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Table of Contents

STAKEHOLDER ANALYSIS

What is stakeholder analysis?

Stakeholder analysis is the identification of a project's key stakeholders, an assessment of their interests, and the ways in which these interests affect project riskiness and viability. It is linked to both institutional appraisal and social analysis: drawing on the information deriving from these approaches, but also contributing to the combining of such data in a single framework. Stakeholder analysis contributes to project design through the logical framework, and by helping to identify appropriate forms of stakeholder participation.

Definitions

Stakeholders are people, groups or institutions with interests in a project or program. Primary stakeholders are those ultimately affected, either positively (beneficiaries) or negatively (for example, those involuntarily resettled). Secondary stakeholders are the intermediaries in the aid delivery process. This definition of stakeholders includes both winners and losers, and those involved or excluded from decision-making processes.

Key stakeholders are those who can significantly influence or are important to the success of the project.

Why do stakeholder analysis?

Stakeholder analysis helps administrators and advisors to assess a project environment. More specifically, doing a stakeholder analysis can:

- draw out the interests of stakeholders in relation to the problems which the project is seeking to address (at the identification stage) or the purpose of the project (once it has started).
- identify conflicts of interests between stakeholders,
- help to identify relations between stakeholders which can be built upon, and may enable "coalitions" of project sponsorship, ownership, and cooperation.
- help to assess the appropriate type of participation by different stakeholders, at successive stages of the project cycle.

When should it be done?
Stakeholder analysis should always be done at the beginning of a project, even if it is a quick list of stakeholders and their interests. (Most people do this already, if only informally). Such a list can be used to draw out the main assumptions which are needed if a project is going to be viable, and some of the key risks. Thus, stakeholder analysis will contribute to the drafting of a log frame.

Who should do the analysis?

The tools and exercises outlined below can be used in a participatory fashion, similar to the Project Cycle Management (PCM) approach to log frames. Drawing up lists and diagrams in such a manner can share and clarify information quickly. Certainly, a team approach is likely to be more effective than an individual doing the analysis alone.

How much time should be spent?

The following section describes a basic methodology. The type and scale of the project, and the complexity of the issues, should dictate how much time at any stage of the project cycle should be devoted to the task.

How to do a Stakeholder Analysis?

There are several steps to doing a stakeholder analysis:

I.   draw up a "stakeholder table".
II. do an assessment of each stakeholder's importance to project success and their relative power/influence.
III. identify risks and assumptions which will affect project design and success.

This section outlines the above steps in a little more detail, providing some rules of thumb and checklists.

Stakeholder Tables

To draw up a stakeholder table:

- identify and list all potential stakeholders.
- identify their interests (overt and hidden) in relation to the problems being addressed by a project and its objectives. Note that each stakeholder may have several interests.
- briefly assess the likely impact of the project on each of these interests (positive, negative, or unknown).
- indicate the relative priority which the project should give to each stakeholder in meeting their interests.

Identifying the stakeholders and creating a list

Stakeholders can be listed and categorized in various ways. One starting point is to divide a list into primary and secondary stakeholders. Box 1 provides a quick checklist to help draw up a list.

Primary stakeholders are those people and groups ultimately affected by the project. This includes intended beneficiaries or those negatively affected (for example, those involuntarily resettled). In most projects primary stakeholders will be categorized according to social analysis. Thus, primary stakeholders should often be divided by gender, social or income classes, occupational or service user groups. In many projects, categories of primary stakeholders may overlap (e.g., women and low-income groups; or minor forest users and ethnic minorities).

Secondary stakeholders are intermediaries in the process of delivering aid to primary stakeholders. They can be divided into funding, implementing, monitoring and advocacy organizations, or simply governmental, NGO and private sector organizations. In many projects it will also be necessary to consider key individuals as specific stakeholders (e.g., heads of departments or other agencies, who have personal interests at stake as well as formal institutional objectives). Also note that there may be some informal groups of people who will act as intermediaries. For example, politicians, local leaders, respected persons with social or religious influence.

4

Within some organizations there may be sub-groups which should be considered as stakeholders. For example, public service unions, women employees, specific categories of staff.

Box 1: Checklist for identifying stakeholders

- have all primary and secondary stakeholders been listed?
- have all potential supporters and opponents of the project been identified?
- has gender analysis been used to identify different types of female stakeholders (at both primary and secondary levels)?
- have primary stakeholders been divided into user/occupational groups, or income groups?
- have the interests of vulnerable groups (especially the poor) been identified?
- are there any new primary or secondary stakeholders that are likely to emerge because of the project?

Drawing out stakeholders' interests in relation to the project

The resulting list of stakeholders forms the basis of a tabulation of each stakeholder's interests in the project, and the project's likely impact on them.

Box 2 provides another checklist to help think about the possible interests which a stakeholder has. By going through this checklist, interests for each stakeholder in the initial list can be drawn out.

The likely or actual impact of the project on these interests should also be assessed (only in simple terms). Expected project impacts on various stakeholders' interests can be classified into positive, negative, uncertain, and unknown.

A recent draft stakeholder table for a proposed private sector population project in Pakistan provides an illustration (see example 1). This shows how each stakeholder has several interests. The proposed project will have a positive impact on some of those interests - but not all. The table also identifies the relative priorities to be given to each stakeholder.

Box 2: Checklist for drawing out interests

Interests of all types of stakeholders may be difficult to define, especially if they are "hidden", or in contradiction with the openly stated aims of the organizations or groups involved. A rule of thumb is to relate each stakeholder to either the problems which the project is seeking to address (if at an early stage of the project), or the established objectives of the project (if the project is already under way). Interests may be drawn out by asking:

- what are the stakeholder's expectations of the project?
- what benefits are there likely to be for the stakeholders?
- what resources will the stakeholder wish to commit (or avoid committing) to the project?
- what other interests does the stakeholder have which may conflict with the project?
- how does the stakeholder regard others in the list?

Information on secondary stakeholders should be available from institutional appraisals; information on primary stakeholders should be available from social analyses. Especially in the case of primary stakeholders, many of the interests will have to be defined by the persons with the best "on-the- ground" experience. Double check the interests being ascribed to primary groups, to confirm that they are plausible.

Example 1: Stakeholder table for a proposed private sector population project, Pakistan (simplified and adapted)

Secondary Stakeholder	Interests	Potential project impact	Relative priorities of interest
Ministry of Population Welfare	Achievement of targets Control over funds & activities Avoid liability for any negative reactions to contraceptive promotion	(+) (-) (-)	3
Pharmaceutical companies, & distributers	Sales volume Profits Public image	(+) (+/-) (+/-)	2
ODA	Institutional learning H & population objectives Short-term disbursements Conserving staff inputs Avoid liability for any negative reactions to contraceptive promotion	(+) (+) (-) (?) (-)	2
Primary Stakeholders			
Lower-middle income groups	Reproductive choice Cheaper contraceptives	(+) (-?)	1
Women	Reproductive choice Enhanced health Status	(+) (+) (-/+)	1

External Stakeholders			
Islamic clergy	Social and religious influence	(+/-)	4
Traditional birth attendants	Private incomes	(-)	5

Explanatory note: As a private sector project, the Ministry may perceive a loss of control over resources. Several of the secondary stakeholders with positive interests in the project are wary of the social and religious influence of the clergy on public opinion (and therefore their image). The clergy are identified as a stakeholder group posing potential risks to the project.

Assessing the Influence and "Importance" of Stakeholders

Key stakeholders are those which can significantly influence or are important to the success of the project. Influence refers to how powerful a stakeholder is; "importance" refers to those stakeholders whose problems, needs and interests are the priority - if these "important" stakeholders are not assisted effectively then the project cannot be deemed a "success".

By combining influence and importance using a matrix diagram (see example 2), stakeholders can be classified into different groups, which will help identify assumptions and the risks which need to be managed through project design. Before outlining this matrix, ways of assessing influence and importance are suggested.

Assessing influence

Influence is the power which stakeholders have over a project - to control what decisions are made, facilitate its implementation, or exert influence which affects the project negatively. Influence is perhaps best understood as the extent to which people, groups or organizations (i.e., stakeholders) are able to persuade or coerce others into making decisions and following certain courses of action.

Power may derive from the nature of a stakeholder's organization, or their position in relation to other stakeholders (for example, line ministries which control budgets and other departments). Other forms of influence may be more informal (for example, personal connections to ruling politicians). It may also be necessary to consider stakeholders whose power, and therefore influence, will increase because of resources introduced by the project.

Assessing influence is often difficult and involves interpretation of a range of factors. By way of example, some of the factors that may be involved are illustrated in box 3 below.

Box 3: Variables affecting stakeholders' relative power and influence

Within and between formal organizations	For informal interest groups and primary stakeholders
Legal hierarchy (command and control, budget holders)	Social, economic and political status
Authority of leadership (formal and informal, charisma, political, familial or cadre connections)	Degree of organization, consensus and leadership in the group
Control of strategic resources for the project (eg. suppliers of hardware or other inputs)	Degree of control of strategic resources significant for the project
Possession of specialist knowledge (eg. engineering staff)	Informal influence through links with other stakeholders
Negotiating position (strength in relation to other stakeholders in the project)	Degree of dependence on other stakeholders Assessing importance to project success

Importance indicates the priority given to satisfying stakeholders' needs and interests through the project. Importance is likely to be most obvious when stakeholder interests in a project converge closely.

Importance is distinct from influence. There will often be stakeholders, especially unorganised primary stakeholders, upon which the project places great priority (eg. women, resource poor farmers, slum dwellers, ethnic minorities etc). These stakeholders may have weak capacity to participate in the project, and limited power to influence key decisions. A checklist for assessing "importance" to the project is provided in box 4.

The matrix example overleaf, for a proposed population project, shows that satisfying the interests of women and lower-middle income couples (unorganised primary stakeholders) is of high importance to the success of the project, even though they are weak in terms of their influence (see also the stakeholder table in example 1).

Conversely, the Islamic clergy also appear in this matrix example as a stakeholder group with a high degree of influence on the project, but whose interests are not targeted by the proj

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Box 4: Checklist for assessing which stakeholders are important for project success

When assessing importance to project success, use these "checklist" questions, the answers to which may already be suggested by the information existing in stakeholder tables:

- which problems, affecting which stakeholders, does the project seek to address or alleviate?
- for which stakeholders does the project place a priority on meeting their needs, interests, and expectations?
- which stakeholder interests converge most closely with policy and project objectives?

Combining influence and importance in a matrix diagram

Importance and influence can be combined by using a matrix diagram. This is done by positioning stakeholders in relative terms according to the two broad criteria in a two by two matrix (similar to a graph with vertical and horizontal axes). This exercise in positioning will indicate relative risks posed by specific stakeholders, and the potential coalition of support for the project. These findings will inform project negotiations and design.

Example 2: Matrix classification of stakeholders according to relative influence on, and importance to, a proposed private sector population project, Pakistan

Stakeholders (*) (Secondary)

1. Ministry of Population Welfare
2. Pharmaceutical companies & distributors
3. ODA

(Primary)

4. Lower-middle income groups
5. Women

(External)

6. Islamic clergy
7. Traditional birth attendants

High importance

A *5 *4 *3	B *2 *1
D *7	C *6

Low influence   High influence

Identifying appropriate stakeholder participation

Defining who should participate, in what ways, at what stage of the project cycle, contributes to a well-designed project.

