### NDDRC Monitoring & Evaluation Manual

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### Republic of South Sudan

### National Disarmament, Demobilisation and Reintegration Commission

### NDDRC MONITORING AND EVALUATION MANUAL

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### 1 INTRODUCTION TO M&E

Monitoring and Evaluation (M & E) constitutes a crucial component in the lifecycle of South Sudan's National DDR Programme (NDDRP), playing a critical role both (i) throughout the project lifecycle in the planning and implementation, and (ii) in the improvement and further development of the program.

In order to ensure a continued effectiveness of the DDR programme interventions and related activities, it is necessary for the National DDR Commission (NDDDRC) to lead this process through use of effective mechanisms of M&E at all stages of implementation and in all components of the program. For this purpose, the NDDRC will organize and lead ongoing monitoring and evaluation including various surveys, assessments and other evaluations.

Effective monitoring of activities generates critical information for the Commission and stakeholders, especially on the progress of the DDR activities vis-à-vis set indicators. The M&E also identifies areas for improvement as well as need for new interventions for the program. Evaluation seeks to judge the results and identify the impact of interventions delivered by the program. Monitoring and Evaluation is a dynamic and interactive process incorporated into the entire life of the program.

Deliberate follow-up and systematic reporting will allow for constant quality checks and controls of the interventions under the DDR processes. These evaluations will also provide a basis for institutional learning for participants including staff and other stakeholders. The resulting lessons will inform the Commission and partners on strategic improvements, if any.

It is therefore up to the Commission to ensure that any data collected and analysed meets best quality standards. To accomplish this, the Commission will ensure that all information on DDR interventions and processes is captured for all beneficiaries by the program staff and shared with the M&E unit. The M&E unit will ensure ongoing data entry and storage in the Information Counseling and Referral (ICRS)/Management Information System (MIS). Access to and dissemination of such data shall require official authorization from the Commission. The Commission uses such data to track both (i) implementation progress and (ii) consistency with design, principles and planning.

M & E activities are conducted in an effort to maintain the highest level of programming effectiveness, efficiency and beneficiary satisfaction at all stages of implementation. Through assessing effectiveness, efficiency and beneficiary satisfaction the M&E ensures that the work is meeting the overarching goals of the DDR program.

The Commission is expected to provide sufficient resources (financial and human) to ensure that the M&E achieves this role. Secondly, the Commission ought to run M&E operations and outputs as a management tool for information, adjustments and improvements of the DDR processes. This will require continuous systematic monitoring, periodic evaluations and post-evaluation synthesis of findings and recommendations

followed by review of activity design and implementation planning. The Commission should share synthesis of findings and recommendations with key stakeholders. This will allow for consensual management of issues arising as well as ownership of adjustments that might be identified.

The management of this significant amount of sensitive data as well as the large number of reports and documents generated by the Monitoring and Evaluation throughout the DDR program can be challenging. For this purpose the Information, Counselling and Referral System (ICRS) is an essential tool to collect, generate, analyse and store large volumes of data and information. The ICRS provides customized M & E reports and makes them accessible to the persons responsible as designated by the NDDRC. Without an ICRS/MIS that works properly, staff and evaluators of the DDR program may be unable to draw reliable, meaningful and accurate conclusions on the basis of the results of the programme, and this can drastically distort the benefits and impacts of the program, as well as the institutional memory and knowledge.

For the M&E information to be accurate and reliable it must be collected and owned across all departments and units of the DDR Commission through consistent communication and team work among them. Clear communication channels should be set up and used, and stakeholders (management and staff) must not only allow, but also practice and encourage the free flow of information in all aspects of the program. Regular communication among stakeholders, particularly between first line managers and clients, will ensure that the data, information and communications critical for accurate assessment and useful lessons are received a timely and effective manner.

Effective M&E ensures transparency and responsibility throughout the DDR programme and beyond and depends on the degree to which information freely flows between stakeholders, within and external to the NDDRC. Consequently, a communication feedback loop between partners must be incorporated as an integral component in all aspects of Monitoring and Evaluation. As an added benefit, a significant quantity of the monitoring will be achieved through the information collection generated as a result of the communication feedback loop.

This should also be seen to empower and enhance the participation of all stakeholders in the programme. In particular, the personnel involved in daily implementation of the program, and the most vulnerable target groups such as the children, the women and the disabled who may feel excluded or neglected.

In order to ensure that the reporting of results and impact are credible, a high level of transparency should be reflected in all of the activities of M & E of the DDR program, and the managers and implementing partners must carry responsibility for their actions affecting implementation of the DDR program.

Overall, the M&E system is designed to:

- 1) provide a continual assessment of progress,
- 2) create a data flow to inform and adjust operations,
- 3) document all lessons learned recommending modifications or improvements to individual parts or all of the components for strategic adjustments, and
- 4) maintain transparency and accountability through reporting.

To accurately meet the broad needs of an effective overall M&E system, the DDR programme must explicitly target both and Internal and External audience, through separate reporting. The internal M&E addresses management and operational needs of the DDR Commission and Programme while the external targets the needs of GoSS, external stakeholders, funders and general community.

### 1.1 OBJECTIVES OF THE M&E MANUAL

This manual is designed to provide customized M&E guidance to the Management, staff and partners involved in implementation of the South Sudan NDDRP. This manual outlines principles and procedures of a results-oriented and participatory DDR Monitoring & Evaluation system to be conducted by the NDDRC. This manual refines the operationalization of the Monitoring and Evaluation system of the Commission with specific focus on its overarching objective, perception and mission. It clarifies roles and responsibilities of M&E staff at the HQ and the states and outlines a process for collecting data from implementing partners. This manual complements the NDDRC programme policy and other documents, including agreements and implementation manuals.

The manual is a guiding tool to be constantly adjusted and adapted as the programme evolves by the M&E Unit of the NDDRC.

### 1.2 OBJECTIVES OF THE M&E SYSTEM

A well-functioning M&E system is a critical part of good project/programme management and accountability. Timely and reliable M&E provides information to meet the following objectives:

- 1. Maintain the highest level of effectiveness across all areas of operation and ensure long-term sustainability of positive outcomes for programme beneficiaries and the society at large;
- 2. Support project/programme implementation with accurate, evidence-based reporting that to informs management and decision-making to guide and improve project/programme performance;
- 3. Facilitate informed decision-making that involves all relevant key stakeholders;
- 4. Contribute to organizational learning and knowledge sharing by reflecting upon and sharing experiences and lessons to the further development of best practices in South Sudan's DDR programme;

- 5. Provide opportunities for stakeholder feedback, especially beneficiaries, to provide input into and perceptions of our work, modelling openness to criticism, and willingness to learn from experiences and to adapt to changing needs;
- 6. Uphold accountability, transparency and compliance throughout and beyond the life of the programme including demonstrating whether or not the work has been carried out as agreed and in compliance with established standards and with any government or other donor requirements;
- 7. Promote and celebrate our work by highlighting our accomplishments and achievements, building morale and contributing to resource mobilization.

### 1.3 GUIDING PRINCIPLES

This section introduces the guiding principles to be adhered to in planning and execution of M&E activities for the DDR programme. These principles aim to facilitate understanding and implementation for all stakeholders, while enhancing M&E performance focused on results and impact in all components of the program.

### GENERAL PRINCIPLES

The following M&E operational principles will guide the data collection and reporting for the purposes of monitoring and assessment of inputs, activities, outputs, results and impacts of the DDR program:

- **Principle 1:** The M&E system must align with the overarching objective of the South Sudan DDR program and reflect the role of M&E in achieving that objective.
- **Principle 2:** The M&E plan, budget and activities must correspond to the program design and implementation process.
- **Principle 3:** Data should be collected continuously and systematically on inputs, procedures and outputs.
- **Principle 4:** Collection and reporting of information should always be both accurate and reliable.
- **Principle 5:** A well-functioning Information Counseling and Referral System (ICRS)/Management Information System (MIS) must be utilized for the capture and storage of all the information in relation to the operations and the lessons learned.
- **Principle 6:** Communication feedback loops should be incorporated and encouraged in all aspects of operations.
- **Principle 7:** Inter-office and inter-departmental information sharing and communication must be encouraged at all times to allow quick flow of monitoring information.
- **Principle 8:** Monitoring and Evaluation must contribute to program enrichment and staff capacity building through active knowledge management.

- Principle 9: M&E data collection and reporting should encourage and facilitate
  participation and empowerment of all stakeholders (including women, youth, aged,
  disabled, etc.).
- **Principle 10:** Reporting of results should reflect transparency and accountability in all aspects of M&E.

### ACCURACY AND RELIABILITY

Accuracy and reliability are the two cornerstones of M&E throughout the planning, process and deliverables. The data collected must reflect and allow transmission of the progress and results of the activities and actions of the DDR program as accurately as possible. Similarly, the reporting and the analysis should be securely anchored and able to withstand both internal and external review to be considered reliable. To achieve this, the importance of an effective ICRS/MIS, open and clear communications, and inter-departmental work have been referenced above.

### 1.4 OPERATIONAL TERMINOLOGY

**Assembly area:** this is the facility where ex-combatants are gathered before transfer to the transitional facility where they officially join the DDR program.

**Transitional facility:** this is the encampment where demobilization and ICRS activities begin. The registration, capturing individual socioeconomic profiles and allocation of demobilization numbers takes place. The Commission will ensure that baseline surveys are conducted before the ex-combatants leave the transitional facility.

**Registration:** this is the recording of each individual ex-combatant received at the transitional facility. The registration has to be done immediately on arrival, because every individual has to be accounted for at all times.

**Socioeconomic profiling:** this is the systematic capture of an ex-combatant's personal details including demographic, social and economic data. The socioeconomic profiles will inform the Commission on the characteristics of the ex-combatants and provide a basis for planning to address likely individual **challenges** during the reinsertion and reintegration process. The socioeconomic profiling should be done within the first two weeks at the transitional facility, when the ex-combatants have cooled off and are psychologically ready to respond to the exercise.

**DDR ID number (DDR ID):** this is the unique serialized permanent number assigned to every individual ex-combatant. The demobilization number cannot be changed or shared. It is the most reliable form of identification for an ex-combatant throughout the DDR process. Any service to an ex-combatant shall be recorded against his/her DDR ID in the ICRS. This shall be in such a way that when an individual's DDR ID is retrieved from the ICRS, it comes with the individual's profile and record of services and support they have received from the DDR program.

**Baseline survey:** This is the initial study conducted to review the social and economic situation of ex-combatants before they receive reintegration support. The baseline survey shall provide the basis for assessment of the impact of reintegration support afterwards. It

is important to conduct this survey before the ex-combatants leave the transitional facility, or immediately on their return to the community.

