



Risk-informed Governance and Innovative Technology for Disaster Risk Reduction and Resilience

Module 3.3: Measuring Progress – Monitoring and Evaluation of Implementation Efforts

Contents

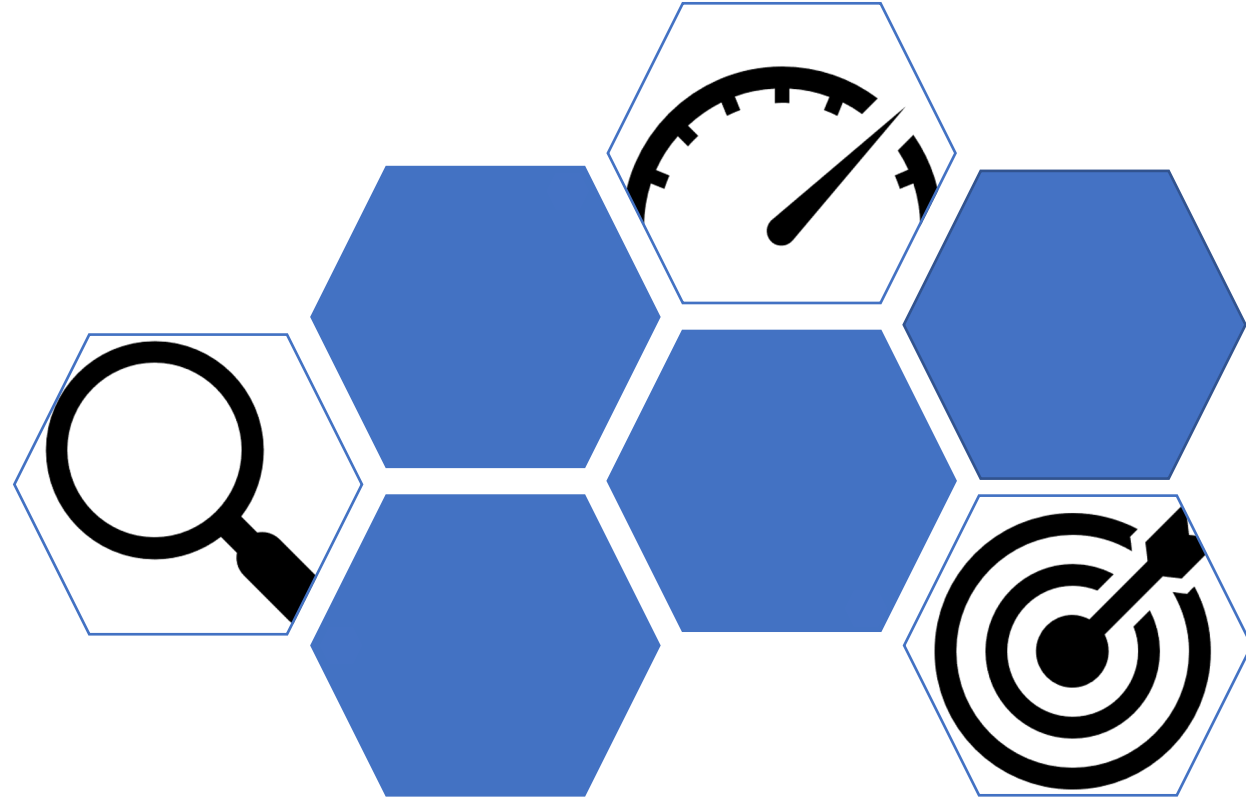
1. Monitoring and Evaluation Overview
1. Monitoring and Evaluation Process

Learning Outcomes

At the conclusion of this Session, Participants will be able to:

- Understand monitoring and evaluation methods as they are relevant to the adoption and use of emerging technologies for disaster risk reduction and resilience.
- Develop capacity to more effectively identify and plan for monitoring and evaluation needs when planning for emerging technologies use.