> **Explanatory note: implications of importance / influence analysis of the Pakistan example**
>
> Boxes A, B and C are the key stakeholders of the project - those who can significantly influence the project. The implications of each box are summarized here:
>
> **A.** Stakeholders of high importance to the project, but with low influence. This implies that they will require special initiatives if their interests are to be protected.
> **B.** Stakeholders appearing to have a high degree of influence on the project, who are also of high importance for its success. **C.** Stakeholders with high influence, who can therefore affect the project outcomes, but whose interests are not the target of the project. This conclusion implies that these stakeholders may be a source of significant risk, and they will need careful monitoring and management.
> **D.** Stakeholders in this box, with low influence on, or importance to project objectives may require limited monitoring or evaluation but are of low priority. They are unlikely to be the subject of project activities or management.

Stakeholder analysis can contribute to the process of deciding how the key stakeholders are to be included in the project. Note that "key" refers to high importance, high influence, or both.

The matrix can be drawn up for individual stakeholders in turn, but a summary matrix can also be constructed. A hypothetical summary matrix for the population project is shown below as example 3.

Key stakeholders with high influence and importance to project success are likely to provide the basis of the project "coalition of support" and are potential partners in planning and implementation. In example 3, this coalition of support includes both the Ministry of Population and Welfare and the pharmaceutical companies.

Conversely, key stakeholders with high influence, but with low importance to project success may be "managed" by being consulted or informed. The Islamic clergy are shown in example 3 as one such key stakeholder group.

Example 3: Draft "summary participation matrix" for the proposed private sector population project, Pakistan

Type of participation Stage in cycle	Inform	Consult	Partnership	Control
Identification		Pharmaceutical companies	ODA Ministry of Popn & Welfare	
Planning	Clergy	Women's groups Health NGOs	ODA Ministry of P&W Pharmaceutical companies	
Implementation	ODA	Clergy?	Ministry of P&W Health NGOs Women's groups pharmaceutical companies	TCOs / PIU
Monitoring & Evaluation	ODA	Ministry	Health NGOs Women's groups pharmaceutical companies TCOs / PIU Ministry of P&W	External consultants

Using the Findings of a Stakeholder Analysis

Findings from a stakeholder analysis are already recorded in the tables and matrix diagrams, and the risks and assumptions arising from the analysis should be included in the log frame. In addition, the analysis should have contributed to a participation matrix that is used to explain project design. These records of the analysis are the basis for revision later on in the life of the project. In more concrete terms, the findings of a stakeholder analysis need to be included (with different amounts of detail) into (a) the project concept note and (b) the project document.

Logical Framework Analysis

WHAT IS LOGICAL FRAMEWORK ANALYSIS (LFA)?

A log frame (also known as a Project Framework) is a tool for planning and managing development projects. It looks like a table (or framework) and aims to present information about the key components of a project in a clear, concise, logical and systematic way. The log frame model was developed in the United States and has since been adopted and adapted for use by many other donors, including the Department for International Development (DFID).

A log frame summarises, in a standard format:

• What the project is going to achieve?

• What activities will be carried out to achieve its outputs and purpose?

• What resources (inputs) are required?

• What are the potential problems which could affect the success of the project?

• How the progress and ultimate success of the project will be measured and verified?

WHY USE LFA?

Because most donors prefer it?
LFA can be a useful tool, both in the planning, monitoring and evaluation management of development projects. It is not the only planning tool, and should not be considered an end in itself, but using it encourages the discipline of clear and specific thinking about what the project aims to do and how, and highlighting those aspects upon which success depends.

LFA also provides a handy summary to inform project staff, donors, beneficiaries, and other stakeholders, which can be referred to throughout the lifecycle of the project. LFA should not be set in concrete. As the project circumstances change it will probably need to reflect these changes, but everyone involved will have to be kept informed.

What is so intimidating about using LFA?
Perhaps because we are very conscious of the complexity of development projects, we find it hard to believe that they can be reduced to one or two sides of A4. Remember that the log frame isn't intended to show every detail of the project, nor to limit the scope of the project. It is simply a convenient, logical summary of the key factors of the project.

WHAT DOES LFA MEAN?

Some of the terminology involved in LFA may seem rather intimidating. Do not be put off by the language. Remember that the goal, purpose, outputs and activities are all objectives but at different levels of the project hierarchy. Different donors use slightly different terminology, but the logical frameworks are all the same in principle. You will come across the following terms:

The LFA is a way of describing a project in a logical way so that it is:

• Well designed.
• Described objectively.
• Can be evaluated.
• Clearly structured.

TERM	MEANING	EXAMPLE
Narrative Summary	The goal, purpose, outputs and activities of the project as described in the left-hand column of the logical framework. (the Objectives column)	See below.
Goal	The ultimate result to which your project is contributing - the impact of the project.	Jamaica's dominance of competitive bobsledding.
Purpose	The change that occurs if the project outputs are achieved - the effect of the project.	Jamaica wins the gold medal for bobsledding at the 2002 Winter Olympics.
Outputs	The specifically intended results of the project activities - used as milestones of what has been accomplished at various stages during the life of the project.	Team members selected by (date). Team at full fitness by (date) etc.
Activities	The actual tasks required producing the desired outputs.	Develop training schedule. Find practice venue. Publicity campaign to recruit team member, etc.
Indicators	Also referred to as measurable or objectively verifiable indicators (OVI) quantitative and qualitative ways of measuring progress and whether project outputs; purpose and goal have been achieved.	1. Team members capable of running x metres in x seconds by x time. 2. 4-year training schedule, budget and outcomes developed and agreed by x, etc.
Means of verification	M.O.V is the information or data required to assess progress against indicators and their sources.	1. Fitness report from team doctor. 2. Schedule written and agreed (signed) by coach, team members and team doctor.
Assumptions	Factors external to the project which are likely to influence the work of the project management has little control, and which need to exist to permit progress to the next level in the LFA.	The Jamaican team qualities for the Games. It snows enough for the Games to be held, etc.
Super goal	The long-term results of continued achievement of the goal of the project.	Hot countries seen as serious competitors in winter sports.
Inputs	What materials, equipment, financial and human resources are needed to carry out the activities of the project?	Funding, Coach, Bobsled, Snow, Medical Advisor, etc.

WHO SHOULD BE INVOLVED?

The reality of funding proposals and completing log frames usually means a desk officer in the UK trying to summarise a project outline for a funding application. However, if used correctly as a planning tool, LFA ought to be developed first by, or working closely with the person most closely involved in project implementation who will most likely be your project co-ordinator or partner organisation overseas. The project detail can be more easily developed from the log frame than the other way round.

Writing log frames in the UK is not participatory, which has led to criticism of the log frame as a planning tool. Ideally it should be produced 'in country' so that during the planning stage participatory approaches can be used to feed into the log frame as it is developed. Whilst project beneficiaries may not identify easily with the concept of LFA, they may be able to identify the factors that are critical to project success, as well as the most appropriate indicators of progress. In this way, participatory techniques can be used to inform LFA.

The log frame can also provide a guide as to what information needs to be gathered through participatory processes and can be enhanced by combining the outcomes of other planning tools, such as social mapping, wealth ranking, and problem and objective trees.

If the log frame has to be written, adapted or changed in the UK, it is important to feed the detail back to fieldworkers, partners and other relevant stakeholders overseas. The input to a log frame should be a team effort, as much as possible.

If you are not the person closest to the project, it is important to engage that person in developing the log frame.
Always consider:
- What impact the objectives & indicators will have on their work.
- What is realistically achievable?
- Will they have enough time to collect the information you are asking for?
- Are the assumptions realistic to them? Are you fully aware of their working conditions?

WHAT DO I NEED TO PRODUCE A LOGICAL FRAMEWORK?

- Supply of large sheets of paper, (preferably flip chart sheets).
- Pencil, eraser and 'post-it' notes or cards, so you can adjust and amend as you go along.
- Somewhere to work without distractions.
- Ideally, someone to discuss and 'bounce' ideas around with.
- As much information about the planned project as possible - preferably do it 'on site'.

NOW, WHERE DO I NEED TO START?

Many people find it useful to start by developing a Problem Tree. Try to identify what is the real problem the project is to tackle and write it in the middle of a sheet of paper. Then consider the direct causes of the problem and write them in a horizontal line below the problem.

Next, repeat the process for each of those on another horizontal line and continue to repeat as necessary.

All the statements must be written in negative terms. This will give you a problem tree in which a cause-and-effect relationship operates from the bottom to the top. You may also find it useful to work upwards from the original problem, identifying its effect etc.

Then changing the wording of each item into positive terms will change the Problem Tree into an Objective Tree. Next, decide whether the original problem is still going to be the main focus (or goal) of the project. This may now be higher or lower on the Objective Tree.

Having made that decision, the purpose, outputs and activities should be present in the next three horizontal lines of the Objective Tree. It will probably be necessary to decide what to include at this stage, as the project has to be of a manageable size.
(See Figure 1 below: A Logical Framework - DFID model)

The key to completing log frames is to use the
information generated in the Objective Tree and:

- **Start at the top and work down**
  The objectives column - what is the project going to achieve?

- **Then think laterally**
  How can the progress of the project be measured against its objectives?

- **Then reflect back up**
  What assumptions are to be included and what are their implications?

Figure 1: A Logical Framework (DFID model)
Taken from DFID's "Guidelines on Humanitarian Assistance", May 1997

Objectives	Measurable indicators	Means of verification	Important assumptions
GOAL: *Wider problem the project will help to resolve*	*Quantitative ways of measuring or qualitative ways of judging timed achievement of goal*	*Cost-effective methods and sources to quantify or assess indicators*	*(Goal to supergoal)* *External factors necessary to sustain objectives in the long run*
PURPOSE: *The immediate impact on the project area or target group i.e. the change or benefit to be achieved by the project*	*Quantitative ways of measuring or qualitative ways of judging timed achievement of purpose*	*Cost-effective methods and sources to quantify or assess indicators*	*(Purpose to Goal)* *External conditions necessary if achieved project purpose is to contribute to reaching project goal*
OUTPUTS: *These are the specifically deliverable results expected from the project to attain the purpose*	*Quantitative ways of measuring or qualitative ways of judging timed production of outputs*	*Cost-effective methods and sources to quantify or assess indicators*	*(Outputs to purpose)* *Factors out of project control which, if present, could restrict progress from outputs to achieving project purpose*
ACTIVITIES: *These are the tasks to be done to produce the outputs*	**INPUTS:** This is a summary of the project budget	Financial out-turn report as agreed in grant agreement	*(Activity to output)* *Factors out of project control which, if present, could restrict progress from activities to achieving outputs*

DFID describes the Logical Framework as "a tool to help designers of projects think logically about what the project is trying to achieve (the purpose), what things the project needs to do to bring that about (the outputs) and what needs to be done to produce these outputs (the activities). The purpose of the project from the DFID viewpoint is to serve our higher level objectives (the goal)".

NOTE: The two boxes in the centre of the "Activities" row are not used for Measurable Indicators and Means Of Verification as the progress and success of the Activities are measured at the Outputs level. Remember, the Activities are carried out to achieve the Outputs. These "spare" boxes can therefore be used to provide any useful additional information such as Inputs and Budgeting requirements.

THREE STAGES TO SUCCESS:

STAGE ONE -TOP DOWN (OBJECTIVES)

STAGE TWO - WORK ACROSS (MEASURABLE INDICATORS AND MEANS OF VERIFICATION)

STAGE THREE - BOTTOM UP (ASSUMPTIONS)

STAGE ONE - TOP DOWN (OBJECTIVES)

1. GOAL

Starting at the top and using the information from the Objective Tree consider the overall goal of the project. What issue or problem is the project trying to address? The goal may be beyond the reach of this project on its own. What ultimate objective is the project contributing to? This should be a brief statement or summary.

