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DATA QUALITY ASSESSMENT #1

INTEGRATED REPORT FOR SERVIR CO AND DEMAND ACTIVITY



JUNE 2013

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INTEGRATED REPORT FOR SERVIR CO AND DEMAND ACTIVITY

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CONTENTS

- EXECUTIVE SUMMARY3**
- BACKGROUND.....3**
- METHODS.....5**
- TABLE 1: SERVIR INTEGRATED INDICATOR LISTING5**
- FINDINGS OF DQA.....6**
- DATA COLLECTION AND VERIFICATION PROCESS7**
- INDICATOR QUALITY ASSESSMENT.....7**
 - Number of people receiving training as a result of USG assistance.....8
 - Number of institutions engaged in regional or global knowledge exchange through SERVIR8
 - Number of institutions with improved capacity to address climate change issues as a result of USG assistance8
 - Number of stakeholders using climate information in their decision-making as a result of USG assistance9
- M&E SYSTEM FINDINGS 10**
- ANNEX A: INDICATOR SCORING CRITERIA..... 11**
- ANNEX B: SERVIR PLANNING AND PERFORMANCE MONITORING PROCESS DIAGRAM..... 12**
- ANNEX C: DATA QUALITY ASSESSMENT FLOW..... 13**
- ANNEX D: INDICATOR ASSESSMENT CHECKLIST – NO. OF PEOPLE RECEIVING TRAINING AS A RESULT OF USG ASSISTANCE..... 14**
- ANNEX E: INDICATOR ASSESSMENT CHECKLIST – NO. OF INSTITUTIONS WITH IMPROVED CAPACITY TO ADDRESS CLIMATE CHANGE ISSUES AS A RESULT OF USG ASSISTANCE 16**
- ANNEX F: DOMAINS OF INQUIRY FOR M&E CAPACITY ASSESSMENT 18**

EXECUTIVE SUMMARY

The purpose of the Data Quality Assessment (DQA) is to document the extent to which the key performance indicators for the SERVIR Project meet the criteria for quality, as outlined in the USAID Automated Directives System (ADS) 203.3.11 and the SERVIR Performance Monitoring Plans for both the SERVIR CO and Demand Activity. In addition, this assessment represents one of the initial efforts to integrate performance monitoring and data quality assurance for the SERVIR Project between the SERVIR Coordination Office (CO) and the Demand Activity. The SERVIR CO Performance Monitoring Plan (PMP) was released and approved by USAID in May of 2013.

The report summarizes a semi-formal process to combine and assess the four shared indicators between the SERVIR CO and Demand Activity using a set of common, well-defined standards. The four shared indicators examined in this assessment include:

1. Number of stakeholders using climate information in their decision-making as a result of USG assistance.
2. Number of people receiving training as a result of USG assistance.
3. Number of institutions engaged in regional or global knowledge exchange through SERVIR.
4. Number of institutions with improved capacity to address climate change issues as a result of USG assistance.

The results of this initial effort will be evaluated by the SERVIR Monitoring and Evaluation team – which includes both SERVIR CO and DAI staff – USAID, and NASA, and will be used to design a participatory session at the joint work-planning meetings in August 2013 taking place in Nairobi, Kenya. A principle outcome of that session will be to provide recommendations to relevant SERVIR staff to achieve the best possible data quality using the appropriate amount of resources.

As the first assessment of its kind conducted in a structured way, this DQA was an opportunity to identify major data quality issues and provide some recommendations for rectifying them. In addition, it was also a learning opportunity for staff and will help to socialize the dimensions of data quality among the SERVIR Project partners. Finally, one of the most important results of this assessment was a better understanding of how deliverables link to the monitoring of indicators.

BACKGROUND

The overarching goal of the SERVIR program¹ is to improve environmental management and resilience to climate change. With an eye toward this goal, the SERVIR Project works to build the capacity of governments and other key stakeholders to integrate Earth observation information and geospatial technologies into development decision-making. The implementation model for the program is to work

¹ USAID sometimes refers to SERVIR as a “Program,” which is consistent with USAID ADS documentation 200 series terminology for an effort with a scope such as SERVIR’s. However, according to NASA’s internal NPR 7120.8 series, SERVIR is defined as a “Project” that supports an overall Capacity Building Program in the Applied Sciences Division. Thus the terms “Project” and “Program” will appear in NASA and USAID documentation, respectively, but mean the same. SERVIR will be defined as a “Project” within this DQA.

through regional partner institutions – currently based in Nepal, Kenya, and Panama – referred to as “regional hub institutions” or “SERVIR hubs”. More specifically, the SERVIR Project, which is a Spanish acronym for “regional visualization and monitoring system,” supports these regional institutions to develop and nurture a global network specializing in custom product development, training, and climate change forecasting. The network also provides access to satellite imagery for sharing, integrating, mapping, and forecasting using different kinds of geo-information from different sources through a web-based platform.