- Monitoring
- Evaluation



■ M&E Overview

- Implementation best when methodical, coordinated, and part of a longer-term goal linked to DRR/SDGs
- Without strategies or strategic planning, implementation and transfer are more happenstance
- But when strategies are in place, stakeholders need a way to ensure that programs are on track
 - Understanding progress
 - Seeing movement towards goals and objectives
 - Identifying the need for adjustment
 - Knowing where adjustments are needed to have the best outcome
 - Ensuring resources are best utilized



Monitoring and Evaluation (M&E) Defined

Allows Stakeholders to Investigate

- Factors that influence performance
- The validity of planning assumptions
- Adherence to project principles
- Progress towards targets

Foci of Assessment

- Output (Capacity produced or provided)
- Outcome (Change in performance)
- Impact (Change in risk or resilience)

■ Monitoring

“The ongoing and systematic process of collecting, analyzing, and using information to track a program’s progress toward reaching its objectives and to guide management decisions”

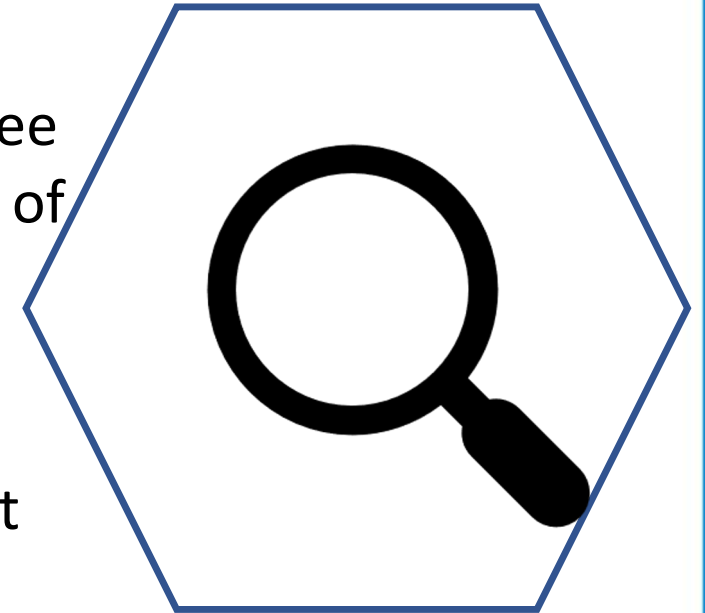
- UN Women, 2010.

- Reviews progress according to established plans / strategies
- Requires systematic data collection
- Must look at:
 - Whether project is advancing as planned
 - Whether it is producing intended benefits
- Monitoring begins when implementation begins



■ Monitoring Questions

- Are the preidentified outputs being produced as planned and efficiently?
- What are the issues, risks and challenges that we face or foresee that need to be taken into account to ensure the achievement of results?
- What decisions need to be made concerning changes to the already planned work in subsequent stages?
- Will the planned and delivered outputs continue to be relevant for the achievement of the envisioned outcomes?
- Are the outcomes we envisaged remaining relevant and effective for achieving the overall priorities, goals, and impacts?
- What are we learning?