**Monitoring:** This is the systematic and continuous collection of data during the entire implementation of the DDR activities. All activities and factors have to be monitored to ensure compliance with planning on one hand, and to identify constraints, challenges or risks that might affect the implementation on the other. Working with ex-combatants can be very challenging due to individual conditions (trauma, disillusions, poverty, illness, etc). This is why active monitoring of all demobilization and reintegration activities and inputs is a critical requirement. The Commission should ensure that Monitoring reports are produced at least on a weekly basis.

**Evaluation:** This is the systematic and objective assessment of the strengths and weaknesses of the design, implementation and results of the demobilization and reintegration program. Specifically, it is the systematic review of the performance of the ICRS program for the ex-combatants as well as the implementation capacity of the Commission. The Commission shall commission different evaluation studies including but not limited to:

- Beneficiary satisfaction surveys,
- Impact assessments,
- Annual independent evaluations,
- Safeguards assessments,
- Tracer surveys,
- · Community dynamics surveys,
- End-line surveys.

All the evaluation studies are individually very significant for the good health of the DDR program depending on set indicators. The evaluation studies shall feature in the annual work plan and budget, as the Commission may decide in consultation with relevant stakeholders.

**Indicators:** These are the units of measurement that help to determine what progress is being made towards achieving the objectives of the DDR program.

**Performance monitoring**: This is the continuous systematic collection and analysis of data on the results planned for the purpose of determining whether these are on track to be achieved.

**Inputs:** Inputs are financial, human and material resources used for the implementation of the DDR program. It is important to monitor availability of funds for the DDR activities, adequate human resources to implement the activities, as well as supplies (e.g. food and non-food items during encampment) transport facilities (automobiles), adequate office space.

**Activity:** This is what we do in form working towards achieving the required results outlined in the DDR programme. Examples include drafting activity plans, sensitising excombatants, medical screening, data entry, delivering benefits such as tools or cash payments, etc. It is very important to monitor every activity as per the work plan at all

times to determine whether everything goes as planned and raise flags where necessary. This will help management to stay informed on the progress and provide support where necessary.

**Outputs:** These are the products coming out of the DDR program. They include the excombatants that have completed training.

**Results:** Results are short or medium term effects (positive or negative) that contribute to the impact of the DDR program. They represent changes in a development situation.

**Impacts:** The Impact is a primary or secondary long term effect (intended or not, positive or negative) of the DDR program on ex-combatants, community members, the environment, etc.

**Benefits:** The DDR benefits are designated mandatory goods and services given to the excombatants by the implementer (the Commission or authorized partners). The specific benefits and their respective delivery mechanisms are outlined in the implementation manual or ICRS document.

**Risk:** are external negative factors or circumstances that may seriously affect the achievement of desired DDR results. They may include returning to violent conflict, lack of social services, economic breakdown, distortions and unrealistic expectations. Risks must be monitored and reported to management for swift mitigation at all times.

**Target:** Targets are the maximum achievements intended over a set period of implementation. For example, the number of ex-combatants to be demobilized in a period of one year. It is important to monitor targets to ensure that they are realistic and advise planning accordingly. Unrealistic targets can be frustrating and undermining to planning capacity.

For additional M&E terminology refer to Annex F.

### 1.5 ADDITIONAL M&E GUIDANCE

This manual includes the key aspects of M&E fundamentals through the lens of the application of those concepts in the NDDRP. However, this manual is by no means exhaustive in the fundamentals of M&E as there are many relevant and useful resources available that provide additional detail on Monitoring and Evaluation in general. The NDDRC staff and partners are encouraged to explore these additional resources to further develop their foundational understanding of M&E.

Particularly of note are the International Disarmament, Demobilization and Reintegration Standards (IDDRS) (Module 3.50 – Monitoring and Evaluation) and the accompanying Operational Guide to the IDDRS which provide guidance specific to DDR operations. The module elaborates guiding principles for M&E, addresses developing an M&E strategy and framework for DDR, and describes the standards for M&E in DDR programmes. See <a href="https://www.unddr.org/iddrs/">www.unddr.org/iddrs/</a> & <a href="https://www.unddr.org/uploads/documents/Operational%20Guide.pdf">www.unddr.org/uploads/documents/Operational%20Guide.pdf</a>

### 2 M & E PLANNING - KEY STEPS AND ACTIVITIES

The following steps and respective activities should guide the M&E planning and process for the DDR programme to be efficient and effective. They are to be applied by the M&E team in consultation with NDDRC management and the programme implementation staff.

The planning work feeds into the development of the M&E Plan. The M&E plan provides the foundation for your work. The M&E plan must spell out clearly what to monitor and evaluate and key activities/planned studies with detail on roles and responsibilities, timing, and resources required. The M&E plan is also integral to the whole DDR programme design. The M&E plan builds from the previous planning work. The M&E plan is to include:

- 1. Identify the purpose and scope of the M&E system
- 2. Indicators to be utilized the results framework and logframe
- 3. Plan for data collection and management including frequency and timing
- 4. Plan for data analysis
- 5. Plan for information reporting and utilization
- 6. Plan for the IT aspect of M&E data collection and processing
- 7. Plan for M&E human resources and capacity building
- 8. The M&E budget

### 2.1 SPECIFY THE INTERVENTION TO COVER

The first step in the planning process is to agree on the nature of the problem that the programme seeks to address. Then, based on the understanding of the problem, what intervention is to be undertaken. For example, Entrepreneurship and Cooperatives training is an intervention to equip ex-combatants with skills to establish market-based businesses. Specifying the intervention will require reflecting on a number of aspects, namely:

- Understanding the problem that the DDR programme is attempting to address and its context,
- Understanding the goals and objectives for the intervention
- Conceptualizing the expected results
- Planned activities
- Establishing the inputs involved

### 2.2 DEVELOP THE MOST APPROPRIATE INDICATORS

Indicators are measurable or tangible signs that something has been done or that something has been achieved. An indicator of demobilisation activity progress can be the number of ex-combatants that have graduated from the transitional facility. An indicator of the reintegration progress can be the number of ex-combatants who are actively engaged in a new livelihood.

Indicators are an essential part of a monitoring and evaluation system because they are what you measure and/or monitor. Through the indicators you can ask and answer questions such as:

- Who?
- How many?
- How often?
- How much?

Once the programme activities are determined, an indicator tracking table commonly known as a Results Framework is to be designed. The purpose of the results framework is to determine the best measurements or "indicators" for programme activities and to show in a summarised tabular form the main results, the activities that are being undertaken in the project, the outputs generated and the predicted outcomes and impacts. Essentially this is a summary of the following indicators as described above: Activities, Outputs, Outcomes and Impacts. This helps the project managers visualise the projects main milestones and their relationships. The results framework is a tool that provides a hypothesis of linear cause and effect relationships. In the real world unexpected results or outcomes often occur, and these should be recorded and analysed but should not negate the benefits and importance of planning for results.

It is important to decide early on what your indicators are going to be so that you can begin collecting the information immediately. Generally speaking, most indicators should be developed together with the definition of program activities, outputs, outcomes, objectives and ultimate goals. There are two basic types of indicators:

- **Performance Indicators:** Variables that allow the verification of changes in the intervention or shows actual outputs and outcomes compared to those that are expected before the DDR program implementation. Performance indicators are used to measure "how", "whether", or "to what extent" objectives are achieved, rather than the reasons why or why not progress is made. Such indicators are usually expressed in quantifiable terms;
- Impact Indicators: A set of variables used to measure the overall and long-term impact of the DDR interventions, such as the overall changes in the environment that DDR aims to influence. Impact indicators, both quantitative and qualitative, often use a composite set of indicators, each of which provides information on the size, sustainability and consequences of a change brought about by a DDR activity. Importantly, impact indicators depend on comprehensive and reliable baseline data, and should be as specific as possible in order to separate the impact of DDR on complex socio-economic dynamics from other factors and processes.

As the results framework must be developed to fit to programme activities, thus will be designed once the DDR activities are designed. See Annex A: Demobilization and Reintegration Programme Indicators for a starting point for the full NDDRP results framework.

After completion of the results framework, the next step is to build on those indicators in drafting a Logical Framework or "logframe" which includes additional detail as listed here:

Table 1: Logical Framework

Expected Results (Outcomes & Outputs)	Obtained from development plan and results framework.
Indicators (with Baselines & Indicative Targets) and Other Key Areas to Monitor	From results framework, adding as necessary the baseline and indicative targets.
M&E Event with Data Collection Methods	The tracking tool or mechanism to be used for measuring progress toward the specified goal. How is data to be obtained? Example: through an XC baseline survey, a focus group discussion, an Quarterly Progress Report, etc.
Time or Schedule and Frequency	Level of detail that can be included would depend on the practical needs.
Responsibilities	The person or party responsible for ensuring that performance and results are tracked and reported for the specified activity or input.
Resources Estimate of resources required and committed for carrying o monitoring activities.	
Risks	What are the risks and assumptions for carrying out planned monitoring activities? How may affect the planned monitoring events and quality of data?

Source: Adapted from the UNDP Handbook on Monitoring & Evaluation.

### 2.3 COLLECT BASELINE DATA AND SET TARGETS

If you have done your planning well, you will be able to collect and analyze data about the situation of the ex-combatants at the beginning of their reintegration interventions, this is known as baseline data. Baseline data is the data about the ex-combatants before they receive any reintegration support. It is the information on which your problem analysis is based. It is very difficult to measure the impact of the DDR program interventions if you do not know what the situation was when the interventions came. You will design the baseline survey to include information in keeping with the indicators you set in the results framework for the programme overall. It is very important to carefully think through what data is collected in the baseline survey as you cannot go back and get baseline data after you have begun supporting the ex-combatants and their situation has changed.

Ideally, all DDR indicators have an indicator baseline already at the planning stage, whether through previous surveys, conflict analysis or other data sources. However, some indicators will not have a baseline. An example here is the 'Client satisfaction survey' where the level of satisfaction cannot have a baseline since the first survey can only be conducted once a certain number of combatants have demobilized. In these special cases, footnote the indicator with the information on what type of data collection is planned and when it will be collected.

Setting targets is a part of the planning process. Simply put, targets are what you intend to achieve through implementation of the DDR programme in a set period of time. Target setting is a participatory exercise and ideally should involve all stakeholders. However, in some cases, only the major stakeholders might be involved depending on what it requires.

An example here is the overall target number of combatants to be demobilised. This can only involve top level decision makers.

In addition to a baseline, every indicator needs an indicator target. An indicator target is the expected measurement of the indicator at a certain point in the future. For example, if the indicator is 'number of combatants disarmed', the indicator target could be 10,000 for the first year, 20,000 for the second year, etc. Without a target, no judgment can be made about success or failure.

