way people carry out tasks and the skills and knowledge needed to perform such tasks well.

1.4 RESOURCES

Human and financial resources will be required to develop an effective PME system. Different organisations and their offices will have different needs and priorities in relation to these issues. What needs to be addressed in developing PME systems will depend on:

- The internal environment: Objectives, values and culture of the organisation, as evidenced by the management style and habitual ways of organising work.
- The external environment: Political, social and economic factors as well as stages of development of NGOs and community organisations.

For example:

- For some organisations, the main issue may be to develop a more strategic approach, which focuses on outcomes and impact rather than activities, or to provide a more systematic and analytical approach.
- Networks need to accommodate a range of different organisations, objectives and styles. The main issue to address may be how to identify common objectives and to coordinate monitoring and evaluation together as well as set up a platform for common learning.
- For small community-based organisations, the priority may be to develop a simple and low budget system for monitoring and evaluation, building on existing skills, systems and resources.

(*Details on these topics are covered in the modules "planning" and "monitoring")*

CHAPTER-2

CONCEPTS, DEFINITIONS AND VARIOUS FEATURES OF PROJECTS

2.1 WHAT IS A PROJECT?

A **project** is a series of activities aimed at bringing about clearly specified objectives within a defined time-period and with a defined target. A project can also be defined as a collaborative enterprise with a set of interrelated tasks to be executed over a fixed period and within certain cost. Projects can be further defined as temporary rather than permanent social systems or work systems that are constituted by teams within or across organisations to accomplish particular tasks under time constraints. An on-going project is usually called (*or evolves into*) a programme.

Development projects are a way of clearly defining and managing investments and change processes. In the development context, "*a project is a problem scheduled for solution." A* problem refers to the gap between where you are and where you want to be, with an obstacle that prevents easy movement to close the gap. Projects are a group of activities that have to be performed with limited resources to yield specific objectives, in a specific time frame, and in a specific locality. Thus, **a project is a temporary endeavour employed to create a unique product, service or outputs with a desired change (= specific objective/s).** Projects are an investment on which resources are used to create assets, products, services that will produce benefits for the beneficiaries over an expanded period of time. It is a unique process, consisting of a set of coordinated and controlled activities with start and finish dates, undertaken to achieve an objective conforming to specific requirements, including the constraints of *time, cost* and *resources*.

A Project is defined as a set of activities that:

- Has specific output and a set of planned activities that are linked with the organisation's strategic goals;
- Is planned and implemented within **a specific time frame**;
- Has specific **inputs (requirements)** of financial and non-financial resources

A project is a selected set of activities that have to be done in a particular order using

identified resources (time, money, people, materials, energy, space, provisions, communication, quality, risk, etc.) to meet the planned objectives (= desired change).

A project has the following **features**:

a) Clearly identified **stakeholders,** including the primary **beneficiaries**

b) A **start and a finish** date

c) A life cycle (beginning and end with a number of separate phases)

d) A **budget and financing arrangements**

e) Activities that are specific to this project

f) Use of resources that need coordination

g) A **single point of responsibility** (Project manager), clearly defined coordination and management roles

h) **Team roles** and responsibilities (that need to be developed and defined

i) A **monitoring and evaluation system**

j) Space for **reviews, reflection and learning**

Short-term projects (1 year)

They are completed within one year, and are focused towards achieving short-term objectives. They are less rigorous; require less or no risk. These projects require limited project management tools, and have low level of complexity. It is easy to obtain approval, funding and organisational support for short-term projects.

For example:

1.) Responsive humanitarian relief in support after a natural disaster coordinated by an international NGO and implemented by a network of small local NGOs, costing 1 Mio EURO over one year.

2.) Improve the infrastructure for storage, processing and marketing of horticultural produce of farmers with a focus on infrastructure improvement and domestic distributing system and post harvest handling procedures.

Long-term projects (3 to 5 years)

These projects involve higher risk and a proper feasibility analysis is essential before starting such projects. They are most often cross functional and have interrelated components. Their major impacts occur is overlong period of time (longer than years), on

internal as well as external organisation. Large numbers of resources are required to implement these projects and they require breakthrough initiatives from the team members and beneficiaries.

For example:

1.) Rural community is strengthened to manage their natural resources in a watershed in a sustainable way leading to improved food security at household level, costing 2 Mio EURO over 3 years implemented by a local NGO which is funded by an European NGO.

2.) Quality improvement in primary education in collaboration with 225 government schools with facilitation of the linkages between school functionaries (teacher/headmaster) with the district and state level training institutions of the State Government.

2.2 WHY PROJECTS ARE INITIATED?

Projects are initiated in the following scenarios:

- When starting a new initiative (E.g. solid waste segregation and no burning of plastic garbage, composting in a settlement).
- In order to develop/ modify a product or service (E.g. upgrade government extension workers knowledge and skills in organic agriculture).
- For establishing, improving or changing a situation or facilities (E.g. Eradicate child labour).
- For some community issues and problems (E.g. Improving the sanitation situation of slum dwellers).
- For implementing a new system, process or services (E.g. Improved rural health services with traditional birth attendants and local healers).
- To introduce new equipment, tools or techniques (E.g. Erosion control and water management in a drought prone area).

2.3 ATTRIBUTES OF A PROJECT

Projects contribute to a larger development goal (= overall goal) and have specific objectives. They have beneficiaries who are affected by the outputs (= end results). They have to be completed within specified time frame (completion date / operational plans), within budget (limited resources including, people, money, material) and should be

according to the specifications (with a certain level of functionality and quality).

In brief projects are:

- Directed towards achieving one or more specific objective/s (= desired change).
- Coordination of undertaking with interrelated activities.
- Of limited duration, it has a beginning and an end.
- Prone to risks, that is, every project has a certain amount of risk.

Characteristics of projects are as follows:

- Projects are temporary with a definite beginning and a definite end.
- They also have temporary opportunities and temporary teams.
- Projects are terminated when the objectives are achieved, or conversely, if the objectives cannot be met.
- Most of the projects last for several years. However, they have a finite duration.
- They involve multiple resources (human and non-human) and require close coordination.
- They are composed of interdependent activities.
- At the end of the project, a unique product, service or result is created.
- Projects encompass complex activities that are not simple, and may require repetitive acts.
- They also include some connected activities. Some order and sequence is required in project activities. The output from one activity is an input to another.
- Project management steers the project towards the desired objectives and has to handle resources and personnel in an efficient way. There exists a constant conflict for project resources and for the leadership roles in solving project problems. In every project, beneficiaries want changes, and the donor organisation aims at maximization of achievements that are sustainable and effective.

2.4 PROJECT ENVIRONMENT

All projects are planned and implemented in a social, economic, environmental, political and international context. Projects are not happening in isolation! The environment can hamper or foster the occurrence of the projects effects and changes.

- ***Cultural and social environment*** is that how a project affects the people and how

they affect the project. This requires understanding of economic, demographic, ethical, ethnic, religious and cultural sensitivity issues.

- ***Political environment*** refers to the knowledge of international, national, regional or local laws and customs as well as policies, regulations.
- ***Physical environment*** is the knowledge about local ecology and physical geography that could affect the project or be affected by the project

2.5 STAKEHOLDERS AS PROJECT PARTICIPANTS

Stakeholders are the ones who have a share, or an interest in the project. Stakeholders in a project may include the community (beneficiaries), leaders, directors, management, suppliers, government, employees, customers, institutions, media, politicians, policy makers, private sector and service providers.

Stakeholders are influenced by the outcomes and objectives. They have varying level of responsibility and authority. Thus, they should not be ignored. The project management should try to manage and fulfil the expectations of the stakeholders. There are both positive and negative stakeholders. Project stakeholders are individuals and organisations that are actively involved in the project, or whose interests may be affected as a result of project execution or project completion. They may also exert influence over the project's objectives and outcomes. The project management team must identify the stakeholders, determine their requirements and expectations, and, to the extent possible, manage their influence in relation to the requirements to ensure a successful project.