Another key feature of the Project’s model for implementation is the division of responsibility between the NASA-funded activities and those funded directly by USAID through the Demand Activity, implemented by DAI. At the inception of the Demand Activity, it was not anticipated that performance monitoring of the two projects would be integrated. However, many factors contributed to the decision to approach Monitoring and Evaluation (M&E) for the SERVIR Project in an integrated way. First, NASA and the Demand Activity share many of the same USAID indicators and must report on these indicators to USAID on a regular basis. Secondly, while the focus of the NASA-funded project is to support the “supply side” of the Project – for example the development of decision support applications and tools – many activities are complementary to and in direct support of the Demand Activity. This is particularly true in work to build capacity in the hub institutions (both the Demand Activity and the SERVIR project are responsible for this result as noted as IR3 in the SERVIR Results Framework). Finally, and perhaps most importantly, field activities for both NASA and the Demand Activity by design are implemented through the hub institutions. As a result, the bulk of performance monitoring of the key SERVIR indicator data must be done by hub staff and collected second-hand by either the Demand Activity team or NASA.

While an integrated approach to M&E for the SERVIR Project’s implementing partners is a laudable goal, by necessity it will be operationalized over time and taken on in a piecemeal fashion. For instance, the SERVIR Coordination Office (CO) utilizes a well-defined and field tested internal management system, called the Integrated Master Schedule (IMS), to track and manage project activities. DAI also maintains an internal management system, called the Technical and Administrative Management Information System (TAMIS). While these two systems are not linked, the SERVIR CO is investing significant effort to incorporate the Demand Activity into the IMS. Similarly, preliminary steps were taken to link the two project’s Performance Monitoring Plans. In addition, this assessment is also an initial effort to move to an integrated approach for data quality assurance for the SERVIR Project.

This is the first internal DQA conducted on the SERVIR Project and one significant outcome of the process is that it has opened dialog for further data quality assurance efforts at all levels. The assessment is aimed at verifying whether the data from the hub institutions are stored properly and recorded consistently using proper formats, documenting the process for coordination and collaborating between the Demand Activity and SERVIR CO on data verification, and also assessing² whether the hub institutions have the minimum infrastructure for M&E. Based on the results of this assessment, a participatory session will be designed to share among the SERVIR partners during the August work-planning meetings and data quality improvement plans will be developed in collaboration with the Demand Activity capacity building work in Task 2.

² This is a separate activity being implementing by the Demand Activity under Task 2. The results of the M&E capacity assessment at each hub will be incorporated into this document and revised once completed.

METHODS

This DQA was conducted in line with the requirements of a semiformal assessment. Since this was the SERVIR Project’s first DQA, it was determined at this stage not to include the hub staff in the preliminary assessment. As the M&E structure for the SERVIR Project evolves and the data collection process with the hubs becomes more formalized, the relevant hub staff will participate in future DQA exercises. The M&E team, comprised of both NASA and Demand Activity staff, selected indicators, identified documents and deliverables which would be reviewed, and agreed on the dimension of data quality to review for each indicator (see Annex A for this scoring criteria).

This assessment started with a review of the process for collecting indicator data at the SERVIR CO, which is a process driven by the IMS. The IMS links tasks and deliverables, and tracks against the target dates to achieve those deliverables. The IMS has been organized to match the outline of the SERVIR CO work plan, which is approved on an annual basis by USAID and NASA. The effort to reconcile the IMS task listing to the indicators is a recent development for the SERVIR CO. As a result, there is currently a one to one correlation between a deliverable and its corresponding indicator value in the SERVIR CO PMP. In addition, for both the SERVIR CO and Demand Activity, many of the deliverables and associated monitoring data are tracked at the hub institutions. Please refer to Annex B for the overall performance management process currently being utilized by the SERVIR project. This chart shows the relationship between the planning tasks for both the Demand and CO teams, and how the PMP and DQA can support this planning process.