Targets must be realistic and proportional. It is very important to make critical considerations for available inputs (human, financial, material), time and the working environment (social, political, economic) when setting targets. Consultations with key stake holders should be very helpful in setting targets.

### 2.4 DEVELOP THE DATA COLLECTION STRATEGY

A data collection strategy must be developed right from start with the planning stage. Your methods for collecting data need to be built into your action planning. You should be aiming to have a steady stream of data flowing into the monitoring system that is tracking the ongoing work and how it is done, without overloading anyone. The data you collect must be meaningful, informative and usable to the DDR programme stakeholders. Data must not be collected for the sake of being busy or as another routine, but for answering specific questions and generating knowledge. Make sure that you store the data in such a way that it is easy to access. Usually you can use the reports, minutes, attendance registers, financial statements that are part of your work anyway as a source of monitoring and evaluation data.

Monitoring, which is the systematic and ongoing assessment of an ongoing intervention, will be a primary approach in data collection. It needs to be regular and findings should feed back into programme design and implementation. Monitoring is integral to the entire program life-cycle and thus cannot be seen as an end but a means to an end. If monitoring is well done, the programme will be successful other factors remaining constant. If not, there will be uncertainties regarding the progress of interventions. Once indicators have been identified, the onus is on the M&E team to collect data to measure progress. This manual details the process and activities required for monitoring in section 4 below.

When developing the data collection strategy, there will be a balance of monitoring and evaluation involved. The evaluation component of the M&E System aims to go beyond monitoring and consolidating data to analyzing and assessing.

In planning the evaluation activities, it is crucial to draw up precise terms of reference for the carrying out of the evaluation, and to be clear about how the overall objective and coverage of issues will be accomplished. This is especially important when external evaluators are brought on board. When designing evaluation activities, the following should be clear:

**Table 2: Detail for Evaluation Activities** 

Rationale & Focus	A brief description of the rationale and focus of the evaluation, including			
	outcome, program, project, series of interventions by several partners,			
	etc.			
Objectives	Describes the purpose of the evaluation			
Scope	Defines which issues, subjects and areas the evaluation will cover, and the			
	period of the program's life it will examine			
<b>Expected Results</b>	Lists what results the evaluation is expected to produce, such as findings			
	recommendations, lessons learned, rating on DDR Program performance,			
	etc.			
Methodology	Defines how data is collected and analysed for the evaluation			
<b>Evaluation Team</b>	States the composition of the staff involved and their areas of expertise			
Roles and	Describes the responsibilities of each of the partners including work to be			
Responsibilities	accomplished and resources to contribute. This also describes how the			
	evaluation will be managed and organized, and how interactions with the			
	DDR Program management will be structured			

### 2.5 DEVELOP THE PLAN FOR DATA ANALYSIS

It is crucial to not only collect M&E information but also process, analyze and communicate the findings in actionable ways. The NDDRC is likely to draw on a combination of approaches in assessing the information depending on the type of data collected. For example, monthly reporting on training outputs and percent of ex-combatants reached requires compilation and redistribution for use by the NDDRC and IP state teams which could most effectively be done by NDDRC M&E staff. Much of this analysis targets internal operations and senior management and therefore should be tailored to meet their requirements, both in terms of how often it is made available and the style in which it is drafted and reported. Internal dissemination mechanisms will also have to be developed to ensure that all relevant management receive and comment on these report. However, for the ex-combatant baseline and tracer surveys a wealth of information can be found by conducting cross-tabs using specific information processing software such as SPSS or Stata which could most effectively be done by staff or partners trained in those programmes. Meanwhile mid-term reviews and Final Evaluations require professional distance from the process and thus are often required to be conducted by external evaluators. These latter analyses although important for management, also target external stakeholders.

### 2.6 DEVELOP THE PLAN FOR INFORMATION REPORTING AND UTILIZATION

Monitoring and evaluation will have little value if the DDR programme does not act on the information that comes out of the analysis of data collected. Once you have the findings, conclusions and recommendations from your monitoring and evaluation process, the NDDRC will need to:

- Report to management and staff;
- Learn from the overall process;
- Make effective decisions about how to move forward; and
- Share with stakeholders.

The M&E process must be seen to provide Managers and staff the information they need to make operational decisions in timely and documented ways. Many reports and documents are generated by M&E activities, therefore in addition to making them accessible to NDDRC staff and/or stakeholders it is necessary to develop and maintain a report-tracking system and. This will also provide the DDR program with institutional memory that can be drawn from to monitor progress and ensure that emerging best practices and problems are identified.

This manual details the process and activities required for reporting and evaluation in Sections 4 and 5 below.

### 2.7 DEVELOP THE IT TOOL FOR M&E DATA COLLECTION AND PROCESSING

The common term for an IT system that collects, manages & processes M&E information is a Management Information System (MIS). A well-functioning MIS is essential for effective monitoring and evaluation.

During the pilot programme, the NDDRC built a commission specific tool to meet these needs, the South Sudan DDR Information Counseling and Referral System (ICRS). The ICRS is built to be utilized throughout the program. It is built for NDDRC or partners to enter data throughout the process including at profiling, registration of target group beneficiaries, beneficiary surveys, and monitoring Program implementation progress. The state offices shall also collect information on reintegration opportunities and prospects. This information shall be processed and banked in the MIS to be used for ICRS purposes at all times. The ICRS includes the following sections which can feed into the M&E system via structured and flexible reporting:

- 1) Ex-Combatant Personal Information
  - a. Profiling
  - b. Registration
  - c. Medical Screening
  - d. Baseline Survey
- 2) Services Tracking, Casework, Counselling & Referral
  - a. Services & Trainings in Transition Facility
  - b. Service / Training Completion and Feedback
  - c. Reintegration Interests and Start-up Kits
  - d. Reintegration Service Providers and Opportunity Inventory
  - e. Recording Counselling and Casework
  - f. Referral

Data collected and entered can then rapidly be analyzed and reports produced.

The ICRS works alongside operational systems that track the utilization of Program funds and of community indicators. Over time these could be built into the ICRS system.

In addition, the ICRS includes a reporting function with scheduled or frequently requested reports available at all times, and the capacity to develop additional reports as needed. The reporting function in particular is to be further developed once the results framework and M&E plan outlines what information will be required or beneficial. Examples of such reports include:

- a) Number of beneficiaries (graduates from the TF) by age, gender, trade, location, and contact; this report would provide a link between graduates and potential employer needs by trade and geographical location.
- b) *Start-up kit composition by trade;* this report would be used detail how competitive the beneficiaries are in terms of tools they possess in the labor market, as well as the potential to form employment groups or cooperatives.
- c) Beneficiaries' level of education by geographical distribution, age, gender and trade; this report would help to identify beneficiaries with leadership capacity in the labor market.
- d) Beneficiaries' cooperatives by economic activity and geographical location & Beneficiaries' businesses by economic activity and geographical location; these would be used in advocacy, as well as identification of potential contractors by potential employers or clients.
- e) Number of beneficiaries with chronic conditions by age, gender and geographic distribution; this would help to inform planers and other actors on the extent of special needs among the beneficiaries.
- f) Number of beneficiaries with psychosocial issues by age, gender, marital status and geographic distribution; this would help to inform planners and other actors on the likely effects of PTSDs and family circumstances on the beneficiary's reintegration process.
- g) Approachable projects for employment of ex-combatants by trade, location and potential number of vacancies; this would guide in selection of trades for training, planning advocacy, and forging partnerships.
- h) Potential social security and money generating schemes e.g. SACCOS by orientation and geographical location; this would help to guide beneficiaries on financial and related services available to them.

Another important aspect of planning for the IT side of M&E is the need for hardware and technology infrastructure. As of 2014, the Commission has a modern server, laptops for caseworkers and internet connection with States Offices. The NDDRC partnered with UNMISS to provide hardware necessary for registration. It will be critical to ensure these backend systems are thought through and operational when the full programme commences.

### 2.8 DEVELOP THE PLAN FOR M&E HUMAN RESOURCES AND CAPACITY BUILDING

The adequate availability of resources is essential to an effective M&E process. The Commission must ensure that it attracts and retains fully qualified M&E personnel to

effectively conduct M&E. The Commission could also benefit from continuous training programs for personnel, such as the World Bank's International Program for Development Evaluation Training (IPDET) which is renowned for producing quality M&E experts.

### 2.9 DEVELOP THE M&E BUDGET AND PLAN FOR RESOURCE ALLOCATION

The Commission shall allocate adequate financial resources for M&E operations and capacity building, depending on approved action plans. This requires significant planning and coordination often with partners to ensure funds are available when needed for M&E implementation.

### **2.10 TIMING**

As is now clear, a successful M&E system is a continuous cycle of monitoring, evaluation, and adjustment. Additionally, it requires significant planning and preparation which can be very time consuming. The work-plan developed should clearly outline the timing required not only for the implementation of the activities but also for the development and testing.

One area requiring particular attention is the evaluation studies. Most, if not all evaluation studies will require consultancy services. Managing DDR programme consultancies can be a nightmare. There are not many consultants with practical real life experience in DDR evaluation in the market at this time, thus advance planning is needed to secure quality consultants. Additionally, Terms of Reference (TORs) take time to draft, review and finalise. Draft ToRs should be available at least three months in advance of the intended survey date. The tendering process may also take up to 60 days. Data collection tools will also take some time to prepare and pre-test. Time is also required to train data collectors. Some studies will be legal requirements. Some studies will be pre-requisites for fundamental decisions to be made. Time is a sensitive factor in M&E.

### 3 MONITORING & REPORTING

Once the plan is completed, the M&E process will begin.

The foundation of M&E is monitoring. The overall purpose of monitoring is to assess performance in order to more effectively manage the outcomes and outputs known as development results. Performance is defined as progress towards achievement of results. Together, performance monitoring is the systematic and ongoing collection and analysis of data about an ongoing intervention to investigate whether planned results are being achieved.

The Monitoring component of the NDDRC M&E system aims to:

- Provide managers and staff with the information they need to make timely and wellinformed operational decisions;
- Ensure activities are implemented as planned and in an effective and equitable manner;
- Identify and immediately remedy operational problems;
- Contribute to client reporting requirements and institutional learning.

Sometimes monitoring involves special tools such as survey questionnaires, however, often there are simple but useful approaches in the natural course of your work that will add to the basic data collected.