Stakeholders have varying levels of responsibility and authority when participating on a project and these can change over the course of the project's life cycle. Their responsibility and authority range from occasional contributions in surveys and focus groups to full project sponsorship, which includes providing financial and political support. Stakeholders who ignore this responsibility can have a damaging effect on the project objectives. Likewise, project managers who ignore stakeholders can expect a damaging power on project outcomes. Sometimes, stakeholder identification can be difficult. Failure to identify a key stakeholder can cause major problems for a project.

Key stakeholders include the following:

a) **Project Manager / Leader**

This is the person, who is responsible for implementing and managing the project.

The role of the project manager is to direct, supervise and control the project from start to finish. Ideally, project managers should not do all the project activities; but they should focus on managing the project. The project manager bears the ultimate responsibility for making things happen. The challenge for a project manager is to ensure that the project is delivered within the definitions of project scope, cost and time. Managing a project is maintaining control over these different parts, lessening risk and ensuring that the final product is of good quality.

b) **Beneficiaries / End Users**

Beneficiaries are the persons or people's organisation that will use the project's products and services and benefit from it. These may be multiple layers of beneficiaries. For example, a water-lifting device in the agricultural sector will benefit the farmers who use it in the field and can lift water to greater heights and irrigate more land. It is also beneficial for women who have less work burden in carrying water and save time for care taking the children. Small children are not left unattended since their mother does not walk long distance for water fetching. Direct beneficiaries refer to those acquiring the projects products and services and users who will directly utilising the projects products.

c) **Implementing Organisation**

This is the organisation whose employees is most directly involved in doing the work of project and is directly responsible for the project (Holder of the project).

d) **Project Management working on the project**

The members of the team who are directly involved in project management.

e) **Project Team Members**

The team is the group that is performing the work of the project. It includes the members who are directly involved in the project activities.

f) **Donors / Sponsors**

This is the person or group that provides financial resources, in cash, or kind, for the project.

g) **Influencers**

People or groups that are not directly related to the acquisition or use of the project's product or service, but due to an individual's position in the organisation or performing organisation, can influence, positively or negatively, the course of the

project (Influencing the move of a project towards its desired objective).

h) **Other Project Stakeholders**

In addition to these key stakeholders, there are many different names and categories of *project stakeholders*, influencing internal or external, owners and investors, sellers and contractors, team members, government agencies, media outlets, individual citizens, temporary or permanent lobbing organisations, and society-at-large – just to name a few.

The naming or grouping of stakeholders is primarily an aid to identifying which individuals and organisations view themselves as stakeholders. Project managers must manage stakeholder expectations, which can be a challenge because stakeholders often have very different or conflicting objectives.

2.6 SUB PROJECTS

Projects are frequently divided into more manageable components or sub projects. Individual sub projects are also a project and are managed as such. They can be sub contracted or outsourced to smaller partners, networking partners and / or other stakeholders.

2.7 OPERATIONS AND PROJECTS

Operations are on-going and repetitive activities conducted by the staff such as:

- Financial management and control
- Continuous interactions / communication, delivering services
- Product distribution

Projects are temporary and unique, and are performed by teams that have:

- Clearly defined team and individual roles
- Open and effective communication systems
- Reviews for good performance, and have constant pressure to improve poor performance

Common characteristics between operations and projects are as follows:

- They are both performed by people
- They are constrained by limited resources

- Both are planned, executed and monitored

2.8 PROJECTS AND STRATEGIC PLANNING

Projects are the means of achieving organisation's strategic plans. Strategic planning is a process undertaken by an organisation to develop a plan for achievement of its overall long-term organisational goals. There is no one model of strategic planning. However, the strategic planning process should include a situational analysis. This consists of looking at the current external and internal environment the organisation finds itself in, formulating organisational objectives and strategies based upon the environmental assessment, and developing procedures to implement and evaluate the strategic plan. Strategic plans can be short or long depending on the nature of the work. An advocacy organisation often covers cover a three-to-five year period, but if the work or its environment is highly dynamic, a shorter period may be advisable. An NGO working in the field of food security might work on long term strategic plans of five to ten years.

Following are the strategic considerations that have to be kept in mind while planning for projects:

- Community's needs (e.g. Nutrition and food security improvement of forest dwellers).
- Market demand (e.g. Toxic waste disposal and solid waste management project in small towns).
- Organisational needs (e.g. Training institute offers new courses for better employability of unemployed youth).
- Technological demands (e.g. Waste water treatment and its reuse is improving the sanitation situation of slum dwellers).
- Legal requirements (e.g. Prevention of child trafficking and child labour control project).

A strategic plan is a tool that provides guidance in fulfilling a mission with maximum efficiency and impact. If it is to be effective and useful, it should articulate specific goals and describe the action steps and resources needed to accomplish them. As a rule, most strategic plans should be reviewed and revamped every three to five years.

Strategic planning is a way to get back to the founding mission of the organisation.
A strategic plan is a comprehensive document that cover all aspects on organisation's work, including the programmes / projects and services, management, operations, fundraising, governance. Depending on the scope and nature of work of the organisation, a strategic plan might also describe approaches to enhance marketing, visibility, external / internal communication, membership development, administrative systems, etc.

2.9 WHAT DOES IT MEAN TO MANAGE A PROJECT?

Management is a process of planning, organising, leadership, coordination and control. In simple terms, project management involves making the project happen.

Project management is a planned and organised effort to complete a specific project in its entire life cycle. Project management includes developing a plan. A plan should include the project goal to which it contributes and objectives, specifying how objectives will be achieved (activities/tasks), what resources are needed to achieve the objectives, and allocating budgets and timelines for completion. It also includes implementing the project plan, along with careful monitoring and reflection to stay focussed. That means to ensure the project is being managed according to the plan.

Managing a project involves ensuring these areas are all taken care of:

- Time
- Cost (finances)
- Resources
- Human resources and relationships
- Quality

2.10 CONCEPTUALISING PROJECTS WITHIN THE ORGANISATION'S VISION, MISSION AND GOALS (VMG)

From the first experience of implementing a project, an NGO moves on to other projects. Always using its VMG to define its courses of action, an NGO evolves a long-term plan. This is a three to five year plan how to achieve its VMG through carefully determined projects. It should be a simple enough plan that everyone can understand and follow.

A guiding question is to check if the proposed project is relevant to the organisations goal? It should be discussed whether the project contributes positively to solving the

organisation's priority tasks, and matches the values and foundation present within the organisation.

Vision, mission and goals identify the organisation

- VMG gives the NGO direction, it defines the commitment to social change
- VMG serves as the basis for planning the projects or programmes
- VMG helps to track and measure the NGO's progress
- A shared VMG among members makes an organisation stable and effective.

Why develop a Vision, Mission and Goals?

Vision, mission and goals express the organisation's purpose relating it to the long term and not just the short term. VMG is a clearer, fuller statement that enables the NGO to aim for social change and, over time, to attract partners with similar vision and missions.

What is Vision? Vision expresses the future direction and aspirations of the NGO for an idealistic society, whether or not these can come true. Vision also speaks of the beliefs and values of the NGO.

What is Mission? Mission defines the scope of work to benefit a specific group in the community. The "purpose" stated by the NGO above is already a mission statement.

What are Goals? Goals are the results to be seen after an agreed period of time. Goals should be specific and measurable, so that the members of the organisation are clear about what must come about because of their work. Over time, goals move the organization closer to achieving the mission and vision.

Example of VMG statement

Vision: "A just and humane society where children with disabilities enjoy equal rights and opportunities."

Mission: "To break barriers in society and build hope for children with disabilities in India by forming and strengthening community support organisations for children with

disabilities; by advocating for positive attitudes for children with disabilities, and by serving as a resource centre for children, health and disability concerns."

Goals:

- To form and strengthen community support organisations for children with disabilities.
- To advocate for positive attitudes for children with disabilities.
- To serve as a resource centre on children, health and disability concerns.