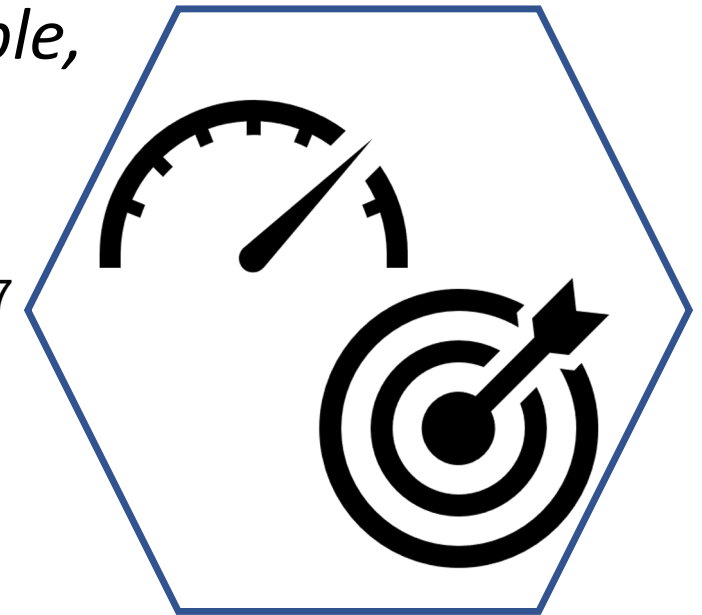


Evaluation

“Critical assessment, in as objective a manner as possible, of the degree to which a service or its component parts fulfills stated goals.”

- Reeve and Paperboy, 2007

- Systematic
- Determine merit, worth, or significance
- More scientific / rigorous than monitoring
- Measures not against itself, but against external conditions



M&E Similarities and Differences

Similarities

- Both measure project efforts.
- Both continuous and systematic.
- Both depend on explicit plans that guide required actions and decisions.
- Both aim to provide adequate and useful information for project implementation.



M&E Similarities and Differences

Differences

- Monitoring seeks real-time information based on ongoing or periodic data collection.
- Evaluation seeks to establish in-depth assessment using baseline data and results.
- Monitoring produces data on implementation progress, which helps inform evaluation.
- The outcome of monitoring is not the basis of evaluation.
- Evaluations are impartial and often independent to provide managers and staff with an objective assessment of whether they are on track.
- Evaluation look externally beyond the project or program.

Sendai Framework and SDG References

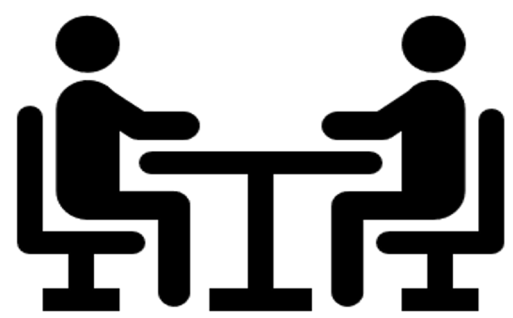


Image: <https://images.app.goo.gl/cZ9wEC79nRoqZb1W8>



Image: <https://images.app.goo.gl/o2wuSc5u3cm55UEi7>

Group Work and Activities



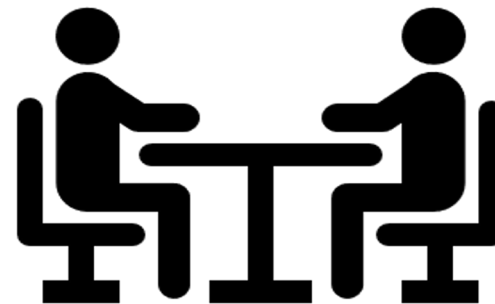
▪ **Discussion 1: Value of Global Goals and Indicators**

- The goals and indicators established in the Sendai Framework and the 2030 Agenda for Sustainable Development do have value for the monitoring and evaluation efforts of countries, of communities, and of organizations.
 - However, they are not in and of themselves a complete set of benchmarks or measures against which progress, outcomes, outputs, or impacts may be measured on a given project.
- **The Facilitator can lead a discussion with Participants about what value these goals and indicators provide to support monitoring and evaluation, and what they don't do in terms of informing those efforts.**

■ Planning and Implementing M&E

1. What will be monitored and evaluated
2. What processes will be employed?
3. How, when, how often, and by whom will monitoring and evaluation occur?
4. Which monitoring, evaluation, and learning approaches are described?
5. Are there dedicated resources for monitoring evaluation and learning activities?
6. Will a mixture of quantitative and qualitative methods be used?
7. Who is responsible for project reporting – to whom, how often, and in what language?
8. How are the lessons learned assessed, documented, shared, and put into practice?