Example
To increase literacy among young people in the sub- Sahel region.

2. PURPOSE

What final result are you trying to achieve? This is the purpose of the project.
This should be clear and brief.

Example
School **attendance and** literary skills of 6-14 year olds in (named region) of the sub-Sahel is increased.

3. OUTPUTS

What are the particular outputs needed to achieve the Purpose of the project? There may be several outputs.

Example
'Five new language teachers recruited and trained.' 'Classes running in all schools at times when children are not required to complete family duties'. 'Information sessions for families with school age children held in each village demonstrating benefits of literacy.'

4. ACTIVITIES

List the activities which are needed to achieve these outputs. There may be several for each output.

Statements should be brief and with an emphasis on action words.

Example

'Hold publicity campaign in (named region) to recruit language teachers by (date)'. 'Agree and arrange selection process & schedule for teacher recruitment involving existing teaching staff'. 'Hold training sessions for new teachers covering aims, approach, customs, potential problems holding information sessions, record-keeping, expenses'. 'Arrange appropriate accommodation for teachers in each village at least before arrival'. 'Plan and hold meetings in each village for families with school age children to demonstrate the benefits of literacy' etc.

5. INPUTS

When required to do so provide additional information, such as the inputs which are needed to carry out these activities. Again, there may be several for each activity and it will help to run through each individually, listing required inputs (resources, equipment, tools, people). Group the inputs and list each once rather than repeatedly. This may include a summary of the project budget.

Example

Budget, Training space, Accommodation, Support for existing teaching staff, Teaching materials, Transport to village, Project Co-ordinator / Fieldworker etc.

STAGE TWO - WORK ACROSS (MEASURABLE INDICATORS AND MEANS OF VERIFICATION)

As you work down each step of your objectives, think:

- How the outputs and activities can be measured.
- What indicators can be used to measure achievement against?
- What information will be needed, and how it can be gathered?
- What problems, obstacles or barriers might arise to prevent the project from progressing as planned?
- How can their impact be minimized?

6. INDICATORS

Starting either from the top or the bottom of your hierarchy of objectives, begin to work across the log frame, identifying the indicators for measuring your progress. Indicators need to define 'QQT', Quality, Quantity and Timing:

> **Q**uality   - The kind (or nature) of thechange.
> **Q**uantity - The scope (extent) of the change ie. by how much, howmany.
> **T**iming   - By when the change shouldhave taken place.

There are two kinds of indicators you will need to use:

Process indicators

Which measure the extent to which you haveachieved your stated objectives.

Example

How many children attend school by (specified) time.

Impact indicators

Which helps to monitor the achievement and the impact of your work.

Example

How many children pass (specified) literacy test at (specified) time.

In addition, indicators can also be:

Direct Example

The Number of children attending school.

Indirect (also known as soft or proxy).

Example

More books borrowed from the school library - suggesting more children reading, therefore wider literacy.

Examples

Using Indicators at the Purpose level:

School attendance of 6–14-year-olds is increased by 200 per cent within 4 years. 90 per cent 6-14 years olds (in named region) of the sub-Sahel to have gained (particular level) of literacy skills within 4 years.

Using Indicators at the Outputs Level:

Five language teachers recruited and trained by (date). At least two classes running in all schools at times when children are not required to complete family duties by (date). At least three information sessions for families with school-age children held in each village demonstrating benefits of literacy by (date).

7. INFORMATION SOURCES

Next, try and work out your means of verification for each indicator. **What information will you need, and how and from where can it be gathered?**

Will project staff or others need to keep records, or can they get the information from somewhere else?
Consider the cost implications, if any, and build this into the project budget.

Don't exclude anecdotal evidence (eg. views expressed by project beneficiaries, etc) if this is the most appropriate source of information but remember that donors can be wary of this evidence, and it may later be necessary to demonstrate your claims!

> **Note:**
> **If you are confused about indicators - don't panic!** *Identifying indicators requires some practice.* **Try to find a mentor with more experience who can advise you.** *Or move on to look at means of verification - thinking about what information you need, and how to get it, may help to define what the indicator should be. If you come up with a long list of possible indicators try to narrow it down to the essential ones.*

STAGE THREE - BOTTOM UP (ASSUMPTIONS)

8. EXTERNAL FACTORS

What external factors (outside your control) could affect the success of your project or prevent work from progressing? These may be climatic, political, economic, etc. but should be real (possible)
risks rather than a list of everything that could go wrong.

Reflecting up from the bottom of your log frame, consider how, if each assumption holds, it will be possible to move to the next stage of the project.

Example
There is sufficient rain to ensure that children are not required to replant crops and therefore unable to attend school.

And/or, Sufficient teachers with knowledge of local dialect are recruited.
And/or, Conflict from neighboring region doesn't spread into local area so that emergency needs take precedence over education.

9. DOUBLE CHECK

Following completion of your log frame, **go over it, from bottom to top, to check the logic of it:**
• Will the inputs and activities clearly lead to the outputs required to achieve the purpose and contribute to the goal?

• Will the indicators and means of verification effectively measure the progress of the project?

• Are the assumptions reasonable or do they indicate a level of risk, which suggests that the project is unlikely to get off the ground or be completed? (The killer assumption)

• Is the project staff committed to the objectives and indicators identified and see them as realistic and achievable?

• Are there any changes, which could be made which will make the project it more practical and workable?

10. WRITE IT UP

When the log frame has been checked (and rechecked) and it is truly logical, and representative of the project, type (or write) it up onto A4 sheets.

At this point **all the relevant stakeholders should have had a chance to contribute to (and agree) the completed log frame.**

11. STAYING INFORMED

And still you haven't finished; remember that LFA is a flexible tool for planning, managing, monitoring, and reporting your project. **As the project progresses and situations change, return to the log frame, and revise it accordingly.** Agree these changes with the donor and other stakeholders and **keep everyone informed so that they are able to keep up to date with the current progress of the project and its future direction.**

Monitoring and Evaluation Basics

Monitoring Vs Evaluation

To put in simple words, monitoring is to see "what we are doing" whereas evaluation is to assess "what we have done". Some of the distinctions between M&E are given in the matrix below.

Monitoring	Evaluation
- Systematically tracks down the key elements in the performance of a given program/project - Focuses on activities and outputs - Generally an internal activity - Systematic activity - Is more frequent, basis of evaluation	- Sequential valorization of change in the results proposed that may be attributed tothe program/project - Focuses on outcomes and impacts - Generally an external activity - Episodic activity, not very frequent - Requires more resources and time

M&E levels

As is clear from the above matrix, monitoring is a routine day-to-day activity of assessment of project progress whereas evaluation is the episodic assessment of overall achievement. With respect to the logic, the M&E levels are given in the matrix below:

Impact	Evaluation
Outcomes	
Outputs	Monitoring
Process	
Inputs	

Or to say, with respect to the Logical Framework, the top two rows are the domain of evaluation whereas the bottom two rows are the domain of evaluation.

Goal	**Evaluation**
Objective	
Outputs	**Monitoring**
Activities & inputs	

Thus, the major M&E levels are:
- Inputs
- Activities
- Outputs
- Outcomes
- Impacts

Monitoring typologies

Monitoring generally is a task that is undertaken by the 'doers' or the project implementers themselves. Therefore, monitoring is inherently Internal monitoring. Sometimes, projects may involve parties external to the project for facilitating the monitoring functions. This is classified as **external monitoring**.

Another way to look at monitoring is based on who all are involved in the monitoring process. If the project implementers restrict the monitoring process all to themselves, it is non-participatory monitoring. The communities here just remain mere information providers and have no role in analyzing the information and providing inputs for project implementation. When functional participation of not only the communities but other stakeholders of the project is also solicited in the monitoring process, it is **participatory monitoring.**

Evaluation typologies

As monitoring is inherently an internal activity, evaluation is an external activity usually done by those external (individuals/agencies/institutions) to the project. Generally speaking, evaluation is **external evaluation**. However, the project implementers may undertake evaluation all by themselves. In such a case evaluation is **internal evaluation.**

Evaluation per se is a less frequent activity generally undertaken at completion of a project for assessment of attainment of objectives. This is the **post-project or post-facto evaluation.** For a longer duration project, it may be required that the status of achievement is assessed half-way through the project. If so, a mid-term evaluation is undertaken. Another scenario would be when on a more regular basis it is thought necessary to assess the achievement of objectives. Then, it is also possible to assess outcomes and impacts on a yearly or six-monthly basis. This is the time series design of evaluation commonly known as **concurrent evaluation.**

To relate the achievement of objectives and goals directly to the project, it may also be necessary to compare the status in the project area with an identical non-project area. The non-project areas selected for such a comparison would form the control group and the project villages would be the experiment group. This kind of evaluation design is called **control-experiment design**. It can then be concurrent, mid-term of post-facto and similarly internal or external.

Indicators

Central to M&E are the indicators therefore the first step for designing a monitoring system or evaluation is the development of indicators. Indicators are units of information measure over time that documents change in specific conditions. With respect to the various M&E levels specific indicators need to be developed. Thus, there would be different sets of indicators for goals, different for objectives and outputs and activities. Also, for one level there can be more than one indicator.

Based on the nature of information that a particular indicator relates to; it can be **Quantitative or Qualitative**. Those dealing with information that can be expressed in numbers are quantitative indicators; and those dealing with information units expressed in any form other than numbers viz. statements are qualitative indicators. Thus, income measured in absolute numbers, let's say measured in rupees is a quantitative indicator. But, if the same information is collected as income levels of High, Medium, and Low, the indicators would be qualitative indicators.

SMART and SPICED Indicators

There are two schools of thoughts when it comes to indicators. One advocates the use of quantitative indicators and wants the indicators to be SMART. While the other school of thought advocates qualitative indicators and wants the indicators to be SPICED. The SMART and SPICED are given in the matrix below.

SMART	SPICED
▪ Specific ▪ Measurable ▪ Attainable ▪ Realistic ▪ Time-bound	▪ Subjective ▪ Participatory ▪ Interpreted & communicable ▪ Cross-checked & compared ▪ Empowering ▪ Diverse and disaggregated

Designing indicators

Be it SMART or SPICED, an indicator has to document change and therefore any indicator finalized should essentially be able to capture change in the condition that being assessed using the indicator. A good indicator would therefore be:

- Simple: As all the good things in the world are
- Measurable: would provide a metre for depicting change
- Precise: Defined in the same way by all
- Consistent: would measure the same thing and would not change over time
- Sensitive: Would be able to capture the smallest amount of change in the target condition

For designing indicators, the first step is to brainstorm for identifying candidate indicators for a specific condition. Once we have listed several indicators for a given specific condition, the next step is to assessment of each of the indicator with respect to the characteristics of a good indicator. So, we see whether the candidate indicator is simple, measurable, precise, consistent and sensitive or not. Candidate indicators that satisfy the criteria can then be taken as the indicators for assessment of that particular condition. We can also modify the candidate indicators till they are in tune with the characteristics of a good indicator.

DEVELOPING MONITORING PLAN

The Monitoring Plan

Monitoring is not a one-time activity but an on-going process. It requires collection of information from varied places, at varied times in different forms, from different people and by different people. Therefore, it makes sense in organizing all the monitoring efforts. A written document detailing and integrating all these at one place would tremendously facilitate monitoring efforts in a project. This as well would facilitate optimization of human and financial resources allocated for the monitoring process.

Monitoring plan is an outline for the steps you will undertake to ensure that the project is on track. It lists a project's audience, their information needs, the strategies that will be used for data collection, the indicators, the methods that will be used to collect data, and when, by whom, and where data will be collected.