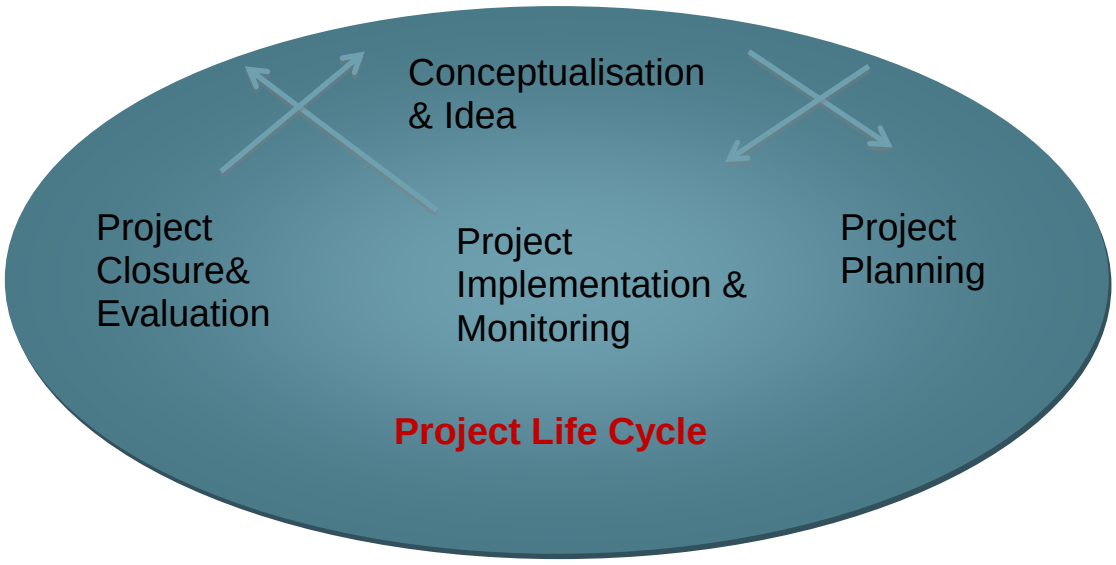
CHAPTER-3

PROJECT CYCLE MANAGEMENT (PCM)

3.1 INTRODUCTION

Projects go through mainly FOUR phases – this is called the life cycle of a project:

- Phase 1 –Project Concept and Idea — What do you want to change?
- Phase 2 – Project Planning — How do you want to achieve the change?
- Phase 3 –Project Implementation — How do you monitor the change?
- Phase 4 –Project Closure and Evaluation — How are you inform about the change?



Project Cycle Management is a term used to describe the management activities and decision-making procedures used during the life cycle of a project including key task, roles and responsibilities, key documents and decisions. PCM is a framework within which to identify and clarify problems and then design, plan, implement, monitor and evaluate projects to overcome them. PCM creates 'equality in the workplace' by facilitating equal contribution by all stakeholders engaged in the process of a development project. It builds a shared and concise picture of what a project will do to overcome a specific problem. It does this by breaking down the life cycle of a project into manageable sized components:

The cycle starts with the policy objectives and sector covered and moves to identification of

a problem to be addressed, develops the idea to solve the problem into a working plan that can be implemented and, on completion, evaluated. PCM provides the context in which project decisions are made and activities managed: It maintains the critical linkage between one stage and the next. As a common methodology PCM also provides the basis for a partnership framework when more than one agency is engaged in planning or managing projects.

The project cycle helps the project team to understand how to organise their work so that the project plan is based on real needs of the community, the intervention is well planned, monitored and evaluated, and allows learning from every project to improve the future work.

There are two main reasons for following each stage of the project cycle while managing the project work:

a.) The team must try and acknowledge that the desired change is the only constant; aspects of the work might be changing all the time whether it is community needs, stakeholders involvement, organisations, technology, finance etc.

b.) The implementing NGO must aim to be a learning organisations building in structures and systems to help the team to learn from the successes and challenges of the work and that of others. It is very tempting in busy work lives to implement projects without taking the time to reflect on what has been learned. Although this might seem like a way of saving time, it means that projects are more likely to repeat their mistakes and fail to make the most of opportunities. This can also be damaging for the relationships with the communities; they want real change and few problems, and will lose respect for an organisation that does not try to learn and improve their work.

Important key quality criteria in the project life cycle are:

- **Relevant** = the project meets demonstrated high priority needs
- **Feasible** = the project is well designed and will provide sustainable benefits to the target group
- **Effective and well managed** = the project is delivering the anticipated benefits and changes and is being well managed
- **Decision-making** = Criteria and procedures are clearly defined at each phase (Including key information requirements and quality assessment criteria)

- **Monitoring and evaluation** = as part of a structured process of feedback, reflection and institutional learning with important lessons learnt

Any project in a NGO or community based organisation needs to relate to the vision and mission of the organisation. Therefore, in the NGO environment, projects exist in the larger programme/ strategy of the organisation. Each project then has its own cycle – a beginning and an end. It works as a cycle – at the end of the project, the lessons learnt and the experience gained, is used to inform the next project. The team needs to stop and reflect during the implementation and at the end of any project so that the team can learn from the present implementation and this helps improve projects achieving its objectives and the planning in the future.

3.2 PCM AND THE LOGICAL FRAMEWORK APPROACH

PCM helps to ensure that:

- Projects are supportive of overarching policy objectives of the implementing organisation
- Projects are relevant to an agreed strategy and to the real problems of target groups / beneficiaries
- Projects are feasible, meaning that objectives can be realistically achieved within the constraints of the operating environment and capabilities of the implementing agencies
- Benefits generated by projects are likely to be sustainable.

To support the achievement of these aims, PCM:

- Requires the active participation of key stakeholders and aims to promote local ownership,
- Uses the Logical Framework Approach (as well as other tools) to support a number of key assessments/analyses (including stakeholders, problems, objectives and strategies),
- Incorporates key quality assessment criteria into each stage of the project cycle,
- Requires the production of good-quality key document(s) in each phase (with commonly understood concepts and definitions), to support well-informed decision-making.

The Logical Framework Approach (LFA) is an analytical and management tool that is nowadays used (in one form or another) by most organisations. In some cases, funding agencies require the development of a Logframe Matrix as part of its project formulation procedures for external assistance. The tools that make up the Logframe Approach are referred to in the **Module II**.

The LFA is a very effective analytical and management tool when understood and intelligently applied. However, it is not a substitute for experience and professional judgment and must also be complemented by the application of other specific tools (such as economic and financial analysis and environmental impact assessment) and through the application of working approaches and philosophies, which promote the effective participation of stakeholders.

CHAPTER-4

PME IN THE CHANGING CONTEXT OF DEVELOPMENT CO-OPERATION

Interest in planning, monitoring and evaluation (PME) has grown considerably among development agencies and partners over recent years, for several reasons.

4.1. Development concerns in the 90ties experienced a shift in focus away from ideology to greater emphasis on concrete and measurable achievements. While previous expectations with regard to development co-operation were influenced by preoccupation with ideological motives and compatibility, the recent debate has been characterised by increasing pragmatism and questions about effectiveness, impact, added value and attribution. More open, flexible attitudes also take into account the diversity of interests involved. Relations have begun to be built with other actors such as government institutions and international agencies, previously considered by many as monolithic entities more likely to constrain than to enable people's development. The non-governmental development community is showing greater modesty, and it recognises the need to identify and measure outputs that make a difference to the lives of poor people.

4.2. The reduced role of the state in productive and social investment, and the failure of globalising markets to provide productive employment and income for the poorest, have prompted a strong expansion of the NGO sector in most countries. There is an increasing recognition of the potential of NGOs - through their close relationship with the poor, their adaptability to local situations and their capacity for innovation - so that expectations for the contribution of NGOs to poverty eradication and social development have grown considerably over the past decade.

4.3. Despite the increasing visibility of NGOs in the development field, up to now the NGO community as a whole has largely failed to produce compelling evidence of the difference it makes to the lives and circumstances of poor people. NGOs find it a challenge to systematically identify and document their changes (Outcome and impact). As a result, their overall contribution to development remains ambiguous and their capacity to learn

from experience is weak.