Group Work and Activities



▪ **Activity 2: Developing an implementation Roadmap for Change**

- Using the **design thinking approach** by going through the 5 stages in the design process (**Empathize, Define, Ideate, Prototype and Test**) the Facilitator can bring participants together to discuss these questions:
 - What elements should be part of developing an effective roadmap for implementing change in your country?
 - What capacities are needed and how can they be developed?

M&E Frameworks

1. What are the objectives of monitoring and evaluation?
2. What are the criteria for success?
3. What is to be monitored and evaluated?
4. What activities are required to conduct monitoring and evaluation?
5. Who will be assigned responsibility for monitoring and evaluation activities?
6. What is the schedule of monitoring and evaluation activities?
7. What methods will be used to perform monitoring and evaluation?
8. What resources are required for monitoring and evaluation, and where they will come from?
9. What are the relevant risks, and what assumptions guide monitoring and evaluation activities?
10. What tools and mechanisms are required for reporting and applying results?

M&E 10-Step Process

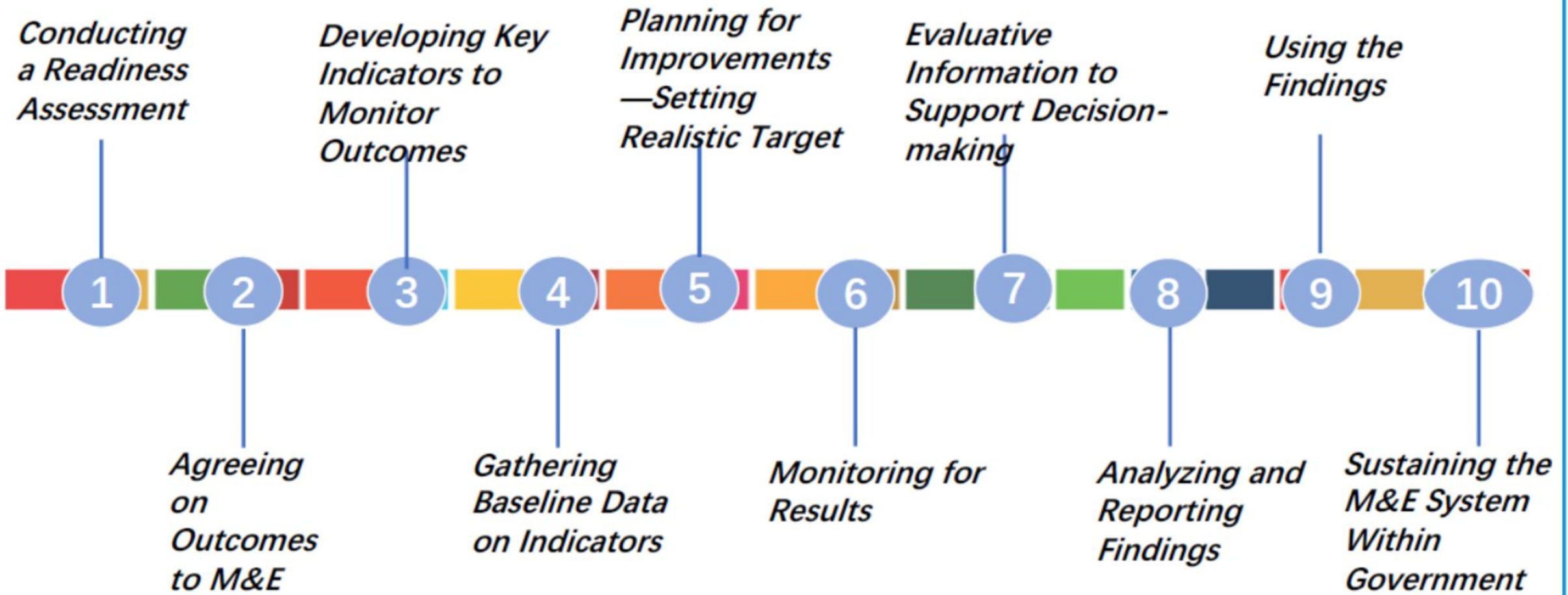


Image: Kusek and Ris, 2004.