The DQA purposively selected four indicators which are shared by both NASA and the Demand Activity and depend on data collection at the hub institutions. These include:

1. Number of stakeholders using climate information in their decision making as a result of USG assistance.
2. Number of institutions engaged in regional or global knowledge exchange through SERVIR.
3. Number of people receiving training as a result of USG assistance.
4. Number of institutions with improved capacity to address climate change issues as a result of USG assistance.

The remaining indicators are tracked internally by the Demand Activity and the SERVIR CO by the submission of deliverables. Please see Table 1 below for a complete list of all of the SERVIR Project indicators. Note that indicators in **bold** are those shared by both SERVIR CO and the Demand Activity.

TABLE 1: SERVIR INTEGRATED INDICATOR LISTING

Reference in IMS/Demand Activity	Indicator	Required to Report?	Data collection methodology
3.2, 3.3, 3.4/Demand outcome	Number of stakeholders using climate information in their decision-making as a result of USG assistance	CO and Demand	Documentation from hubs
3.2, 3.3, 3.4, 3.5/Demand outcome	Number of people receiving training as a result of USG assistance	CO and Demand	Training reports from hubs

3.2, 3.3, 3.4/Task 1, 3	Number of institutions engaged in regional or global knowledge exchange through SERVIR	CO and Demand	Meeting notes from hubs
3.2, 3.3, 3.4/Demand outcome	Number of institutions with improved capacity to address climate change issues as a result of USG assistance	CO and Demand	Documentation from hubs
3.2/Task 2	Number of assessments of hub activities to address climate change completed	Demand unique	Demand deliverable submission
3.1/Task 2	Impact assessment methodology developed	Demand unique	Demand deliverable submission
3.6/Task 3	Number of public awareness/outreach events conducted	Demand unique	Demand deliverable submission
3.2, 3.3, 3.4	Number of data layers standardized and made accessible	CO unique	Notes from hubs
3.3	Number of regional stakeholders co-developing climate mitigation or adaptation tools	CO unique	Training reports, notes from hubs
3.2, 3.3, 3.4	Number of climate mitigation tools developed with USG help	CO unique	Reports from hubs
3.7	Amount of investment leveraged in U.S. dollars, from private and public sources, for climate change as a result of USG assistance	CO unique	Records at CO
3.6/Task 3	Communication plan/strategies developed	Demand unique	Demand deliverable submission
Task 3	Number of marketing pieces co-developed with hubs	Demand unique	Demand deliverable submission
3.2, 3.3, 3.4, 3.5, 3.6	Number of scientists or decision-makers participating in exchanges between SERVIR hubs or partner institutions	CO unique	Meeting notes, trip reports from hubs
3.2, 3.3, 3.4, 3.5 /Task 5	Number of sustainability plans co-developed with hubs	Demand unique	Demand deliverable submission
3.2/Task 5	Number of engagements and/or consultations conducted to assist USAID field missions with new SERVIR Project hubs	Demand unique	Demand deliverable submission
3.4/Task 6	Small grants program launched in hub region	Demand unique	Demand deliverable submission
3.4/Task 6	Grants issued in hub regions	Demand unique	Demand deliverable submission
3.2/Task 6	Number of events/workshops or meetings held to facilitate knowledge transfer of grant activities	Demand unique	Demand deliverable submission
3.4/Task 4	Organizational capacity assessments completed for SERVIR hubs	Demand unique	Demand deliverable submission

FINDINGS OF DQA

This DQA was an opportunity to identify major data quality issues and provide some recommendations for rectifying them. It was also a learning opportunity for staff and will help to socialize the dimensions of data quality among the SERVIR Project partners. Finally, one of the most important results of this assessment was a better understanding of how deliverables link to the monitoring of indicators. The

deliverables collected from the hubs provide critical performance data to measure both outputs and outcomes of the SERVIR Project. For instance, it was determined that in order to assess performance at the outcome level (vs. measure outputs), the deliverables and data collected from the hubs associated with these indicators must meet certain standards. These standards are currently not well defined or articulated to the hub staff, and this was identified as a requirement for M&E session planned in August.

DATA COLLECTION AND VERIFICATION PROCESS

As mentioned above, the data verification process for the four indicators assessed is tied to tracking of the relevant tasks (and their associated deliverables) from the IMS. Upon receipt of a deliverable from one of the hub institutions, the Data Coordinators at the SERVIR CO log it into the database for review and acceptance by the relevant technical team member(s). These technical leads are designated by task and subtasks within the IMS. For those tasks and deliverables that are unique to the Demand Activity, the indicator data will be monitored by the Demand Activity’s Senior Lead for M&E and shared with NASA CO quarterly for inclusion in the IMS.