These factors affect the relations between Northern and Southern development NGOs that suffer from an imbalance in several respects. Non-operational funding agencies, when questioned about the relevance of NGO interventions and the induced changes, are inclined to refer these questions to their implementing partners, often without seriously searching for themselves how best to present the changes of their funding to their own supporters and back-donors in a more transparent and convincing manner. While passing the burden of these questions to their implementing partners, some agencies generally remain rather vague as to what kind of information is required, why, when, for whom, and for what purpose. Often, uncertainty around this within agencies can result in an increase in the number of questions asked and can thus create unnecessary workload for partners. Even when partners manage to respond, there is often a lack of capacity to set up a PME-system.

The problems are aggravated by the fact that many Southern partners receive financial support from several agencies; each inclined to press its own particular information needs and interests. Partners are kept busy satisfying diverse agency requirements, which may have little relevance to the local context.

Three key questions facing us are:

a) How do we improve our communication on issues related to the programmes and projects on which we co-operate?
b) What kind of information should a Southern NGO be expected to make available to show it is acting as a responsible implementing agency?
c) What kind of information should an agency be expected to make available to show it is acting as a responsible funding agency?

CHAPTER-5

ROLES AND RESPONSIBILITIES IN PME

Planned development interventions commonly take the form of programmes and projects involving three kinds of actors: local communities of poor people and grassroots organisations; facilitating or implementing Southern NGOs; and Northern funding and support agencies. Each of these usually employs (to varying degrees of rigour and systematisation) a set of criteria, practices, methods, tools or instruments to plan its work, organise its efforts and allocate its resources, as well as (implicit or explicit) expectations and standards against which to measure and value the outputs. However, these actors are highly interdependent, since usually no one of them has at its disposal the necessary knowledge and human and material resources to pursue its development goals single-handedly. Development outcomes therefore depend to a large extent on the quality of the relations between these interdependent actors. Their PME systems and the degree of 'fit' between them must therefore be of concern to all, as information for decision-making and resources for implementation are expected to flow at the right time to the right point. This section considers the perspectives, interests and concerns of each of these stakeholders.

5.1. COMMUNITIES

The lives of poor and marginalised people are the common concern of most NGOs and funding agencies that share a commitment to the advancement and empowerment of the poor - in social, cultural, economic and political terms - and to development marked by equity and freedom. But poor people are not passive beneficiaries of externally devised interventions: they must be active participants in their own progress and they are also part of monitoring.

PME systems are essential in helping the various actors to define realistic objectives for their work, to select means and resources for achieving them and to measure their progress towards them while learning from experience. PME is also an indispensable means for ensuring that NGOs and donor agencies are accountable, not only to their supporters and donors - interested in efficient use of resources and value for money - but also to the poor, for whom PME may serve as a basis for self-reliance and empowerment. Indeed, in many

cases PME can and should be related to an intervention strategy that, from the very start, envisages the transfer of responsibilities and resources towards the organised poor and the progressive withdrawal of the NGO. It is hoped that PME for the poor can represent an opportunity for learning and can enable them to hold accountable the organisations that aim to support them.

In practice, however, difficulties arise.

- The better and more participatory the method for problem-diagnosis, the more likely that different aspects of poverty and inequality among the poor will appear, such as those of gender, age, class and ethnicity. The challenge is how to manage these differences and address the varying needs, interests and opportunities that come with them.
- Poor people exercise a logic that may not always be mirrored in that of external organisations but which is intimately linked to their own perceptions and circumstances, sometimes with a limited margin for risk-taking, and with limited information, resources and time. The question then becomes: how to relate their versions of planning, monitoring and evaluation (the 'people's PME') to those of implementing NGOs and supporting agencies, which in turn are influenced by their own logic, time-frames, perceptions and constraints?
- Applying a PME system at the grassroots, which can be said to be 'owned' by the 'beneficiaries', is far from simple. Those working with and within a community often do not know how to manage the problems that arise there and those that arise between community and NGO. Appropriate methods are only just beginning to emerge.

5.2. SOUTHERN NGOS

While the perception of PME as an imposition by agencies remains strong among some Southern NGOs, many have come to see it as an indispensable instrument for their own self-determination and learning, as well as a tool for accountability to grassroots organisations and funding agencies, whether government, multilateral or private. Indeed, for some, NGO mission statements, development strategies and programme plans have become the point of departure in negotiations with funding agencies. For many, PME systems have evolved as an instrument for shaping an NGO's grassroots orientation and

participatory approach, and for promoting the efficiency and effectiveness of its work.

However, methods are often inadequate, tending to be more oriented towards planning and appraisal (including participatory tools), than monitoring or reflection.

Planning, for example, all focus strongly on the initial problem-diagnosis and the plans derived from it. Such exercises can be expensive and time-consuming, while the information generated is often difficult to use as a basis for monitoring and evaluation.

At the same time, the growing diversification of financing agencies poses problems for the PME systems of Southern NGOs, for some more than for others. The demands of agencies - in terms of preferred monitoring indicators and ways of accounting and reporting - vary considerably and are not always mutually compatible. This can confront an NGO with the problem of how to marry its agenda with that of agencies whilst remaining loyal to its own mission and goals; for instance when trying to juggle service delivery with an empowerment strategy, and handle two sets of corresponding indicators. This is exacerbated when an NGO's financing agencies differ widely in their fundamental approach - some with a closer ideological affinity or 'natural partnership' with the NGO, others more contractually driven.

For the last so many years, Northern agencies have no longer played such a predominant role with regard to many of their Southern partners, with funding from other sources increasing.

Local and national governments are becoming more important for many NGOs, not only as sources of funding but also as allies or as targets of interventions. Many NGOs are now increasingly engaged in work at the 'macro' level, seeking to influence government policies, often in alliance with other groups in civil society. Such advocacy, lobbying and alliance building has its own set of PME challenges, with the identification of stakeholders, the definition of indicators and the measurement of impact.

Thus the context for the work of NGOs becomes more complex, and their strategies and methods of intervention more varied, with implications for their approach to PME. There can be no blueprint.

The organisational fabric and culture, unique to a particular NGO, must be taken into account when developing and implementing any PME system.

On the other hand, PME systems often make insufficient provision for the empowerment of the poor during the implementation of a project. NGOs and agencies must consider when

intervention should end and how to work towards self-reliant local communities. The question should be included in PME, in order to avoid the dependence that often results from operating an on-going 'open agenda'.

No NGO system stands in isolation. Each must link up with community-based PME as well as with the systems of the often-diverse funding agencies. These stakeholders demand transparency of an NGO's PME system, whilst the NGO may wish to protect its privacy of information, not just because of needing some room for manoeuvre to reconcile the often conflicting demands of different stakeholders but also because it might not wish - for political or other reasons - to share all its data and thoughts with the outside world.

5.3. FUNDING AGENCIES

The Northern agencies, for their part, have to respond to different specific constituencies (churches, government, the general public, etc.) all of which increasingly seek evidence of efficiency, effectiveness and impact. However, agencies' needs in PME differ markedly from those of Southern NGOs, because agencies mainly fund projects implemented by Southern partners rather than formulating and implementing their own. But agencies are concerned with the formulation and implementation of funding policies, be they general, regional, country-specific, thematic or sector-based. Thus an agency always has two perspectives in PME. One is related to accomplishments at project level and should be shared with the implementing NGO.

The other is concerned with aggregation across projects and partners and how far these contribute to the achievement of objectives and ultimately of institutional goals. An agency may be able to provide evidence of the success of a particular project implemented by a Southern partner while failing to demonstrate its relevance the agency's wider goals. Agencies therefore need to define policy-relevant indicators. Few have such indicators in place or know how to collect and process the corresponding information. Agencies will have to develop PME systems at programme and institutional levels.

CHAPTER-6

KEY CHARACTERISTICS OF PME SYSTEMS

Before one agrees on a framework for PME, it requires a common understanding of the context of the relationships between funding agencies and implementing NGOs. In general, these "north-south relationships" are marked by an interdependence in which there are differences in roles, resources and power.