A monitoring plan brings in one place all the aspects of monitoring in a project. It details the monitoring indicators, their periodicity, method of information collection, from where the information is collected and by whom the information in collected.

Developing the Monitoring Plan

The process of developing a monitoring plan is essentially finalizing indicators for various M&E levels, assigning periodicity to the indicators, finalizing method of assessment, defining the source location, and assigning responsibility for getting the information. These are thus the components of a monitoring plan. Upon finalization, a monitoring plan would be something like that shown in the matrix below.

What (indicator)	When (periodicity)	How (method)	Where (location)	Who (responsibility)
1.				
2.				
3.				
4.				
5.				

What to assess?

The decisions of what to monitor are essentially the decisions of finalization of the indicators. We have already discussed the process of developing good indicators. We will here use the indicators agreed upon for the various M&E levels.

When to assess?

The next question to answer for each of the information unit is, how frequently the assessment is going to be. This is the frequency or periodicity of the indicator. Periodicity of a particular indicator would be decided by the nature of the information unit and how frequently the specific attribute would change in the pro

How to assess?

Once we have decided what to assess and how frequently the assessment must take place, we move to finalizing the method of assessment. There can be a number of ways in which a measurement can be taken. Out of these several methods available, we have to select what is best suited for the project. Few of the things that need be kept in mind while arriving at the best possible method are:

Reliability & Accuracy: Reliability in measurement context relates with repeatedness. Will the method lead to the same results when the process is repeated again? Whereas, accuracy refers to how close the measurement results would be to the actual value.

Capabilities: The next critical question in selecting an appropriate method is to keep in mind the capabilities, both personnel as well as technological capabilities available with the project.

Cost-effective: And finally, we have to see, what kind of cost-implications the selected method is going to have on the project. The idea is to optimize resources and therefore, a method that builds on the human resources and capabilities of the project as well is cost-effective has to be chosen for assessment of a specific information element.

Where to assess?

Here we specify from what particular location the information is to be collected. Based on the indicators there would be different sources like villages, training centres, project offices, other department offices etc. For each of the indicators we specify this.

Who will assess?

We now assign the responsibility to specific personnel for fetching this piece of information on a regular basis. The responsibility of the person in question would be for gathering the required information from the specific location at the decided periodicity. It also makes sense to assign responsibilities for supervising or overseeing data collection.

Designing monitoring reports

Once we have finalized the monitoring plan, the next step is to design various Monitoring reports. A well-designed monitoring plan can very easily be translated into various reports that the monitoring plan would require.

The first step in designing reports is to club all indicators that are to be assessed at one place. Next, segregate all indicators from this list, the one having same periodicity.

Transpose the rows to columns……you have the monitoring reports ready….

Implementing the Monitoring Plan

We now have the monitoring plan ready for implementation. For implementation of the monitoring plan, the first step is to orient the monitoring teams to the project framework in general and monitoring framework in particular. A training workshop or workshops of all those concerned with monitoring (those collecting information at all levels and those overseeing information collection) may first be organized. During the workshops, shared understanding of the M&E system and monitoring plan has to be developed among the monitoring teams. During these workshops, the understanding of the various periodic reports and method of information collection also has to be developed. A pilot round of the entire information collection process can greatly contribute towards having an efficient and effective monitoring system. This will ensure common understanding and therefore bring in uniformity in the monitoring process.

Once the monitoring system is 'rolled-out' trouble shooting and streamlining would be the next step. Field data collection may also require some hand-holding support. Further, there may be modifications alterations in information collection methods or even some of the reports need be modified. Once, the final system is in place and continuously providing information as desired, we can start analyzing the monitoring information.

The Evaluation Process

Evaluation is essentially an external process where we try to assess attainment in objective and the impact. Presented here is a snapshot of the sequential steps of the evaluation process.

Finalizing the question

The first step in evaluation is to finalize the evaluation question, also called as the evaluation hypothesis. This is the question that we try to find answer to during evaluation. In project context, evaluation per se has to answer two questions, these are:

1. Whether the project objective has been achieved? and
2. Whether the objective has been achieved because of the project activities?

The second question is equally important as any project would not function in an isolated environment and there would be other projects/schemes/agencies working with similar objectives. Also, people by themselves would strive for a better state of well-being and living. Therefore it is very important to attribute the achievement of objective to the project activities and hence the importance of the second question. During the process of evaluation we would try to find answer to these two questions.

Defining Population

The next step in the evaluation process is to define the target group with whom we would ask the evaluation question. This is defining the population. We have to clearly state who would be the target group for our enquiry. Whether they would be individuals, households, specific institutional members etc. This is also important as the project has been designed to focus on a particular target audience and this only would form the population for enquiry.

Methodology

Next step is to crystallize the methodology for evaluation or simply put how we are going to conduct the enquiry. There are basic things that need to be detailed with respect to sampling. These are:

- **Sampling:** First of all, we have to define, who all we are going to ask the question? We are working over a large target population, and it is just not possible as well as rational to ask the question to all the target group. Also, because, similar results can be achieved by looking at a small representative proportion of the population. This is called sampling. We have to first define how we are going to take out a small proportion of the entire population that is representative of the population. There are various methods for sampling that would help us in doing so. However detailed sampling protocols are beyond the scope of this manual. Simple random, systematic random, stratified random, multi-stage, cluster, key-informant, snowball, chain and quota sampling are the sampling methods available to us and we have to select the most appropriate for our evaluation.

- **Instruments:** Once we know who we are going to ask the question, we now move on to define 'how' we are going to ask the question. Or what would be the tool for helping us in answering the question. There can be various methods for asking the question and we may use one or more tools. Schedules (structured, semi-structured, unstructured), questionnaire, checklist, indepth interview, focus group discussion, case study, observation (participant and non-participant) and the whole range of PRA methods are available to us. Here also we have to select most appropriate tools for evaluation.

- **Analysis**: Once we know who we are asking the question and how we are asking the question, we have to detail how we are going to analyse the responses so that my evaluation question is answered. Usually, analysis is looked at as a process that is taken up after the necessary data has been collected. However, the same is not true. We have to be very clear at the very beginning how we are going to analyze the information data collected. We would here define what kind of tables we are going to have, what statistics we are going to calculate and how we are going to interpret them.

Testing of instruments & finalization

After finalization of the methodology, we would have draft instruments with us, be it a schedule or a questionnaire or a checklist. We would develop this on the basis of our understanding and matching the need for answering the research question. But we have to be very sure that the questions we are asking will lead us to the desired responses and these responses will come in the desired fashion so that the panned analysis is taken up. For this we pre-test the instruments. We administer the instrument over a small population and see there we are having the right responses in the right manner. We may have to modify, add a few questions, and delete a few questions after testing.

Briefing of field teams

As we would be conducting evaluation over a large population that is also geographically dispersed, we would require more people for administering the tools to the sample population. For this we constitute a team of 'investigators' or 'researchers' who actually go and collect the data by administering the tools. However, a common understanding of the team is necessary so that they have a perspective of evaluation, the questions are asked in the right manner and responses are recorded in the right fashion. For this we have a briefing of the team. We share the entire evaluation process with them and specifically provide clarity on the research instruments. Each of the questions in the instrument is discussed and the method of recording is elaborated. We also do a pilot run with the team and provide feedback.

Field work

After the briefing, the teams do the actual data collection. A field plan is developed detailing various places and timelines for data collection.

Supervision and quality control

The most critical part during field work or actual data collection is supervision and quality control. It is the quality of the data collected that ensures quality of the evaluation. Or as the saying is 'garbage in-garbage out'. Therefore, supervision of the filed teams to ensure quality data is very critical. This can be achieved by having team leaders or supervisors in smaller teams or to say over 4-5 investigators. The role of the supervisor is to see that proper sampling protocols are adhered to, questions are asked in the right manner and the responses are recorded in the appropriate fashion.

Scrutiny, cleaning, and post coding

Once all the fieldwork is completed the filled tools are scrutinized. There may also be a requirement of data cleaning so as to make it ready for analysis. Similarly, we may have asked a few open- ended questions and would now like to code them. This all would make the data in the right shape so that it can be compiled or collated for analysis.

Data entry

The clean data would now be collated so that analysis can be done on the data. We may use software like MS Excel for entering data or do a customized data entry programme for entering data like CS Pro. There can be errors or omissions during data entry there for it is important to build checks so that these errors do not happen as they all have implications on analysis.

Data analysis

Upon data entry, we perform the analyses that we have decided during finalization of methodology. We tabulate data, cross-tabulate, do statistical analyses and then interpret these analyses thereby answering the evaluation question.

Writing the report

After analysis, we write the report that details the context, methodology, findings, and the inferences. Upon writing the same is communicated to various stakeholders.

Theory of Change Basics

Just as life has a deeper meaning or purpose, each project, too, has an underlying logic and rationale of change guiding it. Decoding this landscape of change to understand 'why we are doing what we are doing' is the crux of the theory of change. We can say, Theory of Change (ToC) is an explicit articulation of what change is sought to be achieved and how it is to be affected through the project intervention. It forms the roadmap to the envisioned change, highlighting the necessary and sufficient conditions required for ushering in the change in a given context. Although the theory of change has been variously known as 'impact pathways', 'logic model', and 'results framework', what is common to all these models and frameworks is that they represent the pathways of change based on sound cause-effect logic.

The theory of change is a conceptual map of the terrain of change on which the project is located, providing a pathway or direction of causality of how the project is to lead to the changes desired. A well-articulated theory of change helps us in identifying the roadmap of change, clarifying its assumptions and claims, and making explicit the chain of causality from inputs to outputs to outcome and finally impact. In doing so, it helps us capture the multiple layers of changes, teasing out the interconnectedness of how inputs, outputs, outcome, and impact are related in a comprehensive logic of change.

In other words, the foundation of any well-designed project is a robust and thoroughly developed theory of change, one that systematically unpacks the multi-dimensional nature of change over the project cycle.

To develop the theory of change, we need to first try and deconstruct what is known as the 'system model'. A system is guided primarily by the logic that an input, when put through a process, results in an output. For example, when peeled oranges (input) are put in a juicer (process), we get fresh juice (output) to drink. The logic in operation here is nothing but an if-and-then relationship. That is to say, only if we put oranges in a juicer, can we then get fresh orange juice to drink. This if-and-then logic is nothing but a means-to-an-end relation or cause-and-effect connection between the system components. So what implications does this system model have for projects?

Every project, we know, has its own rationale of intervention—one that clearly addresses the nuts-and-bolts of the problem of 'what', 'when', 'how', 'who' and 'where'. The clearer a project is about the logic of change underpinning its project activities or processes, the better it is able to deliver the results or achieve the objective it has in mind.

> *The cornerstone or mainframe of the theory of change is what we call as the 'results chain' and relates to the domain of 'output', 'outcome' and 'impact'. The results chain refers to the progressive trajectory or pathway of change guiding a project's progress.*

In dynamic development contexts, the mechanical system model does not follow the unilinear process of inputs translating directly into outputs. Here, we see that outputs further lead to results, and there is, therefore, a hierarchy of results. The first level of result is what we call as outputs, the second level of result is what is known as outcome or objective, and the third level of result is the final impact.