In summary, there are three types of tracking mechanisms that can be characterized as follows:

**Table 3: Monitoring Tools and Mechanisms** 

MONITORING TOOLS AND MECHANISMS				
Reporting and Analysis	Validation	Participation		
<ul> <li>Annual project report</li> </ul>	Field visits	<ul><li>Outcome groups</li></ul>		
<ul><li>Progress and/or quarterly</li></ul>	<ul><li>Spot-check visits</li></ul>	<ul><li>Steering committee</li></ul>		
reports	<ul><li>External assessments/</li></ul>	mechanisms		
<ul><li>Work plans</li></ul>	monitoring	<ul><li>Stakeholder meetings</li></ul>		
<ul> <li>Programme delivery reports</li> </ul>	<ul><li>Beneficiary surveys/</li></ul>	<ul><li>Focus group meetings</li></ul>		
<ul> <li>Combined delivery reports</li> </ul>	Sample Surveys	<ul><li>One-on-one interviews</li></ul>		
<ul><li>Substantive project</li></ul>	<ul><li>Evaluations</li></ul>	<ul><li>Annual review</li></ul>		
documentation	<ul><li>Recorded observation</li></ul>			

Programme monitoring will be undertaken at four levels: 1) the NDDRC national level, which provides the overall leadership, analysis and technical guidance and 2) the NDDRC state level, which will be the main point of contact with the ex-combatants and will take the lead in practical activities that are required to monitor their reintegration, 3) the implementing partner level which will provide activity tracking information which informs the state and national level monitoring and reporting, and 4) the community level which will feed into all of the above.

Based on the targets and indicators in the results framework, as well as the list of approved reintegration activities, the M&E Unit and the state M&E officers and staff will carry out regular monitoring visits to the locations where the various reintegration activities are carried out. The methods and data collected at the state level will be determined with the guidance of the M&E Unit in Juba.

The following section describes the specific responsibilities at different levels, while recognising that M&E has to be one process where activities implemented by different actors feeds into the overall M&E process.

### 3.1 NDDRC NATIONAL LEVEL (HQ)

The National Level M&E Unit shall (1) monitor the overall reintegration process in line with the results framework (2) monitor the reintegration activities implemented by implementing partners in accordance with work plans and their contractual obligations. To this end the Monitoring and Evaluation Department of the NDDRC will organize and lead various surveys, assessments, impact assessments and evaluations, and beneficiary satisfaction assessments. The National Level M&E Unit will provide the overall guidance to the state level on the methodology to undertake the monitoring and provide them with technical support to effectively undertake their responsibilities. Enhancing and maintaining the quality of the monitoring process is the main responsibility at this level.

This will involve collecting and processing information from:

- Demobilization operations,
- States offices reports,
- Implementing Partner reports, and
- Field visit reports.

Quarterly activity plans will specify performance indicators which will be reported against in the quarterly internal evaluations. The department also ensures that the data collected is analysed as part of a "lessons learnt" exercise in which all relevant staff participates. The "lessons learnt" serve to revise and improve the operation in the coming year of operations and feed the Annual Planning Phase with the necessary information to make adequate revisions in strategy and Program design to improve operations.

The HQ M&E team will track the provision of assistance to targeted beneficiaries and institutions throughout the lifecycle of the Program via the state offices and M&E staff employing a variety of methods including, but not limited to, the following:

- Regular meetings at state offices, implementing partner facilities, and project sites to assess progress towards implementation objectives;
- Field missions to observe implementation activities and operations and gauge achievements and constraints;
- Measurement of performance indicators;
- Review and analysis of reports and other documentation.

In addition, the HQ M&E Unit will endeavour to visit each state office to provide training, oversight and collect feedback once or twice a year depending on caseloads and arising challenges. State M&E implementation will be assessed in these annual field visits and alterations made through dialogue between the HQ and state M&E staff.A schedule of visits will be developed to facilitate planning for these trips to ensure that the state level team is available and do not have other competing commitments. Should unforeseen issues occur, the M&E officer/ department will carry out ad-hoc field visits.

Reporting is a systematic and timely provision of useful information at periodic intervals. Reporting will provide regular feedback that will help the Commission to update itself and others (stakeholders, partners, donors, etc.) on the progress, problems, successes, and lessons during implementation of the DDR programme.

The information collected through monitoring will complied and presented in user-friendly, actionable formats through the following reports:

### **Monthly Statistical Reports (MSR)**

The Monthly Statistical reports will present a clear and concise Executive summary of the activities and contributions and associated outputs and results in numeric terms of the DDR programme executed during the month. *Refer to Annex C for a detailed template.* 

### NDDRC Quarterly Progress Reports (QPR) reports

The QPR is a detailed analytical report covering activities performed in each quarter (period of three months) of the year during programme implementation, in accordance with the M&E Work Plan and the results framework of the DDR. Each quarterly report will include an activity report on the work conducted that quarter as well as a summary work plan for the subsequent quarter. Quarterly Progress Reports shall present a clear and concise summary of i) the type of support provided for the specified period, ii) the location of the trainings/services provided, iii) quantifiable results of the activities or inputs, and iv) calculations of progress towards the achieved results and the target values as per the NDDRC Results Framework.

Where direct inputs were delivered to ex-combatants, these need to be listed with either signature or fingerprints of ex-combatants from the caseload list affirming receipt of inputs. Quarterly activity reports must be submitted together with a financial report and invoices. Quarterly work plans shall present a clear and concise summary of activities and inputs planned for the next quarter, as well as any applicable quarterly target values. *Refer to Annex D for a detailed template.* 

### **NDDRC Annual Reports**

The DDR headquarters will produce an annual report within 30 days following the end of the reporting year. The annual report will be based on the data and information of the quarterly reports for the specified period, and will be used to summarize and evaluate activities implemented during the reporting year. The outline of the annual reports is the same as those of the quarterly reports. Refer to Annex D for the template.

### Staff Focused Reporting

A focal point within the HQ M&E Unit shall also be responsible for any additional internal reporting. Therefore, the focal point would prepare monthly internal memos and synthesis reports of programme progress as well as other issues related to the programme and of interest to staff, which shall be sent to all staff both at national and state level. In addition, the final versions of the Monthly, Quarterly and Annual Progress Reports shall be shared with all staff as well as results of the various evaluation tools (beneficiary assessments, annual assessments, etc.).

### 3.2 NDDRC STATE LEVEL

The state office shall be responsible for collecting and recording data on the Ex-combatants who have received reintegration benefits, monitoring the Ex-combatants socioeconomic reintegration and raising any emerging issues that may require immediate attention with relevant departments and senior management. The National Level M&E Unit will provide the data collection tools that to be used by the state teams.

The state level offices are the primary point of contact with the Ex-combatants. As a result, they are in a position to monitor the welfare of the ex-combatants using the various methods and techniques outlined in this manual and provide this information in their reports.

### The State Office shall:

- Track the provision of assistance to the ex-combatants throughout the lifecycle of the Programme.
- Collect data related to reinsertion and reintegration process of program beneficiaries.
- Assess and follow-up ex-combatants' social and economic reintegration at the community level and propose corrective actions where necessary.
- Collect other relevant information related to ex-combatants' life and successful reintegration.
- Be involved in Social and Environmental monitoring of ex-combatants projects under implementation;
- Follow up the implementation of sub-projects when ex-combatants receive their benefits or any other additional reintegration support to systematically assess/identify factors associated with successes or failures of different reintegration initiatives implemented by the ex-combatants.

Each DDR state office must retain an M&E officer or a staff member tasked with carrying out monitoring tasks periodically. The M&E officer will carry out regular field visits to the various areas where Ex-combatants are living and/or project sites. Moreover, the reintegration officer and the ICRS officer(s) will also carry out regular field visits so it will be important that they coordinate their work and assist each other with data collection to

avoid duplication of work and the wastage of logistics and resources (if possible, joint visits should be undertaken). These visits will be conducted utilizing forms provided by the HQ M&E unit to systematize and more easily aggregate data collected from the various states.

NDDRC State office monitoring activities include, but are not limited to:

- Regular meetings at implementing partner facilities and project sites;
- Field missions to observe and monitor implementation activities and operations inperson;
- Conversations with beneficiaries and other members of the community;
- Collection of information and opinions from other sources;
- Measurement of performance indicators;
- Surveys.

For guidance on how to conduct beneficiary and community visits including focus group discussions and effective community observation, refer to Annex E.

The information collected through state-level monitoring is critical to the entire M&E process. The state teams will be in close contact with the Implementing Partner(s) and will use IP reporting as well as first hand data to feed into the state level reporting. State-level information will be compiled and presented in user-friendly, actionable formats through the following reports:

### State Monthly Statistical Reports (MSR)

The Monthly Statistical reports will utilize the same template and that of the HQ MSR. This will present a clear and concise Executive summary of the activities and contributions and associated outputs and results in numeric terms of the DDR programme executed during the month. *Refer to Annex C for a detailed template.* 

### **Field Visit Reports**

Upon completion of each field visit, the M&E Officer of the DDR state office will prepare a field visit report including the following aspects:

- a) Name of implementing partner visited, location, date and field visit objective
- b) Status of the project
- c) Brief description of main activities implemented and results achieved
- d) Information against the key performance indicators
- e) Brief description of problems identified
- f) Brief description of involvement of target group
- g) Financial information, such as funds received, expenditures carried out to date, projected expenditures, balance, etc.
- h) Recommendations for implementing partner

These reports will be submitted together with the State MSR.

### **Ad-hoc Weekly State Reports**

At certain junctures in the DDR process it will be necessary for the state offices to report more frequently to the HQ. Periods of transition or high intensity times such as the end of the TF and return to communities or start-up kit distribution are examples of such times.

### 3.3 IMPLEMENTING PARTNERS

The implementing partners shall:

- Track the provision of assistance to beneficiaries as it pertains to the partner's involvement:
- Collect data and information from beneficiaries for the purposes of tracking and assessing social and economic reintegration outcomes.
- Assess and follow-up on beneficiary social and economic reintegration at the community level and propose corrective actions where necessary.

This information will be collected and presented to the NDDRC in the form of weekly and monthly reports. This will additionally require maintaining ongoing records which will inform the weekly and monthly reports. *See Annex B for examples of templates.* 

### 3.4 COMMUNITY LEVEL

Monitoring at the Community level is the final level of monitoring input. This shall mainly involve Local Authorities. This will focus mainly on social and environmental aspects of the reintegration process.

The Local Authorities shall:

- Advise and assist ex-combatants during the project preparation and implementation; and
- Participate in Social and Environmental monitoring of ex-combatants projects under implementation.

### 4 EVALUATION

The NDDRC Evaluation component will analyze and assess, as systematically and objectively as possible, the relevance, efficiency, sustainability, effectiveness and impact of both ongoing and completed NDDRP activities and inputs. It is a valuable strategic management tool enabling NDDRC and other stakeholders to assess the overall role and impact of DDR in South Sudan, make strategic decisions, and generate important lessons for future programs. Stakeholders will achieve these objectives through the use of a variety of activities, tools and mechanisms.