Step 1: Conducting a Readiness Assessment

“What is the nature of the problem?”

- What is driving the need for a monitoring and evaluation system?
- Who is driving the need for an M&E system within the organization?
- What is motivating the champion?
- Who will own the system? Who will benefit? And how much information is really required?
- How will the system directly support better resource allocation and the achievement of program goals?
- How will the organization, the champions, and the staff all react to negative or potentially detrimental information generated by the M&E system?
- How will the M&E system link, even in a rudimentary fashion, the project outcomes to the program outcomes and to sector and national outcomes?

Conducting a Readiness Assessment

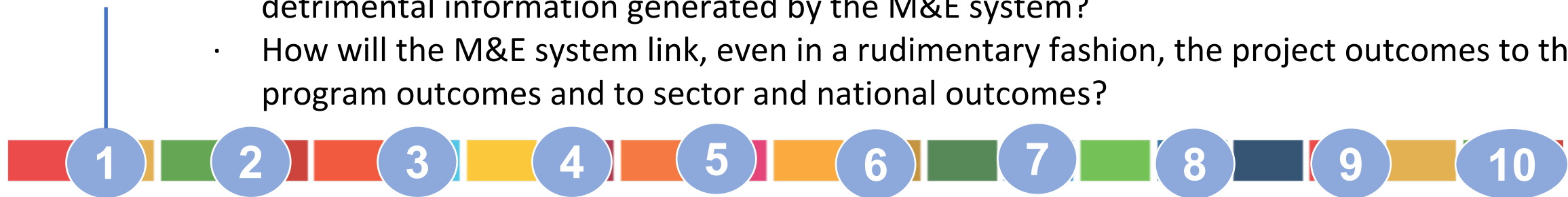


Image: Kusek and Ris, 2004.

Step 2: Agreeing on M&E Outcomes

“What are the project’s strategic priorities and desired outcomes?”

- Best of local outcomes aligned with:
 - National outcomes
 - Sendai Framework
 - Sustainable Development Goals
- Technology outcomes may be specific / explicit
- Stakeholders must define
- More than restating the problem statement

Agreeing on Outcomes to M&E



Image: Kusek and Ris, 2004.

Step 3: Developing Key Indicators

“How do we know when we have achieved success, and are we moving towards our desired outcomes?”

- **C**lear: Precise and unambiguous
- **R**elevant: Appropriate to the subject at hand
- **E**conomic: Available at a reasonable cost
- **A**dequate: Provide a sufficient basis to assess performance
- **M**onitorable: Amenable to independent validation

Developing Key Indicators to Monitor Outcomes



Image: Kusek and Ris, 2004.

Step 4: Gathering Baseline Data on Indicators

“What is our starting point?”

- What are the sources of data?
- What are the data collection methods?
- Who will collect the data?
- How often will the data be collected?
- What is the cost and difficulty to collect the data?
- Who will analyze the data?
- Who will report the data?
- Who will use the data?

Gathering Baseline Data on Indicators



Image: Kusek and Ris, 2004.

Step 5: Selecting Results Targets

“What is our Desired End Point?”

- Each target is “a specified objective that indicates the number, timing, and location of that which is to be realized”.
- Targets are quantifiable achievements towards indicators.
- Interim targets may be necessary

*Planning for Improvement –
Setting Results Targets*



Image: Kusek and Ris, 2004.

Step 6: Monitoring for Results

“What is our status right now?”

- Establishing data collection, analysis, and reporting guidelines
 - Designating who will be responsible for which activities
 - Establishing means of quality control
 - Establishing timelines and costs
 - Establishing guidelines on the transparency and dissemination of the information and analysis.
 - Collecting and managing data and information
- OWNERSHIP
 - MANAGEMENT
 - MAINTENANCE
 - CREDIBILITY

Monitoring for Results



Image: Kusek and Ris, 2004.