The hierarchy of change in the results chain is as given below:

INPUTS	PROCESS	OUTPUTS	OUTCOME	IMPACT
Use	Do	Deliver	Achieve	Contribute
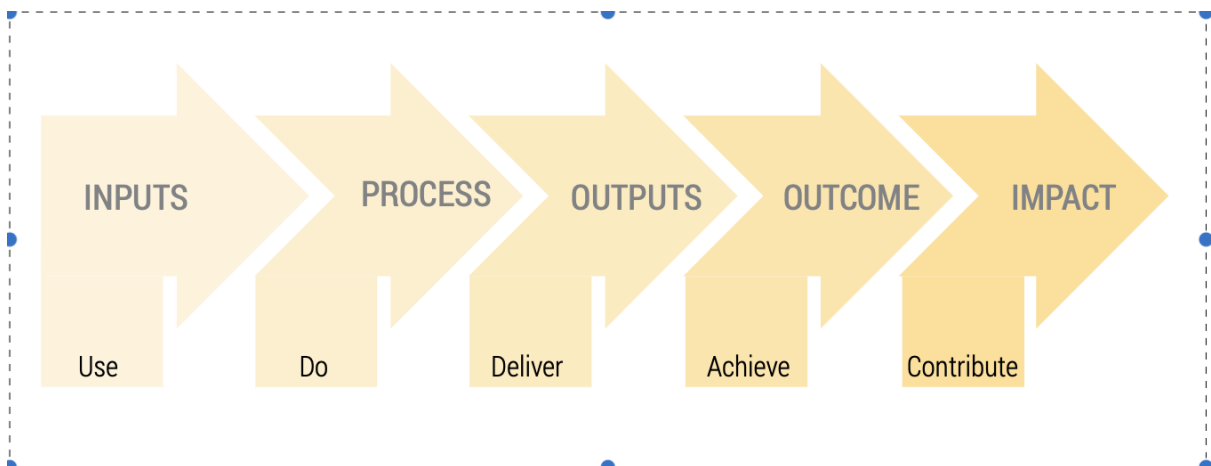
Thus, we can see the graded nature of change, helping us to track the progress of a project from more immediate results (outputs) to a result more proximate to the achievement of the objective (outcome or intermediate results) and finally to a long-lasting result or goal (impact).

Being a live representation of what the organization sets out to do in a project, this chain of results covers the domain of inputs or 'use' of resources, the gamut of activities or the process of what we 'do', the array of outputs or results which we 'deliver', the outcome or objective which we 'achieve' and the larger impact or goal towards which we 'contribute'. Moreover, there is an if-then logic guiding these hierarchies, i.e., from inputs to outputs to outcome and lastly impact.

Further, to clarify:
Inputs are the resources that we use in the project
Processes are the activities that we implement in the project
Outputs are the immediate effect of the activities implemented (and not the completed activities) in a project and form the deliverables of the project.
Outcome is the project objective to be achieved and can be understood as the inverted image of the core problem
Impact is the goal to be contributed or the long-term, macro-level objective of the project

Governing the interrelationships between inputs, outputs, outcome and impact are a number of assumptions or enabling pre-conditions that are necessary for the delivery of project results and the achievement of the project objective. They provide the necessary, if not, sufficient preconditions without which the project cannot hope to achieve its results. These assumptions are the causal inferences that govern the change processes in a project and lay the groundwork based on which correlations between the results chain of inputs, outputs, outcome and impact is sought to be made explicit.

Although generic in character, this framework can be fine-tuned to understand and unpack the non-linear, multi-contextual and multi-layered nature of change that defines and determines the landscape of a project. In general, it captures the project's broad canvas of change in one sweep, while in particular shedding light on the casual relationship various levels of change termed as outputs, outcome and impact.

The figure below illustrates a theory of change.

Activities undertaken

Engagement with Communities, Media and MLAs *(Action by us)*

- MLAs demand higher resource allocations for tribals and Dalits
- Media covers budget issues periodcally
- Preparation and submission of citizens' charter of demand

- Producing budget briefs for MLAs
- Research and analysis for examining allocations and expenditure
- Networking and advocacy with other organisations

Outputs delivered

- Community demands are incorporated in local planning and budgeting
- Increase in resource allocations for social sector, particularly in health and education
- Pre-budget consultations with civil society and citizens are institutionalised

Outcome achieved

- Tribals and Dalits have adequate access to primary healthcare and education

Contribution to impact

- Improved quality of life

Legend:
- Action by us
- Action by partners and stakeholders
- Actions by us to influence the actions of our partners/stakeholders

Activity to output assumptions

- ▶ Civil society, media and legislators would utilise knowledge products and budgetary information for advocacy
- ▶ Key influencers in government and civil society would participate in the activities undertaken
- ▶ Sufficient time is allocated for budget discussions in the state assembly and the budget proceedings are not disrupted or adjourned

Output to outcome assumptions

- ▶ Health and education continue to be the focus of state-led service delivery initiatives
- ▶ There is no siphoning of funds from those allocated
- ▶ Sufficient health and education frontline providers have been employed by the state and there are no posts vacant in schools and hospitals

Looking at this ToC, we can see that a clearly articulated theory of change is one that teases out the interactions and disentangles the complex links in the causal chain of results. It is also one where casual inferences or assumptions in the results chain are detailed minutely.

Lastly, such a ToC ensures the full accountability of the implementer for the results to be delivered in the project. By adhering to the principle of "say what you do and do what you say", a theory of change becomes a yardstick to measure organizational commitment to being the engine of change.

Thus, the theory of change is a management tool to steer change processes within a project towards the delivery of its results and the achievement of its objective. In other words, it seeks to engineer the performance of the project vis-à-vis the changes sought, providing a trajectory of how the project is to realize its stated purpose.

Area of Control and Sphere of Influence in the Results Hierarchy

In a project, we have full control over the resources or inputs that we deploy as well as the activities we plan to carry out. Therefore, it follows that we also have control over the outputs that we deliver. However, as we move along the results chain to the domain of outcome and impact, we enter into the sphere of influence. This is because we have full ownership of the results that directly follow from our activities. But we do not have single-handed control over the interplay of factors and actors that are at play outside the project setting, and which influence the outcome of a project.

Projects, we know, operate in a dynamic and multi-stakeholder context, therefore in such situations, it is hard to separate and isolate the effects of a singular, time-bound project from other social, political, institutional and structural factors or the actions of other state and non-state actors. This makes the problem of attribution/contribution in a project an extremely troublesome one.

It is, moreover, important to acknowledge the limits of a project, recognizing the danger of attributing impact and establishing contribution made by one project among several other actors and factors that might be equally responsible as well. This leads to tension in observing correlations based on casual inferences and demonstrating causality. In other words, the theory of change too needs to be realistic in pointing out the expectations of what a project can achieve.

But does it means we cannot measure the achievement of a project objective and its differential contribution to the project goal? We certainly can measure and track the progress made by a project towards realizing its objective, however, we need to deploy more nuanced and complex techniques such as Outcome Mapping to be able to do so. Moreover, as we will learn in the subsequent sections, it is monitoring and evaluation, which will respond to the theory of change, providing benchmarks of progress and indicators of achievement, thereby, making it simpler to assess and evidence impact.

A Guide for Building a Results Framework

Purpose of the Guide

This simple guide has been developed to help monitoring and evaluation staff, and government Programme Managers, Fellows the steps involved in the process. This guide is a reference for how to develop a result framework and plan for monitoring & evaluation as designed by some M&E practitioners. It is not a training manual and does not provide a detailed explanation of the process. However, those who have gone through the Sambodhi M&E training programme will find this guide useful reference material.

What is a Results Framework?

A results framework is both a planning and management tool that provides the basis for monitoring & evaluation. It provides a program-level framework for managers to monitor the achievement of results and to adjust relevant programs and activities when necessary. It gives the reader an instant idea of what a program is trying to achieve. Results Framework focuses specially on impact and the outcomes of the work done through the program.

The Results Framework approach has a lot in common with the **Log frame** that is used on an individual project basis. A log frame is a tool for improving the planning, implementation, management, monitoring and evaluation of projects. It is a way of structuring the main elements in a project that shows the logical linkages between them (See Table 1).

Table 1. Example of a simple Log Frame

Objectives and Outcomes	Indicators	Means of Verification	Important Assumptions	IMPACT
Objectives	Action taken (Tasks)	Products or services	Intermediate effects	Long term effects
Objective: (Describe what the target group will achieve)				
Outcome: Describe the desirable future result				

Prerequisites for developing a Results Framework

1. Solid information & background materials

- Perspective Plan
- Periodic Plan/Key Performance Measures
- Strategies/ Policy Papers
- Other relevant documents/information

2. A clear understanding of "cause and effect" logic

- Cause and effect "logic is usually based on hypothesis and may not have evidence to support the relationship between the cause and the effect
- A detailed, but informative, discussion on "cause and effect" logic is available at: http://en.wikipedia.org/wiki/Causality

Steps in Developing a Results Framework

These steps need not be followed sequentially. Developing a Results Framework (RF) is and should be an iterative process. Programs may use a variety of approaches to develop their respective results frameworks. Whichever process is followed, it is important to involve members of your staff. Although this takes time, the results framework will be more complete and representative with their participation. Moreover, broader ownership of the RF among the staff may promote greater understanding of your programs' goals and objectives. It is important not to rush to finalize an RF. It is necessary to take time for the process to mature and to be truly participative. Please make changes as necessary to improve your RF.

Step 1: Set an Appropriate Objective

The **strategic objective (SO)** is the center of any results framework. This is one of the most critical and difficult tasks a team will face. It is a critical task because "the strategic objective" forms the standard by which the operational unit is willing to be judged in terms of its performance. The strategic objective is the unifying result that the Administration/Bureau/Division is striving to achieve as a whole. You can use the Results Framework Starter Worksheet (Appendix 1) to brainstorm about your program structure.

Step 2: Identify the intermediate results

After agreeing on the SO, the team must identify "intermediate results (IR)" necessary to achieve the SO. To achieve a longer-term strategic objective, a set of "lower level" intermediate results must first be reached. An intermediate result is a discrete result or outcome thought to be necessary to achieve an objective or another intermediate result critical to achieving the objective (See Figure 1).

Initially, the SO team might identify a large number of possible results relevant to the SO. As the team develops the RF, though, it will want to settle on a critical set of intermediate results necessary to achieve the objective. This number will vary with the scope and complexity of the SO. Eventually, the team should arrive at a final set of results that the team believes is reasonable. This set of results will become the RF the team will submit in its monitoring & evaluation plan for approval.

Step 3: Clarify the causal linkages between results

Once the intermediate results have been identified, the team must clarify the principal causal connections that link the two. I.e., you should determine cause and effect relationships. Causal links may flow from one intermediate result to one or several others; that is, one intermediate result may contribute to the achievement of others. Cause-and-effect linkages usually move "up" a results framework; that is, intermediate results that have a lower level of impact most commonly support the achievement of intermediate results that have a higher level of impact.

Please note that causality in the RF is only an assumption. It is hardly ever possible to prove the cause-and-effect relationships between results that are identified in an RF (nor is it necessary). However, you should ensure that connections defined between results follow a logical relationship (See figures 1
& 2)

Step 4: Identify critical assumptions

Next the team must identify the set of critical assumptions relevant to the achievement of the SO. Critical assumption is a factor that can affect the smooth running of your project/program that is generally outside the control of the program/project. (For example, "lack of continued support from partners").

Step 5: Complete the results framework

The team should step back from the results framework and review it as a whole (See figure 3). The RF should be straightforward and understandable. Check that the results contained in the RF are measurable. You can color code the boxes so that various programs or projects are clearly distinct from each other. Also, give a grey color to the borders of boxes that show results that cannot be accomplished now or in the near future, either because of funding issues or lack of other resources. Give a yellow color to the borders of boxes that show results that your partners are responsible for.