A Southern NGO is accountable to those who 'own' it (be they individual members, affiliated groups or churches), to the people it aims to serve, and to the agencies which support its work. An agency in the North is accountable to its donors, churches and supporters, and to the partners it works with. Neither party should impose the other to follow any course; each should respect the choices and the limitations of the other. NGOs in the South are generally the key actors implementing a project in their region. Therefore the Southern organisation normally takes the lead in planning a project. The funding agency, given its funding role, has the responsibility to assess whether the project is relevant, feasible, consistent with its own mandate and policies, and likely to contribute to the common goal.

In practice the relationship varies in distance and intensity. Usually, the Southern NGO undertakes the planning and implementation of a project and is responsible for decisions during its course; NGOs in the North provide resources and eventually receive reports but are not involved in implementation. Southern NGOs usually formulate a project proposal that is discussed with the Northern agency to assess whether or not it is acceptable as a basis for co-operation. Then the implementation of the project, including problems and adjustments to be made, is discussed jointly, as well as plans for evaluation, so that both agencies are engaged in more of a joint venture. Collaboration may be even closer, with a close partner dialogue and initiatives such as joint advocacy. What is essential is that both parties should be clear about the model they are operating under and their respective roles and responsibilities within it.

Trust is essential for meaningful co-operation. Trust has to be built, and sustained, through the sharing and discussion of values, needs and goals, as well as through consultation on agency policies.

6.1 PME AS A METHODOLOGICAL TOOL

A PME system provides a methodological tool that can be used to improve an organisation's capacity to manage and implement planned change. Because outcomes of social development processes are to a large extent unpredictable and have fostering and hampering factors the implementing NGO cannot always control, development organisations need methods and instruments for steering the project towards the desired changes and adjusting their interventions in line with real changes on the ground as well as for improving communication.

The key challenge when designing PME systems is to ensure, first, that participants and beneficiaries will be meaningfully involved in all stages of designing and implementing these systems, and then, that their time and effort will be worth it.

Thus it is possible to identify a range of criteria that the PME system should promote:

- Transparency
- Learning
- Accountability
- Autonomy
- Mutual understanding
- Empowerment
- Efficiency
- Shared ownership
- Effectiveness
- Sustainability

Like most development interventions, PME systems are typically based on the following logic:

- After research and problem-analysis, a working hypothesis is formulated, that an intervention will produce certain intended positive changes ("*hoped for"*) in line with the implementing organisation's development goals.
- This hypothesis is tested through action, reports on which provide feedback to those responsible, for:

- A comparison between hypothesis and outcomes, with analysis of reasons for any divergence, followed by
- Adjustments of intentions, plans and objectives for subsequent activity.

The comparison between expected and actual outcomes puts in motion a further learning process, providing feedback for an adjusted working hypothesis. We change from actors back to investigators and examiners. Over time, this on-going chain of action and reflection becomes what is intended to be an upward learning spiral.

6.2 ESSENTIAL QUALITIES OF A PMESYSTEM

Certain qualities are essential in a PME system if it is to function well:

- Tailor-made: A PME system must be adjusted to the mission, vision, goals, strategies and resources of the organisation that owns it, and at the same time be relevant to the other organisations to which it relates.
- Flexible: A PME system should always be open to adjustment in the light of experience.
- Clear and transparent: The purpose, operation and products of a PME system should be clear to its users and other stakeholders and clearly understood by them.
- Usable and sustainable: A PME system should be simple and accessible, so that those involved feel motivated to use it, making it possible to apply the necessary discipline and enforce standards of accountability.

CHAPTER-7

UNDERSTANDING THE THEORY OF CHANGE

7.1 WHAT IS THEORY OF CHANGE?

As per Wikipedia (https://en.wikipedia.org/wiki/Theory_of_change) **Theory of Change** (**ToC**) is a specific type of methodology for planning, participation, and evaluation that is used in the not-for-profit sectors to promote social change. Theory of change defines long-term goals and then maps backward to identify necessary preconditions.

Theory of change explains the process of change by outlining causal linkages in an initiative, i.e., its shorter-term, intermediate outcomes, and longer-term impacts. The identified changes are mapped –as the "outcomes pathway" – showing each outcome in logical relationship to all the others, as well as chronological flow. The links between outcomes are explained by "rationales" or statements of why one outcome is thought to be a prerequisite for another.

The innovation of theory of change lies:

1) In making the distinction between desired and actual outcomes, and

2) In requiring stakeholders to model their desired outcomes before they decide on forms of intervention to achieve those outcomes.

A common error in describing theory of change is the belief that it is simply a methodology for planning and evaluation. Theory of change is instead a form of critical theory that ensures a transparent distribution of power dynamics. Further, the process is necessarily inclusive of many perspectives and participants in achieving solutions.

Theory of change can begin at any stage of an initiative, depending on the intended use. A theory developed at the outset is best at informing the planning of an initiative. Having worked out a change model, practitioners can make more informed decisions about strategy and tactics. As monitoring and evaluation data become available, stakeholders can periodically refine the theory of change as the evidence indicates. A theory of change can be developed retrospectively by reading project documents, talking to stakeholders and analysing data. This is often done during evaluations reflecting what has worked or not in order to understand the past and plan for the future.

7.2 WHAT IS THE VALUE OF CREATING A THEORY OF CHANGE?

Community initiatives are sometimes planned without an explicit understanding of the early and intermediate steps required for long-term changes to occur; therefore, many assumptions about the **change process** need to be examined for project planning or evaluation planning to be most effective. The theory of change creates a picture of the steps required to reach a goal. It provides an opportunity for stakeholders to assess what they can influence, what impact they can have, and whether it is realistic to expect to reach their goal with the time and resources they have available.

A theory of change is a tool for developing solutions to complex social problems. A basic theory of change explains how a group of early and intermediate changes (= short and medium term outcomes) sets the stage for producing long-term changes (= impacts). A more complete theory of change articulates the assumptions about the process through which change will occur and specifies the ways in which all of the required short and medium outcomes related to achieving the desired long-term change will be brought about and documented as they occur.

7.3 STEPS TO CREATE A THEORY OF CHANGE

1. Identify a long-term goal.
2. Conduct "backwards mapping" to identify the preconditions necessary to achieve that goal.
3. Identify the interventions that your project / initiative will perform to create these preconditions.
4. Develop indicators for each precondition that will be used to assess the performance of the interventions.
5. Write a narrative that can be used to summarise the various moving parts in your theory.

7.4 WHAT IS THE PROCESS OF CREATING A THEORY OF CHANGE?

The first step is for stakeholders to be clear about what they want to produce through their project or initiative. Sometimes group members have very different ideas about what they are working toward.

The next step is for stakeholders to think about all of the preconditions—the building blocks or requirements—that must exist in order to reach their long-term goal. They then need to consider, in light of this "*bigger picture*" perspective, which of these preconditions (otherwise known as outcomes) they will take responsibility for producing.

Usually there is just a subset of outcomes that they can influence. Some preconditions are beyond the sphere of influence of any single project or initiative, such as "needing a stable economy to produce enough jobs to reach an employment goal". Others may be beyond one projects influence, but stakeholders could suggest ways that a particular project may be able to influence other programmes to act, or they could identify areas for strategic collaboration or partnerships.

For example: A precondition for a school enrollment initiative might be that all children are properly immunized and healthy before they enter school. A small initiative couldn't influence this precondition, but it may be able to help bring it about through collaboration with others in the community who could directly influence this key precondition for success.

7.5 WHAT'S THE DIFFERENCE BETWEEN A THEORY OF CHANGE AND A LOGIC MODEL?

A logic model as the logframe approach is a tactical explanation of the process of producing a given outcome. It outlines the project's inputs and activities, the outputs they will produce, and the connections between those outputs and the desired outcomes. Alternatively, a theory of change is a strategic picture of the multiple interventions required to produce the short and intermediate outcomes that are preconditions of reaching an ultimate goal.

Once a precondition (or outcome) has been identified through the theory of change process, a logic model can be used to explain how that outcome will be produced. Thus, one theory of change could actually be linked to a number of logic models, because a logic model could be constructed to illustrate how to produce each outcome in the theory of change map. The theory of change summarises work at a strategic level, while logical framework model would be used to illustrate the tactical, or project-level, understanding of the change process.