The Evaluation plan of the DDR programme aims to:

- Retrospectively analyse the results achieved in the context of the framework of results of DDR to verify if these results are due to the interventions of the DDR;
- Assess the impact of the activities and contributions of the DDR on targeted beneficiaries and institutions, particularly target vulnerable groups who are likely to benefit from these interventions also equally;
- Analyze the results of the DDR to improve performance and achieve the objectives of the national DDR strategy.

Evaluations assess the Program and projects at various levels; systems (effectiveness and efficiency), performance/outcomes (delivery of services), and impact (desired change and sustainability).

On an annual basis, the DDR Commission will conduct sample verification surveys covering at least 3% of the ex-combatant population that falls within the criteria of selection to verify that the targeted beneficiaries and institutions received benefits goods, services as planned. Analyses of the databases and existing administrative records and reports shall establish to what extent the overall program, as well as, the individual components has achieved their objectives.

The HQ shall implement on a yearly basis, national sample verification surveys of program beneficiaries having received respective benefits. The statistical evaluation shall be complemented by a beneficiary assessment on the receipt of program benefits. The assessment shall be directed towards the ex-combatants and their families as primary, and the communities as secondary beneficiaries.

Survey instruments shall be developed, pre-tested and implemented for use in surveys on reinsertion benefits, reintegration support and social and environmental aspects of their reintegration and reinsertion.

Independent evaluations of program implementation would be carried out annually and would consist of quantitative and qualitative aspects as per table of selected key performance indicators.

In sum, the activities of the Evaluation component will focus on:

- Reference assessments and feasibility studies
- Baseline & tracer ex-combatant and community surveys
- Beneficiary satisfaction survey
- Internal (self) evaluations
- Mid-term programme evaluations
- Final programme evaluations
- Other evaluations and studies

### 4.1 REFERENCE ASSESSMENTS AND FEASIBILITY STUDIES

The M&E unit of NDDRC will lead various assessments that will aim to establish basis (baseline) reference to establish measures and / or assess the feasibility of sub-projects for reintegration of ex-combatants. These evaluation activities will include:

- Feasibility study for potential high-intensity labor and income-generating activities;
- Employment and market surveys, etc.

### 4.2 EX-COMBATANT SURVEYS

A baseline and tracer study will form part of the M&E tasks aimed at: (i) understanding the demographic characteristics, livelihood aspirations and social capital profiles of excombatants; (ii) documenting the impacts of livelihood activities on ex-combatants and their communities, income and savings, and overall economic productivity per cooperative and small farm and enterprise; (iii) providing broader level information to NDDRC for use in documenting programme impacts in a post-pilot phase, and methods for improving programme management, and developing new and improved livelihood and capacity building products and services.

The baseline & tracer data for the Ex-combatants is to be entered into the ICRS to be efficiently compiled and processed for use.

A questionnaire was developed for the 2013-2014 pilot which will need to be adjusted to align with the full NDDRP. NDDRC staff members must be included in the development of the questionnaire and piloting of the survey. The NDDRC ICRS Caseworkers are trained to act as enumerators for such surveys.

### 4.3 COMMUNITY SURVEYS

In addition, a sample of communities that is representative of the various location types where ex-combatants return are to be surveyed both during the reinsertion period and at a later date for a tracer survey. This data will be entered into a simplified data tracking system for processing and analysis.

### 4.4 EX-COMBATANT SATISFACTION SURVEY

The ex-combatant satisfaction survey is conducted at the end of the DDR process with a representative sample of participating ex-combatants. This survey explores the expectations and satisfaction level of ex-combatants with the services of the pilot DDR programme. This information contributes to the objective of continual project improvement. Further the survey looks at the economic, and to a limited extent social, reintegration of the participating ex-combatants. Specifically the survey is conducted for the purpose of:

- Assessing reintegration approaches and modalities of the pilot reintegration project;
- Determining the current reintegration status of all ex-combatants;
- Assessing ex-combatants' participation in reintegration trainings and services;
- Understanding issues related to access to and ex-combatants' participation in reintegration trainings and income generating activities;
- Assessing the degree to which ex-combatants benefited from the program (especially from the livelihood aspect), and are actively engaged in business associations/cooperatives;
- Assessing the responses of ex-combatants to their new socio-economic status within the host communities following demobilization and reintegration;
- Assessing the satisfaction level of ex-combatants with the reintegration trainings and services provided, and obtaining ex-combatants' suggestions for improvement on the training and services; and
- Develop lessons learned that can be applied to future South Sudan DDR programming.

### 4.5 INTERNAL (SELF) EVALUATION WORKSHOPS AND REPORTS

Internal reviews may be organized once per year by the M&E unit in the form of workshops with the participation of the various stakeholders involved in the implementation of the DDR activities.

The purpose of these evaluations is to evaluate the working hypotheses, analyze the results achieved at a given stage, and verify the relevance of the outputs specified in the work plan. The workshops will adopt a moderate approach to encourage participants to reflect on the implementation of the DDR using the following steps:

- 1. Report on the status, progress and results of the operations supported by the DDR;
- 2. Discuss the positive and negative effects of the DDR operations;
- 3. Conduct a critical and participatory analysis of the success or difficulties encountered; and
- 4. Put forward recommendations for the future.

### 4.6 MID-TERM EVALUATION

A comprehensive and strategic assessment will be conducted mid-term during the implementation period by a qualified and independent consultant. The mid-term evaluation will provide an assessment of performance and the results of the programme for stakeholders, partners, and donors. The evaluation will build on lessons learned and identify inconsistencies between the expected performance and actual performance by analysis of critical differences between actual results and performance indicator targets. The results and recommendations of the mid-term evaluation will help inform modifications if necessary. The mid-term evaluation shall be conducted by an external entity. A combination of quantitative and qualitative methods should be utilised and it is expected that main data sources will include, but will not be limited to:

- a) Analyses of existing programme documentation, including, but not limited to: programme document, implementation manuals, progress reports, participants and benefits registration databases, support mission reports, etc., and
- b) Key informant interviews, including project staff, executive partners, implementing agencies, key members of the donor community, government officials (national, provincial and local) and other programme stakeholders.

Unlike an evaluation, the assessment will focus on simplicity and speed and should be undertaken for a period not exceeding three weeks including the final report. The assessment will focus on the implementation and achievement of outputs and the timeliness and effectiveness of the planned activities with the impact and outcome assessment being left for the external final project review at the end of the project.

### 4.7 EXTERNAL FINAL EVALUATION

A final assessment of the overall results and effectiveness of the DDR programme will be conducted at the end of the programme cycle by a team of reviewers who retrospectively analyze the degree to which the program's objectives have been achieved. The final evaluation will also focus on the effectiveness and sustainability of the results of the support through the DDR programme beyond the lifecycle of the program. In addition, the final evaluation will identify lessons learned and recommendations for future programming in DDR. The final evaluation shall be carried out independently.

### 4.8 OTHER EVALUATIONS AND STUDIES

M&E is an ongoing function. In addition to analysis of existing data, the PCAP M&E unit will The M & E is a continuous function. In addition to the analysis of existing data, the unit will organize the collection of data through various forms of surveys and evaluations on an ongoing basis to monitor and evaluate continuously the efficiency and performance of the Programme in achieving its objectives. Other evaluations and studies can be carried out by mutual agreement between the Commission and relevant partners. This could include profiling studies, a sample verification survey, a community dynamics study or others.

### 5 SUMMARY OF TOOLS FOR MONITORING AND EVALUATION

In summary, there are a large number of tools that can be used to operationalize a solid M&E component of the DDR programme. These tools can be categorized as follows for the purposes of development and use.

### 5.1 PLANNING TOOLS

Planning tools are conceptual frameworks and indicators of identification used to organize all relevant information to a monitoring and effective evaluation of the projected objectives. With regard to the DDR, it provides the following tools:

- The results framework
- The logical framework of the DDR
- The technical requirements contained in partnership contracts
- The calendar of events
- The work plan
- The procurement plan and annual budget

### 5.2 DATA COLLECTION TOOLS

Collection tools are carriers of information that collect information on the ground to allow further processing. Below are some examples:

- Biometric or socioeconomic profile of ex-combatants
- Monitoring reports
- State offices staff reports
- Reports from the implementing partners
- Other reports from civil society, local structures, etc.

Other collection tools include surveys, statistics, interviews, workshops, questionnaires, or specific pages.

### 5.3 ANALYSIS AND REPORTING

The presentation of the results may take various forms depending on the nature of the information and the destination of the results of the processing of the data. Three types of formats are common for the presentation of results, including:

- The matrix of the results framework
- Various evaluation reports
- Reports from the ICRS /MIS

### **6 SUMMARY OF MONITORING AND EVALUATION REPORTS**

As presented in detail in the previous sections, the following table summarizes the reports, timing and the level of results to be reported on through the NDDRC M&E system.

Table 4: M&E Reporting

			Level of Results			
Reporting	Timing	Party Responsible	Activities	Outputs	Outcomes	Impact
IP Weekly Updates	Weekly	All implementing partners				
NDDRC State Office Weekly Reports	Weekly	All NDDRC state coordinators with M&E staff				
IP Monthly Reports	Monthly	All implementing partners				
NDDRC Monthly Statistical Reports	Monthly	M&E Director				
NDDRC Quarterly Progress Reports	Quarterly	NDDRC senior staff with M&E Director				
NDDRC Annual Reports	Annually	NDDRC senior staff with M&E Director				
Ex-Combatant Survey	Baseline & Tracer(s)					
Ex-Combatant Satisfaction Survey	End of Project					
Community Survey	Baseline & Tracer(s)					
Mid Term and Final Evaluation Reports	Midterm Evaluation & Final Evaluation					