Step 6: Next steps

This is the stage where the team should also begin identifying performance measures and formulating activities required to achieve the intermediate results for which the operating unit is responsible (See table 2 below). Develop a complete set of performance indicators, establishing related baselines and targets, and complete a **performance monitoring pla**n (Table 2). Once you complete this step you can decide on which of the results you have defined will become your **Key Performance Indicators (KPIs).** Please note that Your KPIs should be extracted from your RF.

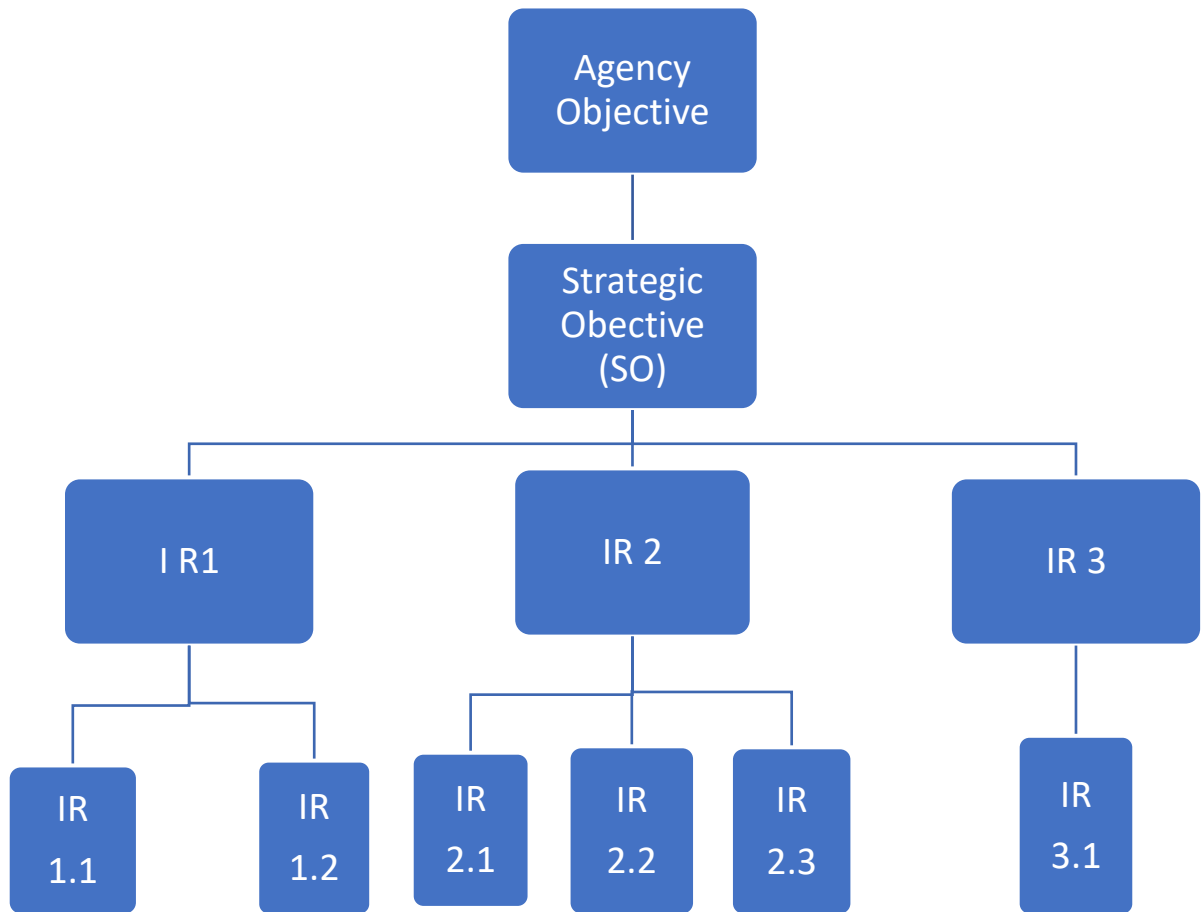**Figure 1. A Results Framework Diagram**
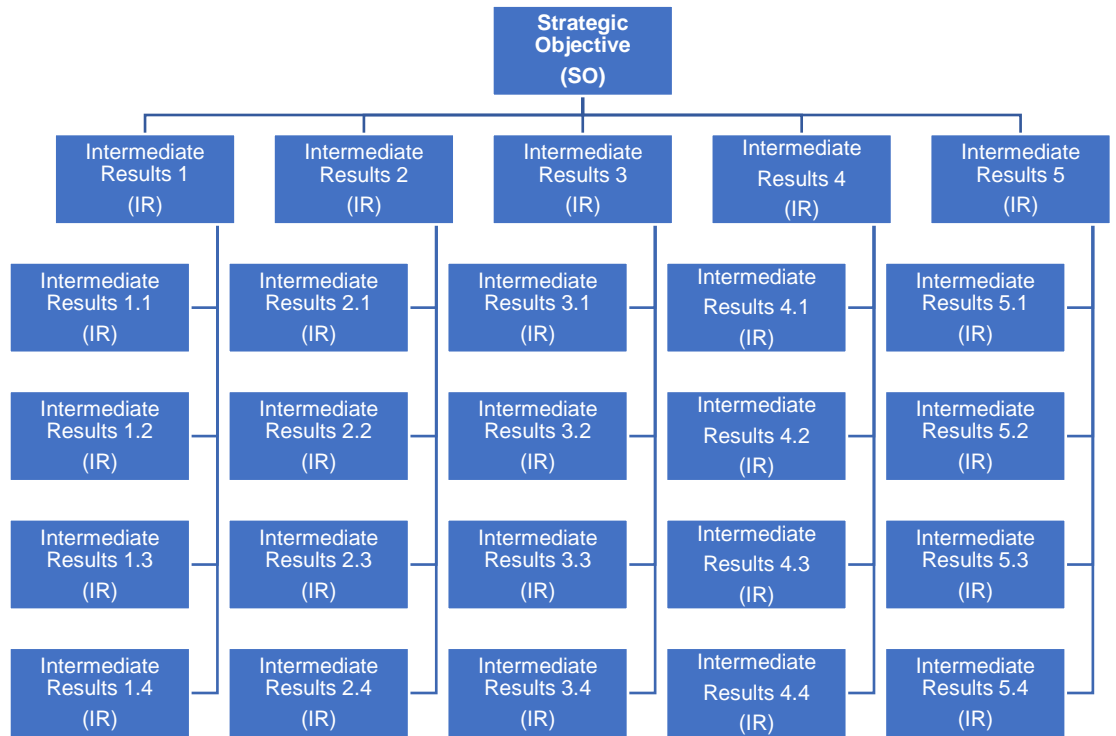
Figure 2. A Blank Results Framework Diagram

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                              ┌─────────────────┐
                              │    Strategic    │
                              │   Objective     │
                              │     (SO)        │
                              └─────────────────┘
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Intermediate Results 1 (IR)	Intermediate Results 2 (IR)	Intermediate Results 3 (IR)	Intermediate Results 4 (IR)	Intermediate Results 5 (IR)
Intermediate Results 1.1 (IR)	Intermediate Results 2.1 (IR)	Intermediate Results 3.1 (IR)	Intermediate Results 4.1 (IR)	Intermediate Results 5.1 (IR)
Intermediate Results 1.2 (IR)	Intermediate Results 2.2 (IR)	Intermediate Results 3.2 (IR)	Intermediate Results 4.2 (IR)	Intermediate Results 5.2 (IR)
Intermediate Results 1.3 (IR)	Intermediate Results 2.3 (IR)	Intermediate Results 3.3 (IR)	Intermediate Results 4.3 (IR)	Intermediate Results 5.3 (IR)
Intermediate Results 1.4 (IR)	Intermediate Results 2.4 (IR)	Intermediate Results 3.4 (IR)	Intermediate Results 4.4 (IR)	Intermediate Results 5.4 (IR)

Table 2. INDICATOR MATRIX

Results	Activities	Indicator	Levels (Type of indicator)	FY09	FY10 proj	FY10 YTD	FY11	FY12	Data source
Improve perinatal outcomes among high-risk populations	Increase healthy start program participation	Number of women participating in Healthy Start	Output	620	370	324	395	420	Healthy start data
Strengthen parent education and supportive services	Increase the number of men enrolled in healthy start male outreach component	Number of men enrolled in Healthy Start Male outreach	Output	140	117	150	155	160	Male outreach data

Outline of Principles of Impact Evaluation

PART I: KEY CONCEPTS

Definition

Impact evaluation is an assessment of how the intervention being evaluated affects outcomes, whether these effects are intended or unintended. The proper analysis of impact requires a counterfactual of what those outcomes would have been in the absence of the intervention.

There is an important distinction between monitoring outcomes, which is a description of the factual, and utilizing the counterfactual to attribute observed outcomes to the intervention. The standard impact evaluation guidelines accordingly define impact as the "the attainment of development goals of the project or program, or rather the contributions to their attainment." For example, the ADB guidelines state the same point as follows: "project impact evaluation establishes whether the intervention had a welfare effect on individuals, households, and communities, and whether this effect can be attributed to the concerned intervention".

The counterfactual

Counterfactual analysis is also called with versus without (see Annex A for a glossary). This is not the same as before versus after, as the situation before may differ in respects other than the intervention. There are, however, some cases in which before versus after is sufficient to establish impact, this being cases in which no other factor could plausibly have caused any observed change in outcomes (e.g., reductions in time spent fetching water following the installation of water pumps).

The most common counterfactual is to use a comparison group. The difference in outcomes between the beneficiaries of the intervention (the treatment group) and the comparison group, is a single difference measure of impact. This measure can suffer from various problems, so that a double difference, comparing the difference in the change in the outcome for treatment and comparison groups, is to be preferred.

Purpose of impact evaluation

Impact evaluation serves both objectives of evaluation: lesson-learning and accountability.

A properly designed impact evaluation can answer the question of whether the program is working or not, and hence assist in decisions about scaling up. However, care must be taken about generalizing from a specific context. A well-designed impact evaluation can also answer questions about program design: which bits work, and which bits don't, and so provide policy-relevant information for redesign and the design of future programs. We want to know why and how a program works, not just if it does.

By identifying if development assistance is working or not, impact evaluation is also serving the accountability function. Hence impact evaluation is aligned with results-based management and monitoring the contribution of development assistance toward meeting the Millennium Development Goals.

When to do an impact evaluation

It is not feasible to conduct impact evaluations for all interventions. The need is to build a strong evidence base for all sectors in a variety of contexts to provide guidance for policymakers.

The following are examples of the types of intervention when impact evaluation would be useful:

- Innovative schemes

- Pilot programs which are due to be substantially scaled up

- Interventions for which there is scant solid evidence of impact in the given context

- A selection of other interventions across an agency's portfolio on an occasional basis

PART II: EVALUATION DESIGN

Key elements in evaluation design

The following are the key elements in designing an impact evaluation:

- Deciding whether to proceed with the evaluation
- Identifying key evaluation questions
- The evaluation design should be embedded in the program theory
- The comparison group must serve as the basis for a credible counterfactual, addressing issues of selection bias (the comparison group is drawn from a different population than the treatment group) and contagion (the comparison group is affected by the intervention or a similar intervention by another agency).
- Findings should be triangulated
- The evaluation must be well contextualized

Establishing the Programme Theory

The program theory documents the causal (or results) chain from inputs to outcomes. The theory is an expression of the log frame, but with a more explicit analysis of the assumptions underlying the theory. Alternative causal paths may also be identified. The theory must also allow for the major external factors influencing outcomes.

A theory-based evaluation design tests the validity of the assumptions. The various links in the chain are analyzed using a variety of methods, building up an argument as to whether the theory has been realized in practice.