7.6 HOW ARE CONCEPTS OF THEORY OF CHANGES AND LOGIC MODELS EVOLVING?

During the early to mid-1990s, funders began increasing their emphasis on outcomes and accountability. As a result, people began paying more attention to theory of change and logic models and often created their own definitions of these concepts to meet their needs. Because people are increasingly seeing the value of doing this kind of practical exercise in their work and because is more and more a recognized review exercise, there are more definitions of these concepts now than there were 10 years ago.

A concern is that whenever people decided to get into such a thinking exercise and create their theory of change they need to ask firm questions about why they expect certain interventions to bring about the outcomes they seek, to question their assumptions about how the change process will unfold, and to be clear about how they're selecting outcomes to focus on. It is of utmost importance that people who use the theory of change will learn to ask fundamentally different—and much more interesting—questions from those we are used to asking about any project. The advice for people who come for the first time is to be open-minded about the extent to which it can help them to be better strategic thinkers throughout all of their work, and not to think of it as just a planning or evaluation tool.

7.7 WHEN TO USE THEORY OF CHANGE?

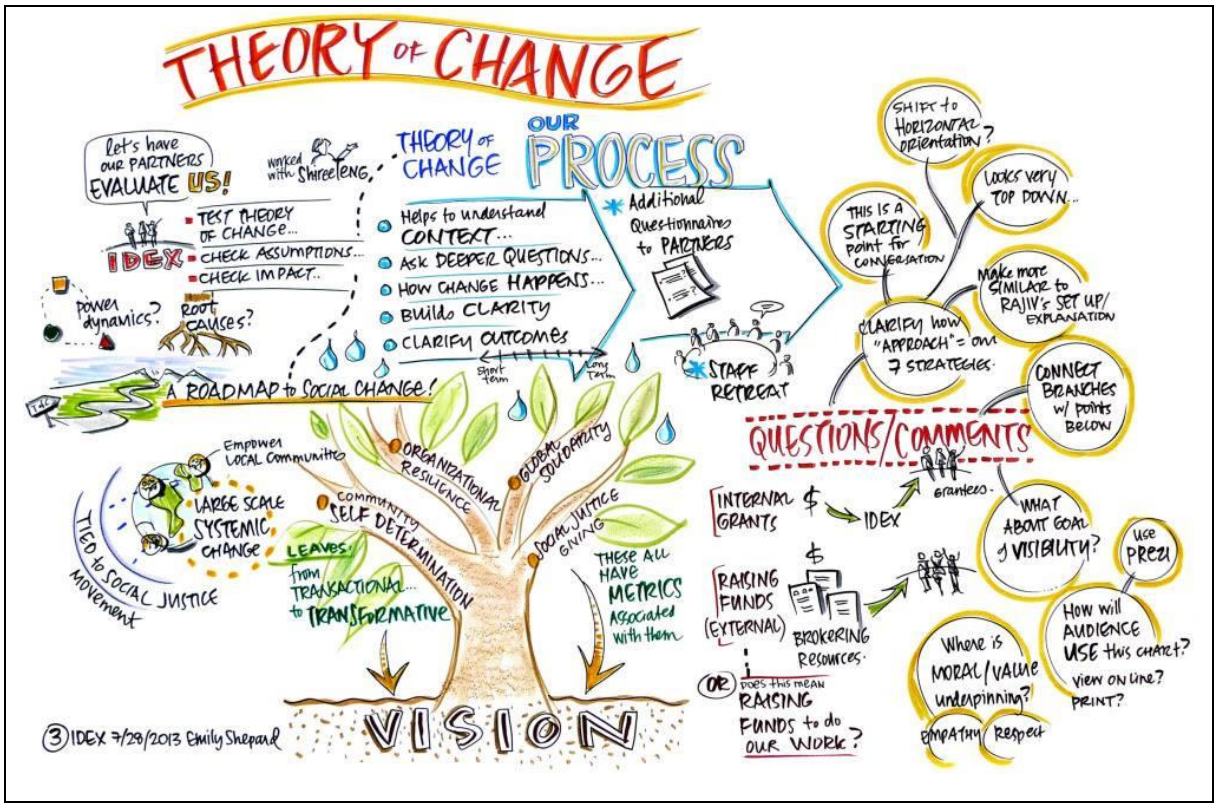
Enlarge stakeholder group	Based on knowledge of initial participants in a project. They create the theory of change and it becomes clear that other stakeholder groups / people need to be present in the project.
Team building and forging collaboration	As part of the theory of change, stakeholders are asked to be clear and explicit about their opinions, views, goals, and assumptions. The discussion around these issues helps let everyone know where participants stand and helps to build trust and better relationships.
Planning an initiative/project	The theory of change process includes steps to produce conceptually clear, highly detailed explanations on what changes should occur and their relation to one another.

Raise funds	The change framework and narratives can be used to demonstrate to funders that the project is well thought through, practical, and measurable and that a process is in place to be accountable for achievements.
Develop an action plan	The theory developed during the initial planning phase identified interventions and strategies needed, and also identified how much change the project holder is expecting. These two things provide the basis for deciding which specific actions will bring about the expected degree of change.
Develop an evaluation plan	The theory of change is the outline for evaluations. It identifies indicators of success and specifies the details of who is expected to change and how much. This is the basis for developing the methodologies to measure the indicators.
Implementation	The theory of change is a dynamic, living set of ideas which should guide implementation and provide a framework for checking that the project / initiative stays on track.
Revise plans: Mid-course reviews and corrections	Because the theory of change is a living, dynamic set of ideas, the project can make changes to it as the team learns from their experiences. A theory of change helps guide decisions about how to make adjustments by clearly showing the relationship between outcomes.
Evaluation	The theory of change is the framework against which the success and obstacles of the project will be evaluated. Because the team will have articulated all the assumptions, justification, and contextual conditions they believe affect the likelihood of success, lessons about how these change, expand, or prove correct will be evident.
Reporting to funders, boards, the community, etc.	The theory of change provides the basis against which projects can report successes, setback and lessons, and evaluation results.
Dissemination of	While a good theory of change is critical for planning and

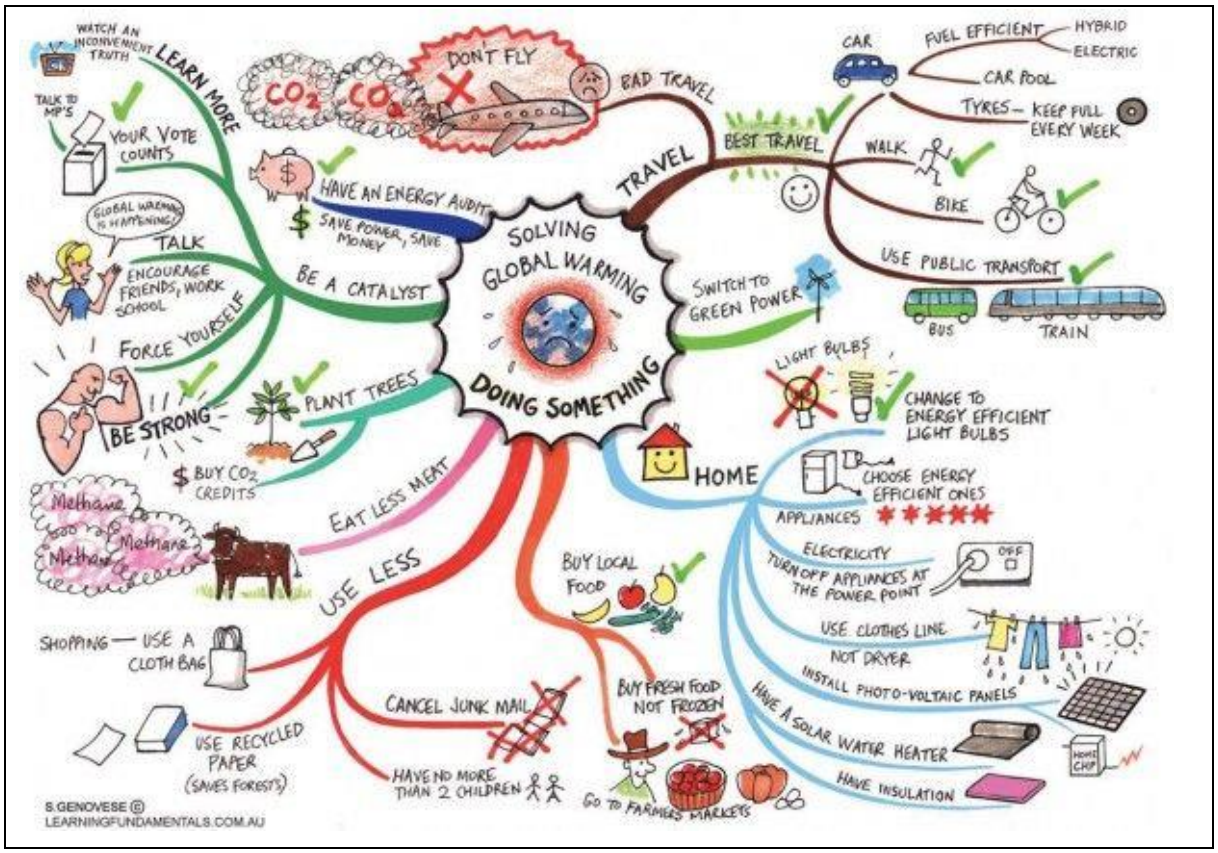
results to a wider audience	evaluation, it is also a powerful communication tool because the team can capture the complexity of their project in a form that is understandable to others.
Influencing policymakers	Being specific about what made the project successful, and how much change, or success can be expected under given conditions and actions is what policymakers need to know in order to apply lessons from one project / initiative to other problems.