### High Level Outcomes Reduced military expenditure 2. Consolidated peace process and security in the region and in the country similar economic situation to that of the Ex-combatants who are economically Ex-combatants who report being in a acceptance by their communities (%) communities of ex-combatants and Survival rate of cooperative started Ex-combatants active in social and Ex-combatants who report social special groups; e.g. (ii) 12 months after completion (ii) 12 months after completion Survival rate of micro-enterprise (ii) 12 months after completion demobilized armed (i) 6 months after completion political structures in their host average adult member of their started under training program (i) 6 months after completion (iii) 3 years after completion (i) 6 months after completion (iii) 3 years after completion (iii) 3 years after completion Successful social forces (including children, women, reintegration of Positive perception of host and economic Outcomes/Indicators Economic Reintegration under training program Social Reintegration active (number, %) disabled) reintegration (%) communities (%) community (%) Annex A: Demobilization and Reintegration Indicators services and information provided in the demobilization centers Demobilized armed forces members who are satisfied with the Targeted beneficiaries starting a micro-enterprise (number, %) Demobilized armed forces members (number or % out of total provided them with skills and material inputs that will improve Ex-combatants that have successfully completed the Community members joining ex-combatants in cooperatives Targeted beneficiaries with business development plans (%) their chances of carrying out a revenue generating activity advance their own social and economic Average cost of demobilized armed force member (USD) Joint XC/Community member associations/cooperatives Targeted beneficiaries participating in an association or Demobilized armed forces members who complete the Ex-combatants reporting that reintegration support has B. Increased capacity of beneficiaries to agreed training/ education plan (number, %) A. Demobilized armed forced groups Ex-combatants having a national ID (number, %) Intermediate Outcomes/ Indicators Targeted beneficiaries employed (%) (disaggregated by gender) cooperative (number, %) demobilization cycle (%) formed (number) ivelihood (number, %) (number) % Ex-combatants who receive reintegration benefits in time and in accordance with the implementation manual (number, numeracy, life skills) are in place for different groups (Base Training facilities that are in place and operating (number) B1. Provision of transitional facility & state-Counseling for market based decision making on income generating activities in place (yes/ no) Ex-combatants receiving training and income generating entrepreneurship/ cooperatives/financial literacy, literacy/ Sensitazation program for beneficiaries developed (yes/ Capacity of Demobilization Centers (persons per month) Demobilization Commission/ Program in place (yes/ no) Sensitization (health, gender-based violence, social and Campaigns conducted to reach target groups (number) A1. Develop framework for demobilization Special structures for women and children established Strategy to address special needs of disabled, women beneficiaries and general public developed (yes/ no) Waiting time to enter skills training program (average A2. Implement Communication Strategy Special skills training programs (vocational training, Coordination mechanisms with Ministry of Defense A3. Establish Demobilization Structure and children during Demobilization/ Reintegration based trainings for ex-combatants Demobilization Plans/ Strategy adopted (yes/ no) economic reintegration) plan developed (yes/ no) · MIS for Commission/ Program in place (yes/ no) Transport arrangements from conflict area to the Caseload, Women, Children, Disabled) (yes/ no) Communication Strategy for demobilization for Demobilization Centers in place (yes/no) activities service (number, %) and reintegration Activities / Outputs developed (yes/ no) in place (yes/ no) (yes/no) months 100

### C1. Provision of livelihoods start-up kits

- Ex-combatants who have received reinsertion benefits in time and in accordance with the implementation manual (number, %)
- Resettlement kits delivered to ex-combatants (number, %)
  - Resettlement kits delivered to dependents of excombatants (number, %)
- Ex-combatants with a bank account or other banking arrangement (number, %)

# D1. Provision of reintegration counseling and referral into existing safety nets through ICRS casework

- Opportunities mapping refreshed within the last 3 months on services available to ex-combatants (yes/ no)
- Counseling and referral service on opportunities and safety nets for ex-combatants operational (yes/ no)
  - Trained government officials on needs and right of excombatants (number)
- Comparants (number)
  Roll out information campaign about reintegration of exRombatants and community benefits of DDR (yes/no ) &
  (persons reached by campaign)

## D2. Medical treatment for ill or disabled people associated with armed forces and psychosocial support

- Emergency and long-term medical care arrangements are in place for ex-combatants with severe medical needs (yes/
- Assessment of available health services for disabled developed (yes/ no)
- Screening and special treatment for vulnerable groups is in place during the demobilization process (yes/ no)
  - Programs for continued support to ex-combatants have been established in all relevant locations (yes/ no)
    - Psycho-social support is in place (yes/ no)
- Trained personnel for psycho-social support (number)
- Awareness campaign about alcohol abuse and major health topics rolled out (yes/ no) & (persons reached by campaign)

# C. Increased assets for beneficiaries to advance their own social and economic livelihood

- Ex-combatants who settle down in their community of choice (with access to shelter and food security) (number,
  - %)
    Minor ex-combatants reunified with family or placed in alternative care arrangements (number, %)

i Please note that most of the indicators would need to be disaggregated by target groups, e.g. specific armed group, women, children, disabled etc., according to each project

## D. Increased access of ex-combatants to social services and safety nets

### fety Nets Provided by the DDR Program

- Ex-combatants who have received psycho-social assistance (number, %)
- Ex-combatants having medical insurance (number, %)
- Ill or disabled ex-combatants who have received / are receiving medical attention and treatment (number, %)
   Ex-combatants aware of their health profile (number, %)

### dainstreaming into national Safety Nets

- Beneficiaries of services by government line ministries (number, %, Number of requesting beneficiaries, % of requesting beneficiaries)
  - Beneficiaries of services by NGOS, CSOs, FBOs, etc. (number, %, Number of requesting beneficiaries, % of requesting beneficiaries)

### ANNEX B: IMPLEMENTING PARTNER REPORTING

The following outlines the Implementing Partner reporting required of the Livelihoods Support Reintegration IP including Ongoing, Weekly & Monthly Reporting as an example.

Implementing Partner Ongoing, Weekly and Monthly Reporting must be designed and agreed upon for all IPs conducting any remaining programme components such as:

- Transitional Facility Trainings
- Transitional Facility Other Services
- CAAF/G Programming
- WAAF/G Programming
- Disability Programing
- Medical Programming
- Other HIV/AIDS Trainings, Community Trainings, Community Projects, etc.

### **B.1 IMPLEMENTING PARTNER ONGOING TRACKING**

Livelihoods Implementing Partner Ongoing Tracking

### Livelihoods - XC STATUS TRACKER (Chart with the following columns)

**DDR ID** 

First name

Last name

Gender

Type of kit

**Contact information** 

State (current)

Payam (current)

Boma (current)

Biz structure type of interest

Types of training attended

Training location(s)

Training date(s)

Number of hours spent at training

Started a business? If yes: type

Has a job? If ves: type

Joined cooperative? If yes: type, name, # of XCs, # of community members

No Income Generating Activity?

Toolkit intact?

### Livelihoods - DETAIL ON COOPERATIVES FORMED (Chart with the following columns)

Name of cooperative

**Activities** 

No. of ex-combatants (male/female)

No. of community members (male/female)

**Location of business** 

Year of formation

**Progress** 

**Legally Registered?** 

# Individual Ex-combatant Info & Training details

INDIVIDU.	AL XC TRAINING INFO
Last name, First name	
DDR ID number	
Current location (state, county, payam, boma)	
Current phone number/other contact info	
Traiı	ning Information
Training location	
Training dates	
Trainer name	
Biz structure type of interest	
Type(s) of training attended	
Total number of hours spent at training	
Notes:	
A	chievements
Started a business?	Yes/No
If yes: type	Type:
Has a job?	Yes/No
If yes: type	Type:
Joined cooperative?	Yes/No Type:
If yes: type, cooperative name,	Name:
# of XCs, # of community members	# XCs:
,	# of CMs:
No Income Generating Activity or Other?	
Notes:	
Needs and complaints: Status of toolkits. Are they still using them	n?
Additional Comments/ Notes:	

### **B.2 IMPLEMENTING PARTNER WEEKLY REPORTING**

Livelihoods Implementing Partner Weekly Reporting
This form must be accompanied by all Individual XC Forms (see above) and Training Sign-In Sheets
collected during the week. DATE:

DAIL		

	GENERAL INF	ORMATION		
Week start date (Monday)		Week end d (Sunday)		
Locations covered (star	te, county, payam, boma)			
Locations covered (state	ce, county, payam, bomaj			
Number of cooperative				
Total coop/assoc parti	cipants trained, including			
Ex-comba	tants	M:	F:	All:
Communi	ty members	M:	F:	All:
Total number of indivi	duals trained, including			
Ex-comba	tants	M:	F:	All:
Communi	ty members	M:	F:	All:
Most important achie	vements. Please include you	ır professional op	inion/comments:	
Most significant need				
Please include your co	mments/recommendations	:		
	. 114: 1 -1 770			
	ne toolkit use by the XCs. ents/recommendations:			
•	,			
Other comments:				

### **B.3 IMPLEMENTING PARTNER MONTHLY REPORTING**

Livelihoods Implementing Partner Monthly Reporting

### **Livelihoods Income Generating Activities Tracking**

	Total
IGA Status Known (contacted in last 3 months)	
Total XCs contacted	
XCs actively participating in IGAs	
XCs not participating in IGAs	
XCs contacted this month	
Total XCs contacted	
XCs actively participating in IGAs	
XCs not participating in IGAs	
Cooperatives & Associations	
# of Cooperatives or Associations	
# of Registered Cooperatives	
# of XCs in the Cooperatives or Associations	
# of Community Members in the Cooperatives or Associations	
Types of Cooperatives:	
Self-Employment	
# of XCs operating own business or partnership	
# of XCs generating income from farming	
Types of Enterprises	
Employment	
# of XCs employed	
Types of Jobs:	
V A	

Professional evaluation of the current state of cooperatives and individual XC's, achievements shown, challenges faced as well as way forward to reach a better level of community reintegration among the XCs:

# **Livelihoods Training Tracking**

			Т	his I	Mon	th							,		To-Date t Caselo			
	State Total # XCs	Total # trainings offered	Total # days training			# XCs ided	Co N	mn Iem	l # of nunity bers nded	XC	s re	ue # ceived ning	XC	s re	total ceived ning	Co M r	mm Iem	ue # lunity bers ived ning
				M	F	Total	M	F	Total	M	F	Total	M	F	Total	M	F	Total
State Name 1																		
State Name 2																		
Etc.																		
TOTAL																		

# **Livelihoods Start-Up Kits Tracking**

	State Total # XCs	Kits Distributed	% Distributed	# Kits Remaining
State Name 1				
State Name 2				
Etc.				
TOTAL				

# ANNEX C: MONTHLY STATISTICAL REPORT (MSR) TEMPLATE

For NDDRC State Reporting & HQ Aggregate Reporting

### **SECTION I: DATA**

1. Summary of Demobilisation Activities (if on a rolling basis)

	N	umber	of Ex-coml	oatants Den	nobilised	I
		Adults		C	hildren	
	Female	Male	Total	Female	Male	Total
Cumulative of previous month						
Sub-Total this month						
Cumulative total						
Target Projected						
% of Achievement						
Total						

2. Summary of Reinsertion and Reintegration Activities (to be updated as DDR programming is further defined)

						Numb	er o	f be	neficia	ries	
	of		ative vious ith			otal onth	Cu	mul Tot	ative al	Total Target	% of achievement
	M	F	Tot	M	F	Tot	M	F	Tot	projected	
DDR Registration											
Vocational Skills Training											
Literacy/Numeracy Training											
Life Skills Training											
Entrepreneurship, Cooperatives, Financial Literacy Training											
Start-up Kits											
Agriculture Extension											
Education Support											
Psychosocial Support											
Medical Services											
Disability Services											
Referral											
Other											