Using the theory-based approach avoids 'black box' impact evaluations. Black box evaluations are those which give a finding on impact, but no indication as to why the intervention is or is not doing. Answering the why question requires looking inside the box, or along the results chain.

Selecting the evaluation approach

A major concern in selecting the evaluation approach is the way in which the problem of selection bias will be addressed. How this will be done depends on an understanding of how such biases may be generated, which requires a good understanding of how the beneficiaries are identified by the program.

Figure 1 (Annex B) shows a decision tree for selecting an evaluation approach. The basic steps in this decision tree are as follows:

3. If the evaluation is being designed ex-ante, is randomization possible? If the treatment group is chosen at random then a random sample drawn from the sample population is a valid comparison group and will remain so provided contamination can be avoided. This approach does not mean that targeting is not possible. The random allocation may be to a subgroup of the total population, e.g. from the poorest districts.
4. If not, are all selection determinants observed? If they are, then there are several regression-based approaches which can remove the selection bias.
5. If the selection determinants are unobserved then if they are thought to be time invariant then using panel data will remove their influence, so a baseline is essential (or some means of substituting for a baseline).
6. If the study is ex post so a panel is not possible and selection is determined by unobservable, then some means of observing the supposed unobservable should be sought. If that is not the case, then a pipeline approach can be used if there are yet untreated beneficiaries.
7. If none of the above are possible then the problem of selection bias cannot be addressed. Any impact evaluation will have to rely heavily on the program theory and triangulation to build an argument by plausible association.

Designing the baseline survey

Ideally a baseline survey will be available so that double difference estimates can be made. Important principles in designing the survey are:

- Conduct the baseline survey as early as possible.
- The survey design must be based on the evaluation design which is, in turn, based on program theory. Data must be collected across the results chain, not just on outcomes.
- The comparison group sample must be of adequate size, and subject to the same, or virtually the same, questionnaire. Whilst some intervention-specific questions may not be appropriate, similar questions of a more general nature can help test for contagion.
- Multiple instruments (e.g., household and facility level) are usually desirable, and must be coded in such a way that they can be linked.
- Survey design takes time. Allow six months from beginning design to going to the field, though 3-4 months can be possible. Test, test, and re-test the instruments. Run planned tabulations and analyses with dummy data or the data from the pilot. Once data is collected one to two months are required for data entry and cleaning.
- Include information to allow tracing of the respondents for later rounds of the survey and ensure that they can be linked in the data.
- Avoid changes in survey design between rounds. Ideally the same team will conduct all rounds of the survey.

Options when there is no baseline

Evaluations are often conducted ex-post, and there is no baseline available. Under these circumstances the following options can be considered:

1. If treatment and comparison groups are drawn from the same population and some means is found to address selection bias (which will have to be quasi-experimental, since randomization is ruled out unless the treatment had been randomized, but if the program designers had thought of that they will have thought of a baseline also), then a single difference estimate is in principle valid.

2. Find another data set to serve as a baseline. If there was a baseline survey but with a poor or absent comparison group, then a national survey might be used to create a comparison group using propensity score matching.

3. Field a survey using recall on the variables of interest. Many commentators are critical of relying on recall. But all survey questions are recall, so it is a question of degree. The evaluator need use his or her judgment as to what it is reasonable to expect a respondent to remember. It is reasonable to expect people to recall major life changes, introduction of new farming methods or crops, acquisition of large assets and so on. But not the exact amounts and prices of transactions. When people do recall there may be telescoping (thinking things were more recent than they were), so it is useful to refer to some widely known event as a time benchmark for recall questions.

4. If all the above failure, then the study was made to build a strong analysis of the causal chain (program theory). Often a relatively descriptive analysis can identify breaks in the chain and so very plausibly argue there was low impact.

5. The argument can be further strengthened by triangulation (indeed this point applies whatever method is adopted): drawing on a variety of data sources and approaches to confirm that a similar result is obtained from each.

Impact evaluation using secondary data

Sometimes secondary data can be used to carry out the whole impact study, this is especially true when evaluating national or sector-wide interventions. More usually secondary data can be used to buttress other data. For example, a project data set could be used for the treatment group and a national data set used to establish the control, preferably using a matching method. Or different national data sets might be joined to enable a rigorous regression-based approach to be employed.

The role of qualitative information

Good evaluations are almost invariably mixed method evaluations10. Qualitative information informs both the design and interpretation of quantitative data. In a theory-based approach, qualitative data provide vital context.

Many evaluations under-exploit qualitative methods, both in the techniques they use and the way in which analysis is undertaken. It is all too common to restrict data collection to key informant interviews and perhaps a few focus groups. But there is a far greater range of qualitative data collection methods, which can often produce more robust findings than can quantitative methods. Field experience by members of the core evaluation team (i.e., the people responsible for design and writing the final report) is an invaluable source of qualitative data which should not be overlooked. And field experience literally means the field, not only meetings with government and project officials. It is very desirable to get such exposure very early on in the study so it can help inform the evaluation design. Return trips are also advisable to help elucidate the findings.

Triangulation

Evaluation findings are strengthened when several pieces of evidence point in the same direction. Often a single data set will allow a variety of impact assessments to be made. Better still if different data sets and approaches can be used and come to broadly the same conclusion. Qualitative information can also reinforce findings and add depth to them. Where a rigorous approach has not been possible then triangulation is all the more necessary to build a case based on plausible association.

Generalization from specific impact evaluations

Impact evaluations are usually of specific interventions in a specific context. It is not necessarily the case that the findings can be generalized to the same intervention in different contexts. A theory-based approach helps understand the context in which the intervention did or didn't work, and so help generalize as to other contexts in which the same findings may be expected.

PART III MANAGING AND IMPLEMENTING IMPACT EVALUATION

Terms of reference

The Terms of Reference (ToR) should require that a clear understanding of the intervention be a prerequisite for the evaluation design. Sector and area expertise may not be essential but is certainly an advantage.

The ToR for an impact evaluation should also stress the need for a credible counterfactual analysis. Proposals or concept notes should make clear how this issue will be addressed, being explicit about the evaluation approach. The evaluation team needs include personnel with the technical competence to implement these methods.

Data sources

Good quality data are essential to good impact evaluation. The evaluation design must be clear on the sources of data and realistic about how long it will take to collect and analyze primary data.

Peer review

An independent peer review should be undertaken by a person qualified in impact evaluation.

ANNEX A GLOSSARY

Note: glossary follows a natural sequence rather than alphabetical order

Attribution: The problem of attribution is the problem of assigning observed changes in outputs and outcomes to the intervention. This is done by constructing a counterfactual.

Counterfactual: outputs and outcomes in the absence of the intervention. The counterfactual is necessary for comparing actual outputs and outcomes to what they would have been in the absence of the intervention, i.e., with versus without.

With versus without: 'with' refers to the outputs and outcomes with the intervention (the factual), which are compared with the outputs and outcomes 'without' the intervention (the counterfactual) to determine the impact of the intervention, though single or double difference estimates.

Comparison group: For project-level interventions, the counterfactual is often established by taking a comparison group (typically a geographic area) which is identical to the treatment group, except that it is not subject to the intervention. (The expression 'control group' is also commonly used, but strictly speaking only applies to experimental settings in which the conditions of the control group can be controlled).

Experimental design: To ensure comparability, an experimental design randomly assigns eligible households to the project and comparison groups. This approach can avoid selection bias, but the extent to which it can be applied to the types of intervention supported by DFID has been questioned.

Selection bias: The beneficiaries of an intervention may be selected by some criteria (or select themselves) which is correlated with the observed outcome. For example, entrepreneurs being selected for microcredit or for a business development scheme may have done better than those who did not bother to apply, even in the absence of support. Hence comparing outcomes of beneficiaries and non-beneficiaries can give misleading results. Where these criteria or not observed (i.e., there is no data on them), then there is a bias in the impact evaluation findings (this point is discussed further below). But where the determinants of participation are observed, then the bias can be removed using quasi-experimental methods.

Quasi-experimental design: evaluation designs which address selection bias using statistical methods, such as propensity score matching, rather than randomization. These methods model the selection process and so control these variables in the analysis of outcomes.

Contagion or contamination: The comparison group is contaminated if it is subject to a similar intervention, either by spill-over effects from the intervention or another donor starting a similar project.

Single difference: the difference in the output or outcome either (1) before versus after the intervention, or (2) between project and comparison groups. Before versus after is not a good impact measure as it fails to control for other factors. The single difference project versus comparison groups fails to allow for differences between the two groups which may have existed prior to the intervention. The double difference takes care of these two problems.

Decision Tree for Selecting Evaluation Design:

A decision tree is a tool that serves as a guide through a sequence of choices. In the tree below, choices along the decision path have implications for the type of impact evaluation that will be most appropriate. The tree provides a warning to those who elect to proceed against the advice the diagram offers, such as choosing to use an experimental design even though the size of an evaluation's treatment and control groups would be small and thus tests of differences between groups might be statistically underpowered and inconclusive.
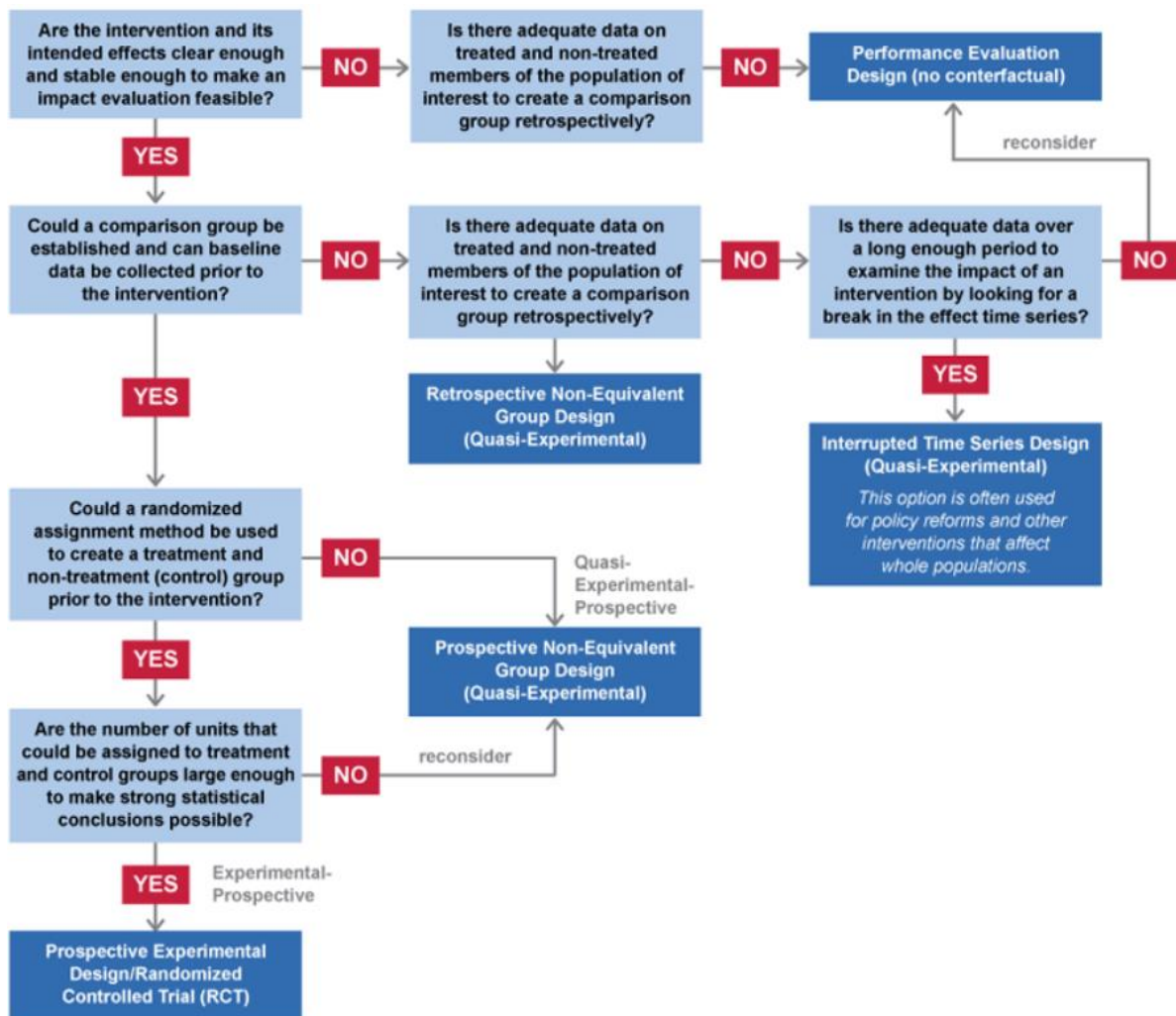
Basics of OECD DAC Criteria