Adapted from www.theoryofchange.org

7.8 THEORY OF CHANGE – TWO EXAMPLES



Source: Internet images http://www.artofagency.com



Source: Internet images http://www.learningfundamentals.com.au

CHAPTER-8

TERMINOLOGY USED IN PME

8.1 DESCRIPTION OF THE TERMINOLOGIES USED IN PME

Some frequently used words and terms with the descriptions are given below. There is a need to clarify the terminology and reduce the confusion frequently encountered in the development sectors. PME is a field where development partners often with widely differing linguistic backgrounds work together and need to use a common vocabulary. It is important to clarify and refine language employed and to give the words and terms a common understanding. The descriptions below serve as a valuable reference to improve the dialogue and understanding in PME.

Words and terms	Description / definitions
Accuracy	• The extent that collected data measures what they are intended to measure.
Activities, measures	• Actions taken or work performed through which inputs such as funds, technical assistance and other types of resources are mobilised to produce specific outputs / results.
Assumptions	• Outside factors that are essential for the project's success but cannot be entirely controlled by the project holder. • An event which must take place or a condition which must exist if a project is to succeed but over which the project management has little or no control • Assumptions need to be monitored. • Conversely, a risk factor refers to the possibility that an assumption will not hold.
Attribution	• The degree an observed or measured change can be attributed (= traced back) to a specific intervention versus other factors (causes).

Baseline	• A point of reference prior an intervention against which progress or change can later be measured and compared. A baseline study is an analysis or study describing the initial conditions (appropriate indicators) before the start of a project/ programme for comparison at a later date.
Beneficiaries, target group	• People who directly or indirectly benefit from a project or programme and whose situation the project proposes to improve. • It is useful to distinguish between direct beneficiaries (= those directly assisted by the project) and indirect beneficiaries (= those who indirectly benefit from a project).
Bias	• Occurs when the accuracy and precision of a measurement is threatened by the experience, perceptions and assumptions of the researcher, or by the tools and approaches used for measurement and analysis. • Selection bias results from the poor selection of the sample population to measure/study, so that the people, place or time period measured is not representative of the larger population or condition being studied. • Measurement bias results from poor data measurement – either due to a fault in the data measurement instrument or the data collector. • Analytical bias results from the poor analysis of collected data.
Cost-Effectiveness	• "Value for money" or the degree to which the project will benefit the larger number of people at the lowest reasonable costs. Thus cost-per-beneficiary measure: Total cost of the project divided by number of direct beneficiaries. It means being able to achieve objectives at a reasonable cost if not the lowest possible cost.

Data management	• Refers to the processes and systems for how a project/programme will systematically and reliable store, manage and access M&E data.
Development objective, development goal	• Higher development objective / development goal to which the project is intended to contribute. • The project makes a contribution to the goal but does not achieve it.
Effect chain	• Causal or plausible sequence of events between a project intervention and the observed or expected changes.
Effectiveness	• The degree to which the objectives of a project are reached. • The contribution made by the projects outputs to the objective achievement.
Efficiency	• The degree to which the outputs of a project were reached in relation to the time, reasonable cost and effort invested. • How well means and activities were converted into outputs and the quality of the outputs achieved.
Evaluation	• An assessment that identifies reflects upon and judges the worth of the effects of what has been done. • "An assessment, as systematic and objective as possible, of an ongoing or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, developmental efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors." (OECD/DAC 2002).
Gender	• Refers to the roles, which a society assigns to men and women. Gender roles define who does which work, both

	inside and outside the household. Gender affects the share of power and influence that men and women have in decision-making at all levels of society.
Goal	• As a term used in the hierarchy of objectives of a logframe, a goal refers to the long-term objective that an intervention seeks to achieve (even if it may be beyond the scope of an individual project/programme to achieve on its own – e.g. a nutritional programme may contribute to the goal of community health, while other programmes, such as a malaria prevention programme, also contributes to community health). • A project objective contributes to the (development) goal.
Hypotheses	• Causal or plausible correlations between a project intervention and expected or actual changes.
Impact	• Positive or negative long-term effects and changes produced by a development intervention / project. • A change in the situation of the people a project addresses. • Have fundamental bearings on the livelihoods and living conditions of the people • Can be directly or indirectly, intended or unintended. Long-term sustainable changes of indirect and usually complex causality or plausibility.
Indicators	• Factors to describe and measure the state of or changes in certain fields of observation. • Signals or milestones set in advance to assess outputs, use of outputs, outcomes and impacts. • Quantitative or qualitative evidence which will be used to assess the progress towards objectives / outcomes.
Input	• Set of means necessary for carrying out activities.

	• Human, technical, material and financial resources invested in a project to enable the execution of planned activities and measures.
Logframe, project planning matrix (PPM)	• A hierarchically structured planning system that logically builds on each other with overall goal, objectives, outputs, activities. • Indicators to measure what has been reached are set up for all planning levels (Inclusive means of verifications). • Assumptions are included in the planning.
Logical framework approach (LFA)	• A methodology for planning, managing and evaluating projects involving stakeholder analysis, problem analysis, analysis of objectives, analysis of strategies, preparation of the logframe matrix and activity and resource schedules.
Means of verification	• Sources of information and methods used to collect and report information. • Guiding question is: How will the information be collected, when and by whom?
M&E plan	• A table that builds upon a project / programme's logframe to detail key M&E requirements for each indicator and assumption. Table columns typically summarise key indicator (measurement) information, including: A detailed definition of the data, its sources, the methods and timing of its collection, frequency of collection, the people responsible, and the use of the data.
Monitoring	• It is a continuous and systematic process of observation, systematic documentation and critical reflection. • The objective of monitoring is an improved project steering and adjustment of plans. • Participatory monitoring involves the beneficiaries and not just project staff.