3. Livelihoods Start-Up Kits Tracking

	State Total # XCs	Kits Distributed	% Distributed	# Kits Remaining
State Name 1				
State Name 2				
TOTAL				

4. Transitional Facility Training Tracking (Provided by IPs for each training)

			This Mon	ıth					Project Curren			
	Total # XCs targeted	Total # trainings offered	Total # days training			# XCs ided	XC	s re	ue # ceived ning	XC	s re	total ceived ning
				M	F	Total	M	F	Total	M	F	Total
Training Name 1												
Training Name 2												
TOTAL												

5. State-Based Training Tracking (Provided by IPs for each training)

			Т	his l	Mon	ıth							•		To-Date t Caselo			
	State Total # XCs	Total # trainings offered	Total # days training			# XCs nded	Co M	mm Iem	l # of nunity bers nded	XC:	s re	ue # ceived ning	XC	s re	total ceived ning	Co M r	mm Iem	ue # nunity bers ived ning
				M	F	Total	M	F	Total	M	F	Total	M	F	Total	M	F	Total
State Name 1																		
State Name 2																		
TOTAL																		

# 6. Livelihoods Income Generating Activities (IGA) Status (reference IP monthly reporting)

IGA Status Known (contacted in last 3 months)	
Total XCs contacted	
XCs actively participating in IGAs	
XCs not participating in IGAs	
XCs contacted this month	
Total XCs contacted	
XCs actively participating in IGAs	
XCs not participating in IGAs	
Cooperatives & Associations	
Cooperatives & Associations	
# of Cooperatives or Associations	
# of Registered Cooperatives	
# of XCs in the Cooperatives or Associations	
# of Community Members in the Cooperatives or Associations	
Types of Cooperatives:	
Colf Employment	
Self-Employment # of XCs operating own business or partnership	
# of XCs generating income from farming	
ii of Nos generating income from farming	
Types of Enterprises	
Employment	
# of XCs employed	

# 7. Children Associated with Armed Forces or Groups (CAAF/G)

	Number of beneficiaries						
	Cumulative of previous	Current month		Sub-total	Cumulative	Target projected	% of
	month	Girls	Boys	this month	Total (#)	(#)	achievement
Transit Care/ Family							
Reunified (those back home)							
Education							
Professional training (skills training)							
Income generating activities							
Other (Family based support)							

8. Specialized support for the disabled and handicapped

	Number of Beneficiaries						
	Adults		Children		Sub-total	Target	% of
	Female	Male	Girls	Boys	actual	projected	achievement
Cumulative (all categories)							
Physiotherapy							
Prosthetic cases							
Orthotic cases							
Surgical procedures							
Inpatients							
Outpatients							
Other cases							

9. Women Associated with Armed Forces or Groups (WAAF/G)

	Number of beneficiaries					
	Cumulative of previous month	Current month	Sub- total this month	Cumulative Total	Target projected	% of achievement
Transit Care/ Family						
Reunified (those back home)						
Education						
Professional training (skills training)						
Income generating activities						
Other (Family based support)						

# 10. DDR Community Project Tracking

	# Projects	# Communities	# Community Committees	# Projects	# Projects	# Projects
	Planned	Sensitized	Formed	Contracted	Started	Completed
State Name 1						
State Name						
2						
TOTAL						

#### 11. Financial expenditure information

Total Amounts Spent in USD							
Budget Line Description	Budget Line Amount	Cum. Previous month	This month	Total Expensed	% Remaining		
Total							

12. Additional information on the tables:

#### **SECTION II: ANALYSIS**

### A. Main problems encountered

- a. Demobilisation
- b. Transitional Facility
- c. Reintegration
- d. CAAFG
- e. Disability Services
- f. Medical Services
- g. WAAFG

#### **B. Possible Solutions**

- ${\it C. Professional evaluation of the current reintegration status of the XCs: including both economic and social aspects}$
- D. Outline of activities for next month

# ANNEX D: QUARTERLY PROGRESS REPORT (QPR) TEMPLATE

#### **Executive Summary**

- I. Demobilization Component
  - A. Demobilization of Adult Combatants
  - B. Demobilization of CAAFG
  - C. Linkages with Security Sector Reform Activities
- II. Transitional Facility Component
  - A. General TF Activities
- III. Socio-Economic Reintegration Component
  - A. General Reintegration Activities
  - B. Counseling and Referral
  - C. Reintegration of Special Groups
    - 1. Rehabilitation and Reintegration of the Disabled
    - 2. Specialized Assistance to Children Associated with the Fighting Forces
    - 2. Specialized Assistance to Women Associated with the Fighting Forces
- IV. Other Program Activities
  - A. Information and Sensitization Activities
  - B. HIV/AIDS sensitization and awareness activities
  - C. Regional Activities
    - 1. Information sharing and learning
- V. Program Monitoring and Evaluation
  - A. Studies and other program data source activities
  - B. Findings, Lessons Learned and Program Recommendations
- VI. Financial Management and Procurement
  - A. Expenditure
  - B. Procurement
- VII. Program Management
  - A. Outreach and Partner Coordination
  - B. Implementing Partners and Contractors
  - C. State Offices
- VIII. Work plan for next quarter

#### ANNEX E: GUIDE FOR BENEFICIARY AND COMMUNITY VISITS<sup>1</sup>

Regular reports from M&E visits for this project are primarily focused on the changing status and welfare of the XCs. In some cases there will be elaborate terms of reference and plans for the visits, but in other cases the visits will be less formal and structured.

When assessing the status of the ex-combatants there are two primary areas to explore: social and environmental aspects.

The State level teams will have the most contact with the XCs and will meet most of them at least monthly when they came to collect their payments. It is therefore important that their data collection is not just formal, but also uses less formal occasions, so that it is built into their routine work. This requires a number of techniques that are outlined below:<sup>2</sup>

#### **E.1 OBSERVATION**

When XCs are met, the team should observe the following and take note:

- 1. Do they look happy and well-adjusted as would be the norm in the community that they are staying with?
- 2. Do they look optimistic about their process of settling into the community which they live?
- 3. Are they sober, smart, clean and presentable? If not is there a positive or negative trend since the last visits?
- 4. When visited at the community level, do the XCs living conditions (smartness of their home and surroundings) equal or exceed that of those nearby?
- 5. When visited at the community level, are there any signs that there may be adverse community relations (hostility from neighbours, a lack of warmth in community relations, etc.)?

At the end of each contact, the observer should make a note for the file so that the records are maintained for the benefit of others in the team and from HO. This method is very powerful as it can give clues of possible problems that are emerging at an early stage and enable corrective action to be taken early before a crisis emerges. In the cases of success stories, the early observation enable for them to be shared and best practices to be replicated.

When contact is made with the XCs in the field, whenever possible photos should be taken and shared with other colleagues at the state and national level.

<sup>&</sup>lt;sup>1</sup> Contributed by Integrity Research

<sup>&</sup>lt;sup>2</sup> The manual only summarizes the techniques and focuses on the basic "how to". The M&E Unit will take a lead in building the capacity of other staff in using the techniques and tools and should undertake the required technical training and secure the required background reference materials that can over a period be collected and will form the M&E Reference Library.

### **E.2 FOCUS GROUP DISCUSSIONS (FGDS)**

These are semi structured interviews that are conducted with small groups (ideally four to eight people). Their purpose is to facilitate the collecting responses to a series of predetermined open ended questions.

A group should be met in an informal setting in which they are comfortable and the discussions should ideally not exceed an hour to avoid boredom or fatigue. The approach should be conversational and participatory with all being encouraged to make a contribution to the discussions.

It is a good practice to mobilise the group in advance by having an introductory meeting to enable the group to understand the purpose of the discussions as well as for issues that could hamper effective discussions to be dealt with in advance (e.g. expectations of payment for the discussion, issues of confidentiality, clarifying why and how the discussions will be held, etc.)

Effective FGDs take place when there is a good rapport between the interviewer and the group and a level of trust has been established. If possible, refreshments should be provided (e.g. tea or water).

This technique is very popular with semi-educated or illiterate communities because of the conversational approach which mirrors their normal community discussions. Note taking during the meeting is important to avoid missing out on the rich discussions and ideally the interviewer and note taker should be two separate people. Some groups will not mind being recorded, but if there is some cultural resistance to this (common in a post conflict setting), it should not be done.

The team at the state level will lead this in most cases and with time build a rapport with the groups which will make this tool more effective. In the case where external or non-local staff are using this tool, the state level staff should assist with the engagement, planning, logistics and note taking to enhance the effectiveness of the discussions. They should assist with briefing on local cultural issues and norms to reduce the possibility of misunderstandings.

### ANNEX F: GLOSSARY OF M&E & OPERATIONAL TERMS<sup>3</sup>

**Accountability:** Responsibility for the use of resources and the decisions made, as well as the obligation to demonstrate that work has been done in compliance with agreed-upon rules and standards and to report fairly and accurately on performance results vis- à-vis mandated roles and/ or plans.

**Activity (project):** Actions taken or work performed through which inputs such as funds, technical assistance and other types of resources are deployed to produce specific outputs.

**Assembly area:** this is the facility where ex-combatants are gathered before transfer to the transitional facility where they officially join the DDR program.

**Assumptions:** Hypotheses about how activities and outputs are linked to outcome. Assessing assumptions include looking at risks that could affect the link between the activities and the outcome as well as how they could be mitigated in order to avoid negatively impacting the progress or success of the intervention.

**Attribution:** The acknowledgment of a causal link between observed changes and a specific intervention.

**Audit:** An independent, objective quality assurance activity designed to add value and improve the operations of an organisation. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to assess and improve the effectiveness of risk management, control and governance processes.

**Baseline:** The status of services and outcome-related measures such as knowledge, attitudes, norms, behaviours and conditions before an intervention, against which progress can be assessed or comparisons made.

**Benchmark:** A reference point or standard against which performance or achievements can be assessed.

Note: A benchmark refers to the performance that has been achieved in the recent past by other comparable organisations in similar circumstances (or can be reasonably inferred).

**Beneficiaries:** The individuals, groups or organisations, whether targeted or not, that benefit directly or indirectly from the intervention.

**Case study:** A methodological approach that describes a situation, individual or the like and that typically incorporates data gathering activities (e.g. interviews, observations, questionnaires) at selected sites or programmes/ projects. Case studies are characterised by purposive selection of sites or small samples; the expectation of generalisability is less than that in many other forms of research. The findings are used to report to stakeholders, make recommendations for programme/ project improvement and share lessons learned.