Step 7: Using Evaluation Information to Support Results-Based Management

“What do these results mean?”

Why evaluate?

- To better allocate resources
- To better understand the cause of a problem
- To identify emerging problems
- To guide decision-making on prioritization of programs or methods of support
- To build consensus on the causes of a problem and how to respond

Types of Evaluation

- Performance Logic Chain Assessment
- Pre-Implementation Assessment
- Process Implementation Evaluation
- Impact Evaluation



Image: Kusek and Ris, 2004.

Step 8: Analyzing and Reporting Findings

“Who needs what results, and when do they need it?”

Why report?

- To demonstrate project or program accountability
- To convince different audiences using evidence
- To educate different audiences for the purposes of supporting more change / organizational learning
- To explore and investigate what about the project or program was effective, and what was not
- To document what happened for recordkeeping purposes
- To engage stakeholders
- To increase support for the project or program, or for the goals it is seeking to achieve
- To promote understanding about the project or program, the problem that was addressed, or the results that were achieved.

Analyzing and Reporting Findings



Image: Kusek and Ris, 2004.

Step 9: Using the Findings

“How can we use our results for good?”

Examples of ways findings have been utilized?

- Developing guidance materials that explain how to use the results
- Providing training in the use of the results for managers and other staff
- Convening with staff or stakeholders to assess ongoing efforts as informed by the results
- Identifying stakeholders that merit awards or special recognition
- Developing grant allocation guidelines that reward improved performance
- Identifying best practices
- Identifying common problems and solutions
- Identifying training needs for staff or other technical assistance requirements
- Prioritizing resources

Using the Findings



Image: Kusek and Ris, 2004.

Step 10: Sustaining the M&E System

“How does M&E continue through the project lifecycle?”

6 Criteria:

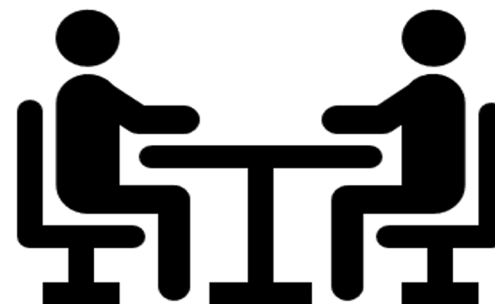
- Demand
- Clear Roles and Responsibilities
- Trustworthy and Credible Information
- Accountability
- Capacity
- Incentives

Sustaining the M&E System



Image: Kusek and Ris, 2004.

Group Work and Activities



▪ **Discussion 3: Evaluation for Emerging Technologies**

- Different types of activities require different evaluation foci and methods.
- The Facilitator can discuss how demonstration programs or pilot projects can be used to monitor and evaluate the implementation of different technologies, and where such things are not practicable. **Questions to ask include:**
 - What makes a technology conducive to a pilot program? What makes a pilot program impractical?
 - What role does the private sector have in piloting new technologies?
 - How can pilot programs increase the likelihood of more large-scale implementation at a later date, such as in terms of increased resourcing, improved capacity, and greater community motivation and buy-in?

Key Readings

- Kusek, Jody Zall and Ray C. Rist. 2004. Ten Steps to a Results-Based Monitoring and Evaluation System. A Handbook for Development Practitioners. The World Bank. <http://bit.ly/37Je1Jb>.
- UNDRR. 2016. The Science and Technology Roadmap to Support Implementation of the Sendai Framework for Disaster Risk Reduction 2015-2030. 29 February. <http://bit.ly/2V9bsxy>.
- UNDESA, 2019. SDG Indicators – UN STATS. <http://bit.ly/200qDbA>
- UNDP. 2009. Handbook on Planning, Monitoring, and Evaluation for Development Results. <http://bit.ly/2PfDBiF>.
- Wagner, Lynn. 2018. Getting to 2030: Tracking SDG Indicators for Evidence of Implementation Progress. March 29. <http://bit.ly/2N11ZUO>.



Thank you