Objective, purpose	• The description of a situation strived for, which shall be reached through a concrete project • The desired changes to be achieved within the project period (Intended & positive).
Objective tree	• A diagrammatic representation of the situation in the future once the problems have been remedied, following a problem analysis and showing a means to ends relationship.
OIO: Outcome and impact orientation	• The collection and documentation of information about the changes (Outcomes and impacts) taking place through a project.
Outcome	• The likely or achieved short-term and medium-term effects and changes of an intervention's outputs (= Direct benefit). • A change in the situation of the people the project addresses which can be attributed plausibly mainly to the use of the project outputs. • Can be positive or negative & intended or unintended.
Output, result, achievement	• Products, capital goods and services which result from a development intervention • Material or immaterial products (e.g. Building, knowledge, skills).
Participants	• Groups or persons involved in the planning, conceptualisation and implementation of a project.
Participation	• All directly involved project participants (Community based organisations, staff, NGO, Government, etc.) take actively and autonomously part in planning, monitoring and evaluation - primarily for their own use. • Maintaining a continuous dialogue between participants, through joint reflection.

	• It is a value, based on a two-way partnership. • Promoting a process of empowerment and strengthening the target group.
Participatory evaluations	• Conducted with the beneficiaries and other key stakeholders, and can be empowering, building their capacity, ownership and support.
PCM: Project cycle management	• Management of a project, allowing flexible adjustments at all stages. • A methodology for the preparation, implementation and evaluation of projects based on the principle of the logical framework approach.
PME: Planning, monitoring, evaluation	• The total process of continuous and interlocking planning, monitoring and evaluation of a project.
Precision	• The extent that data measurement can be repeated accurately and consistently over time and by different people.
Problem analysis	• A structured investigation of the negative aspects of a situation in order to establish causes and their effects. • Used to get an idea of the main problems and their causes, focusing on cause-effect relationships (often conducted with a problem tree).
Problem tree	• A diagrammatic representation of a negative situation, showing a cause effect relationship.
Process (activity) monitoring	• Tracks the use of inputs and resources, the progress of activities and the delivery of outputs. It examines how activities are delivered – the efficiency in time and resources.
Programme	• A collection of projects that are executed or supported by an organisation – usually identified in terms of a geographical area, a section of the population or a theme

	to which a coordinated approach is adopted. This may also involve other activities complementary to the projects. • A programme – like a project – may involve collaboration between several organisations.
Project	• Is a series of activities aimed at bringing about clearly specified objectives within a defined time-period and with a defined target addressing a defined target group in a particular location?
Project cycle	• The project cycle follows the life of a project from the initial idea through to its completion. It provides a structure to ensure that stakeholders are consulted, and defines the key decisions, information requirements and responsibilities at each phase so that informed decisions can be made at each phase in the life of a project. It draws on evaluation to build the lessons of experience into the design of future projects.
Qualitative data /methods	• Analyses and explains what is being studied with words (documented observations, representative case descriptions, perceptions, opinions of value, etc.). Qualitative methods use semi-structured techniques (e.g. observations and interviews) to provide in-depth understanding of attitudes, beliefs, motives and behaviours. They tend to be more participatory and reflective in practice.
Quantitative data /methods	• Measures and explains what is being studied with numbers (e.g. counts, ratios, percentages, proportions, average scores, etc.). Quantitative methods tend to use structured approaches (e.g. coded responses to surveys) that provide precise data that can be statistically analysed and replicated (copied) for comparison.
Relevance	• The (development related) importance of a project in a

	specific context. • The appropriateness of the project objectives to the real problems, needs and priorities of the intended target groups and beneficiaries that the project is supposed to address and to the physical and policy environment within which it operates.
Reporting	• The process of providing analysed data as information for key stakeholders to use, i.e. for project/programme management, donor accountability, advocacy, etc. • Internal reporting is conducted to actual project/ programme implementation; it plays a more crucial role in lesson learning to facilitate decision-making – and, ultimately, what can be extracted and reported externally. • External reporting is conducted to inform stakeholders outside the project/programme team and implementing organization; this is important for accountability.
Review	• The assessment at one point in time of the progress of a project or programme or a particular aspect of a project / programme. • Generally more informal than an evaluation, it is often internal and periodic.
Risk analysis	• An analysis or an assessment of factors (called assumptions in the logframe) that affect the successful achievement of an intervention's objectives. A detailed examination of the potential unwanted and negative consequences to human life, health, property or the environment posed by development interventions (OECD/DAC 2002).
Sample	• A subset of a whole population selected to study and draw conclusions about the population as a whole. Sampling (= the process of selecting a sample) is a critical aspect of

	planning the collection of primary data. • Random (probability) samples are quantitatively determined and use statistics to make more precise generalizations about the larger population. • Purposeful (non-random) samples are qualitatively determined and do not use statistics; they often involve smaller, targeted samples of the population and are less statistically reliable for generalisations about the larger population.
Secondary data	• Data that is not directly collected by and for the project/programme but which can nevertheless meet project/programme information needs.
Source	• The origin (i.e. people or documents) identified as the subject of inquiry for monitoring or evaluation.
Stakeholders	• A person or group of people whose interests are affected by a project • A person or group of people with a direct or indirect role or interest in the objectives and implementation of an intervention (project/programme) and/or its evaluation.
Sustainability	• The durability of effects and changes beyond the end of a project. • The capability of maintaining through time the benefits obtained for the target group or of continuing the generation of benefits. • The likelihood of a continuation of benefits produced by a project after the external support ended. Key factors that impact sustainability include a.) Ownership by beneficiaries; b.) Policy support and consistency; c.) Appropriate technology; d.) Environment; e.) Socio-cultural issues; f.) Gender equity; g.) Institutional management capacity; h.) Economic and financial

	viability.
Target	• As a term used in indicator tracking, a target is the intended measure (quantity) set to achieve an indicator.
Target group/population	• The specific individuals or organisations for whose benefit an intervention (project/programme) is undertaken.
Terms of reference	• Terms of reference (ToR). Written document presenting the purpose and scope of the evaluation, the methods to be used, the standard against which performance is to be assessed or analyses are to be conducted, the resources and time allocated and reporting requirements (OECD/DAC 2002).
Triangulation	• The process of using different sources and/or methods for data collection. Combining different sources and methods mixed methods) helps to reduce bias and crosscheck data to better ensure it is valid, reliable and complete.
Use of output	• The application of the outputs and results (e.g. products, services or acquired knowledge or skills are put into practice) by the persons the project addresses. • Changes, which in a causal or plausible way relate to a project intervention. • Can be positive or negative & intended or unintended.
Validity	• As a term used in evaluation methodology, it refers to the extent to which data collection strategies and instruments measure what they intend to measure. Internal validity refers to the accuracy of the data in reflecting the reality of the project, while external validity refers to the generalizability of study results to other groups, settings, treatments and outcomes.

8.2 NOTES RELATED TO THE TABLE ABOVE

a. Be aware that there are different models and concepts with definitions to illustrate the relation between causes and effects. Each model or concept has its own advantages and disadvantages. Different stakeholders may follow different logics.
b. There is no "one size fits all" model. You need to understand the definitions of the terms and words used in a particular project language.
c. Be aware that the effect chain is internationally used by those organisations that also use the logical framework approach. Therefore, it is relevant that the project management is familiar with it.

CHAPTER-9

REFLECTION

Here are some questions for you to reflect on and even open up for discussion in your organisation:

1. Check your documents (Reports, planning documents, proposals, studies, evaluations) and find out:
   - Is the terminology that you and your staff use consistent?
   - How do the terms you use relate to this terminology?
   - How do other organisations in your context use this terminology?
   - Understand the terms and words used by your donors?
2. Decide to what extent you need to have clearly defined terms / words:
   - Which terms have to be clarified?
   - For what and for whom will it be helpful?
3. Decide on whether it is necessary to introduce this abstract terminology to your primary stakeholders and field staffs – often it is not necessary! These words and terms have to be understood by the management and the second line staff.
4. If the terms need to be clarified: Draft a proposal and share it with your staff and other stakeholders. Adapt it, if necessary.
   - Do they understand the words and meanings and do they agree with it?
   - Have the terms be translated into the language of your staff and the primary stakeholders?
5. Draw your own project cycle and explain the different stages.
6. What are the roles and responsibilities in your PCM?
7. Who are the key stakeholders in your project?
8. What are the vision, mission and goals of your organisation and project?
9. Explain the theory of change in your project. Describe or illustrate how and why a desired change is expected to happen in your project in a particular context.

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