Evaluative criteria provide an overarching normative framework for intervention assessment; and play a vital role in guiding the evaluation questions (UNEG, 2011). However, given the vast thematic areas development projects work across, a standardized criteria that work across different 'evaluands' (Mathison, 2005) - i.e. different objects of evaluation - is highly useful. Towards this end, the Organization for Economic Cooperation and Development (OECD) - a unique international forum of international development aid organizations - developed, the DAC criteria in 1991, to evaluate how effectively their development co-operation efforts and policies were working towards the achievement of the 2030 Agenda for Sustainable Development.

While used and accepted widely, given the limitations of the criteria; there was a felt need for the criteria to be revised (especially, following the 2015 agreement of the 2030 Agenda for Sustainable Development.) (OECD, 2019). Pursued by the DAC Network on Development Evaluation (Eval Net), revisions were made to expand the criteria, and were then adopted by the OECD-DAC in 2019. The DAC criteria are used widely by several multi-lateral organizations such as the United Nations, and governments to benchmark their policies and programs (UNEG, 2011).

The updated framework consists of six evaluation criteria, defined by OECD DAC as follows (OECD, n.d.):

- **Relevance:** "The extent to which the intervention objectives and design respond to beneficiaries, global, country, and partner/institution needs, policies, and priorities, and continue to do so if circumstances change."

- **Coherence:** "The compatibility of the intervention with other interventions in a country, sector or institution."

- **Effectiveness:** "The extent to which the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups."

- **Efficiency:** "The extent to which the intervention delivers, or is likely to deliver, results in an economic and timely way."

- **Impact:** "The extent to which the intervention has generated or is expected to generate significant positive or negative, intended or unintended, higher-level effects."

- **Sustainability:** The extent to which the net benefits of the intervention continue or are likely to continue.

Also, OECD DAC gives two principles that guide practitioners using these criteria. The website lists these principles as follows (OECD, n.d.):

The criteria should be applied 'thoughtfully' - contextualized to the evaluation, the nature of the intervention, and the stakeholders involved - to support 'high quality and useful evaluation'. The 'evaluation questions' and 'what one intends to do with the answers', should 'inform how the criteria are interpreted and analyzed.'

RELEVANCE
is the intervention doing the right things?

COHERENCE
how well does the intervention fit?

EFFECTIVENESS
is the intervention achieving its objectives?

EFFICIENCY
how well are resources being used?

IMPACT
what difference does the intervention make?

SUSTAINABILITY
will the benefits last?

EVALUATION CRITERIA

Two principles for using evaluation criteria:

It is important that the definitions of the criteria are understood within a broader context and read in conjunction with other principles and guidance on how to conduct evaluations in ways that will be useful and of high quality.

Principle 1:

The criteria should be applied thoughtfully to support high quality, useful evaluation.

They should be contextualized – understood in the context of the individual evaluation, the intervention being evaluated, and the stakeholders involved. The evaluation questions (what you are trying to find out) and what you intend to do with the answers, should inform how the criteria are specifically interpreted and analyzed.

Principle 2:

The use of the criteria depends on the purpose of the evaluation. The criteria should not be applied mechanistically.

Instead, they should be covered according to the needs of the relevant stakeholders and the context of the evaluation. Time and resources may be devoted to the evaluative analysis for each criterion depending on the evaluation purpose. Data availability, resource constraints, timing, and methodological considerations may also influence how (and whether) a particular criterion is covered.

Understanding Confidentiality and Anonymity in Research

The terms anonymity and confidentiality are frequently confused in human subjects' research. The distinction between the two terms, however, is critical in the design of protocols that protect participant privacy and provide for adequate informed consent.

Confidentiality refers to a condition in which the researcher knows the identity of a research subject but takes steps to protect that identity from being discovered by others. Most human subjects research requires the collection of a signed consent agreement from participants, and the collection of other personally identifiable data, and thus researchers are aware of the identity of their subjects. In such cases, maintaining confidentiality is a key measure to ensure the protection of private information.

Researchers employ several methods to keep their subjects' identity confidential. Foremost, they keep their records secure using password protected files, encryption when sending information over the internet, and even old-fashioned locked doors and drawers. They frequently do not record information in a way that links subject responses with identifying information (usually by use of a code known only to them). And because subjects may not be identified by names alone, but by other identifiers or by combinations of information about subjects, researchers will often only report aggregate findings, not individual-level data, to the public.

Anonymity is a condition in which the identity of individual subjects is not known to researchers. Because most human subjects research requires signed documentation of consent, subject anonymity is not as common in human subjects' research. Federal law does allow an IRB to waive the requirement for signed consent documents in cases where the collection of that document is the only identifying information linking the subject to the project. Such documentation is most often waived for projects such as online survey that present no more than minimal risk to subjects.

As you develop your human subjects review application, please be certain you understand the distinction between confidentiality and anonymity, and that you use the appropriate terms in your project description and consent documents.

Annexure: Respondent Consent Form (Need project level customization)

Introduction: Good morning/afternoon. I am (Name of the Interviewer) from Sambodhi Research & Communications, Noida. We are conducting a research study to understand the impact of agriculture services available for Small-holder farmers (SMFs). We would also like to ask you whether the available agriculture products and services fulfill your needs or not. There will be no cost to you other than your time, and your participation is completely voluntary.

Purpose: The purpose of this survey is to understand how SMFs are benefitting from Agri-services such as AgTech, Renewable Energy for agriculture, Food Loss solutions, and FPO. We would also like to understand how these services help in enhancing the income of the farmers. I request you to kindly allow me to ask you a few questions.

Selection of participants: The selection of participants is done through a listing exercise in consultation with an agri-service provider. All the small-holder farmers (Farmers who own less than 2 hectares of land) irrespective of gender/ crops cultivated are eligible for the survey.

Procedure: We shall take about 30 minutes to finish this survey.

Risks and Benefits: There is no risk in the study. Your name will not be used while reporting the findings. You will not have any financial benefit from participation in this study. However, we hope that the information we learn will help design better financial products that will help you to better access finance.

Voluntary Participation: Participation in this study is voluntary, and you are free to refuse to participate. If you agree to participate, you can decide to withdraw from the study at any time. There will be no consequences for withdrawal at any stage.

Confidentiality: Your answers will be kept completely confidential and will be used for research purposes only. You do not have to answer questions that you do not want to answer. However, we seek your cooperation in providing complete information.

Backcheck/ Follow-up: If backchecks or follow-up calls are required, consent will be taken again. The backchecks will be conducted by the same person or another person from Sambodhi. For follow-up calls, we would require your contact number. This contact information will be used only for following up on this survey. Do you agree to share your contact number with us?

Yes ……. No……

Compensation: You will not be given any compensation for participating in this study.
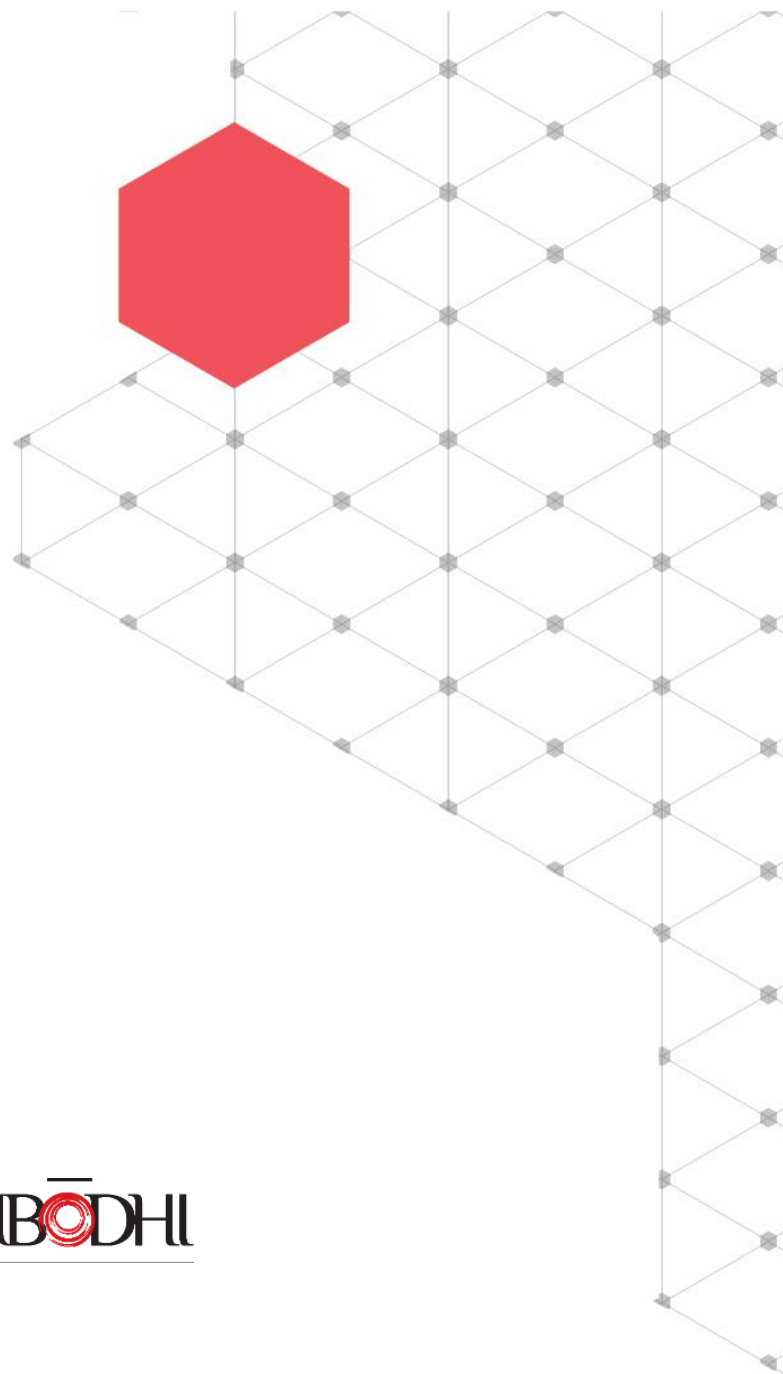
Contact Information: If you have any questions about this study in the future you can call Ms. X, Sambodhi Research and Communications. +91 987160XXXX.

Consent sought from respondents (above 18 years of age)

Documentation of Consent:

Do you give your consent?

Consent given………….1 Consent not given………… 0

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