**Conclusions:** Point out the factors of success and failure of the evaluated intervention, with special attention paid to the intended and unintended results and more generally to any other strength or weakness. A conclusion draws on data collection and analysis undertaken through a transparent chain of arguments.

**Data**: Specific quantitative and qualitative information or facts that are collected and analysed.

 $<sup>^3</sup>$  Contributed by Integrity Research - Derived mainly from the OECD/ DAC "Definitions of Key Terms of Results Based Management." Other definitions are derived from the guidelines of UN Agencies (UNDP, FAO & UNAIDS), the World Bank Group, major donors and international development agencies.

**Economic evaluation:** Use applied analytical techniques to identify, measure, value and compare the costs and outcomes of alternative interventions. Types of economic evaluations include costbenefit, cost-effectiveness and cost-efficiency evaluations.

**Effectiveness:** The extent to which a programme/intervention has achieved its objectives under normal conditions in a real-life setting.

**Efficacy:** the extent to which an intervention produces the expected results under ideal conditions in a controlled environment.

**Efficiency:** A measure of how economically inputs (resources such as funds, expertise, time) are converted into results.

**Evaluability:** Extent to which an intervention or programme/intervention can be evaluated in a reliable and credible fashion.

**Evaluation:** The rigorous, scientifically based collection of information about programme/intervention activities, characteristics and outcomes that determine the merit or worth of the programme/intervention.

**Findings:** Factual statements based on evidence from one or more evaluation.

**Formative evaluation:** A type of evaluation intended to improve the performance of a programme or intervention. A formative evaluation is usually undertaken during the design and pre-testing of the intervention or programme, but it can also be conducted early in the implementation phase, particularly if implementation activities are not going as expected.

**Generalisability:** The extent to which findings can be assumed to be true for the entire target population, not just the sample of the population.

**Goal:** A broad statement of a desired, usually longer-term, outcome of a programme/ intervention. Goals express general programme/ intervention intentions and help guide the development of a programme/intervention. Each goal has a set of related, specific objectives that, if met, will collectively permit the achievement of the stated goal.

**Impact:** The long-term, cumulative effect of programmes/ interventions over time on what they ultimately aim to change, such as a change.

Note: Impacts at a population-level are rarely attributable to a single programme/ intervention, but a specific programme/ intervention may, together with other programmes/ interventions, contribute to impacts on a population.

**Impact evaluation:** A type of evaluation that assesses the long-term change, such as economic wellbeing of veterans, as a function of training in entrepreneurship.

**Indicator:** A quantitative or qualitative variable that provides a valid and reliable way to measure achievement, assess performance or reflect changes connected to an intervention.

Note: Single indicators are limited in their utility for understanding programme effects (i.e., what is working or is not working and why?). Indicators can be qualitative or quantitative and can be direct or proxy.

Inputs: The financial, human and material resources used in a programme/intervention.

**Input and output monitoring:** Tracking of information about programme/ intervention inputs (i.e., resources used in the programme/ intervention) and programme/ intervention outputs (i.e., results of the programme/ intervention activities).

Note: Data on inputs and outputs usually exist in programme/ intervention documentation (e.g., activity reports, logs) and client records, which compile information about the time, place, type and amount of services delivered and about the clients receiving the services.

**Internal evaluation:** An evaluation of an intervention conducted by a unit and/or individuals who report to the management of the organisation responsible for the financial support, design and/or implementation of the intervention.

**Intervention:** A specific activity or set of activities intended to bring about change in some aspect(s) of the status of the target population (e.g., HIV risk reduction, improving the quality of service delivery).

**Lessons learned:** Generalisations based on evaluation experiences with programmes, interventions or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design and implementation that affect performance, outcome and impact.

**Logical framework:** Management tool used to improve the design of interventions. It involves identifying strategic elements (inputs, outputs, activities, outcomes, impact) and their causal relationships, indicators and the assumptions of risks that may influence success and failure. It thus facilitates planning, execution and monitoring and evaluation of an intervention.

**Meta-evaluation:** A type of evaluation designed to aggregate findings from a series of evaluations. It can also be used to denote the evaluation of an evaluation to judge its quality and/ or assess the performance of the evaluators.

**Monitoring:** Routine tracking and reporting of priority information about a programme/ project, its inputs and intended outputs, outcomes and impacts.

**M&E plan:** A multi-year implementation strategy for the collection, analysis and use of data needed for programme/ project management and accountability purposes. The plan describes the data needs linked to a specific programme/ project, the M&E activities that need to be undertaken to satisfy the data needs and the specific data collection procedures and tools, the standardised indicators that need to be collected for routine monitoring and regular reporting, the components of the M&E system that need to be implemented, the roles and responsibilities of different organisations/ individuals in their implementation and how data will used for programme/ project management and accountability purposes. The plan indicates resource requirement estimates and outlines a strategy for resource mobilisation.

**M&E work plan:** An annual costed M&E plan that describes the priority M&E activities for the year and the roles and responsibilities of organisations/ individuals for their implementation, the cost of each activity and the funding identified and a timeline for delivery of all products/ outputs. The work plan is used for coordinating M&E activities and assessing progress of M&E implementation throughout the year.

**Objective:** A statement of a desired programme/ intervention result that meets the criteria of being Specific, Measurable, Achievable, Realistic and Time-phased (SMART).

**Operational research:** Systematic and objective assessment of the availability, accessibility, quality and/ or sustainability of services designed to improve service delivery. It assesses only factors that are under the control of programme/ project managers, such as improving the quality of services, increasing training and supervision of staff members and adding new service components.

**Outcome:** Short-term and medium-term effect of an intervention's outputs, such as change in knowledge, attitudes, beliefs, behaviours.

**Outcome evaluation:** A type of evaluation that determines if, and by how much, intervention activities or services achieved their intended outcomes. An outcome evaluation attempts to attribute observed changes to the intervention tested.

Note: An outcome evaluation is methodologically rigorous and generally requires a comparative element in its design, such as a control or comparison group, although it is

possible to use statistical techniques in some instances when control/comparison groups are not available (e.g., for the evaluation of a national programme).

**Outcome monitoring:** Tracking of variables that have been adopted as valid and reliable measures (i.e., indicators) of the desired programme/ intervention outcomes. Outcome monitoring does not infer causality; changes in outcomes may be attributable to multiple factors, not just a specified programme/ intervention.

**Outputs:** The results of programme/ intervention activities; the direct products or deliverables of programme/ intervention activities.

**Performance:** The degree to which an intervention or organisation operates according to specific criteria/ standards/ guidelines or achieves results in accordance with stated goals or plans.

**Process evaluation:** A type of evaluation that focuses on programme/intervention implementation, including, but not limited to access to services, whether services reach the intended population, how services are delivered, client satisfaction and perceptions about needs and services, management practices. In addition, a process evaluation might provide an understanding of cultural, socio-political, legal, and economic contexts that affect implementation of the programme/intervention.

**Programme**: An overarching national or sub-national response to a disease. A programme generally includes a set of interventions marshalled to attain specific global, regional, country, or subnational objectives; involves multiple activities that may cut across sectors, themes and/or geographic areas.

**Programme evaluation**: A study that intends to control a health problem or improve a public health programme or service. The intended benefits of the programme are primarily or exclusively for the study participants or the study participants' community (i.e., the population from which the study participants were sampled); data collected are needed to assess and/ or improve the programme or service, and/ or the health of the study participants or the study participants' community. Knowledge that is generated does not typically extend beyond the population or programme from which data are collected.

**Programme records:** Programme documentation (e.g., activity reports, logs) and client records, which compile information about programme inputs (i.e., resources used in the programme) and programme outputs (i.e., results of the programme activities). Examples include budget and expenditure records, logs of commodities purchased and distributed, client records which compile information about the time, place, type and amount of services delivered and about the clients receiving the services.

**Project:** An intervention designed to achieve specific objectives within specified resources and implementation schedules, often within the framework of a broader programme.

**Qualitative data:** Data collected using qualitative methods, such as interviews, focus groups, observation and key informant interviews. Qualitative data can provide an understanding of social situations and interaction, as well as people's values, perceptions, motivations and reactions. Qualitative data are generally expressed in narrative form, pictures or objects (i.e., not numerically).

Note: The aim of a qualitative study is to provide a complete, detailed description.

**Quality assurance**: Planned and systematic processes concerned with assessing and improving the merit or worth of an intervention or its compliance with given standards.

Note: Examples of quality assurance activities include appraisal, results based management reviews, evaluations.

**Quantitative data:** Data collected using quantitative methods, such as surveys. Quantitative data are measured on a numerical scale, can be analysed using statistical methods and can be displayed using tables, charts, histograms and graphs.

Note: The aim of a quantitative study is to classify features, count them, and construct statistical models in an attempt to explain what is observed.

**Relevance:** The extent to which the objectives, outputs or outcomes of an intervention are consistent with beneficiaries' requirements, organisations' policies, country needs and/ or global priorities.

**Reliability:** Consistency or dependability of data collected through the repeated use of a scientific instrument or a data collection procedure used under the same conditions.

**Research:** A study that intends to generate or contribute to generalisable knowledge to improve public health practice, i.e., the study intends to generate new information that has relevance beyond the population or programme from which data are collected. Research typically attempts to make statements about how the different variables under study, in controlled circumstances, affect one another at a given point in time.

**Results:** The outputs, outcomes or impacts (intended or unintended, positive and/ or negative) of an intervention.

**Results based management (RBM):** A management strategy focusing on performance and achievement of outputs, outcomes and impacts.

**Stakeholder:** A person, group or entity who has a direct or indirect role and interest in the goals or objectives and implementation of a programme/intervention and/or its evaluation.

**Summative evaluation:** A type of evaluation conducted at the end of an intervention (or a phase of that intervention) to determine the extent to which anticipated outcomes were produced. It is designed to provide information about the merit or worth of the intervention.

**Sustainability (of a programme):** The likelihood that political and financial support will last to maintain the programme.

**Target:** The objective a programme/ intervention is working towards, expressed as a measurable value; the desired value for an indicator at a particular point in time.

**Target group:** Specific group of people who are to benefit from the result of the intervention.

**Terms of reference (ToR)(of an evaluation):** Written document presenting the purpose and scope of the evaluation, the methods to be used, the standards against which performance is to be assessed or analyses to be conducted, the resources and time allocated and the reporting requirements.

**Triangulation:** The analysis of data from three or more sources obtained by different methods. Findings can be corroborated, and the weakness or bias of any of the methods or data sources can be compensated for by the strengths of another, thereby increasing the validity and reliability of the results.

**Validity:** The extent to which a measurement or test accurately measures what is intended to be measured.