The designated staff is then responsible for ensuring the deliverables meet the technical and or programmatic requirements (see Annex C for a flow chart of this process). This technical validation is documented by the technical completion form. Once the technical content has been accepted, the M&E Team will hold ad hoc meetings to discuss the deliverable and determine whether it effectively measures the indicators using the defined scoring criteria (Annex A). If the data correspond to one of the indicators shared between NASA CO and the Demand Activity, then a joint meeting will be called to review and verify. For those indicators unique to either NASA CO or Demand, monitoring will be done independently and shared quarterly. The deliverables (for both NASA CO and Demand Activity) are then stored in the SERVIR Document Library. If the deliverable is not accepted, the reasons are documented and communicated to the relevant hub staff.

INDICATOR QUALITY ASSESSMENT

In addition to proposing an integrated indicator data verification process, this DQA also examined the quality of the data collected with four select indicators. These indicators and their associated deliverables include:

Indicator	Deliverable under review	Responsible institution	Submission date
Number of people receiving training as a result of USG assistance	Report of CREST Hydrological Model Training in Rwanda	SERVIR/Africa	21 March 2013
Number of institutions engaged in regional or global knowledge exchange through SERVIR	N/A	N/A	N/A
Number of institutions with improved capacity to address climate change issues as a result of USG assistance	Report on Forest Fire Detection and Monitoring System in Nepal	SERVIR/Himalaya	28 May 2013
Number of stakeholders using climate information in their decision-making as a result of USG assistance	N/A	N/A	N/A

Each of the four indicators was assessed according to the following quality dimensions of the deliverables submitted: validity, reliability, timeliness, precision, and integrity. A summary of the results by indicator

is included below. For those indicators with no data currently available, an explanation and proposed actions are documented below. For the full results of the scoring exercise, please see the Annexes included at the end of this report.

NUMBER OF PEOPLE RECEIVING TRAINING AS A RESULT OF USG ASSISTANCE

Based on the assessment relative to the five standards, the overall conclusion is that the data collected for this indicator is of good quality. In addition to submitting a list of participants with their organizational affiliation, SERVIR/Africa also included a brief analysis of participant feedback forms completed at the end of the training. The M&E team was pleased to see this practice and plans to establish some standardized questions and metrics to be solicited at the conclusion of each SERVIR-related training. For example, according to the training report submitted by RCMRD, 75% of the participants claimed the course meet their expectations. In addition, a total of 75% of the participants claimed they intended to make use of the CREST model going forward.

The limitations identified included the lack of information to disaggregate the training participants by gender or type of user – meaning the M&E team was not able to discern whether participants were technical users or decision-makers within their organization. Also, there is not currently a system in place to use the information gathered to inform programmatic decisions or help design better trainings. Finally, the M&E team is not aware of the measures and policies in place at the hub to ensure the integrity of the data collected in training reports.

In order to address these issues, the M&E team will work closely with the Demand specialists in Task 2 to ensure capacity is built at the hub level for developing evaluation questionnaires that are integrated into a broader M&E system that can help inform when programmatic or activity-level changes are needed, and to provide a quality check process of all data collected and reported. Also, the M&E team will develop a standard training report format, including the key questions we want to ask at the end of each SERVIR-related training.

NUMBER OF INSTITUTIONS ENGAGED IN REGIONAL OR GLOBAL KNOWLEDGE EXCHANGE THROUGH SERVIR

No recent relevant data was collected by the IMS for this indicator. However, the Demand Activity had reported a total of five institutions from the GHG Mid-Term Meeting in Namibia at the time this report was published. In order to address the gaps in the IMS and ensure all relevant data is collected and reported for this indicator, the M&E team plans to meet with the Leads at NASA CO and document all activities and travel completed in the last program year. The M&E team will then use this list to report on deliverables and activities that were not originally included in the IMS. The revised data will be reported in the Annual Report for the NASA CO and the Semi Annual Report #2 for the Demand Activity.

NUMBER OF INSTITUTIONS WITH IMPROVED CAPACITY TO ADDRESS CLIMATE CHANGE ISSUES AS A RESULT OF USG ASSISTANCE

Based on the assessment relative to the five standards, the overall conclusion is that the data collected for this indicator is not of high quality. While the summary report itself provided a good general description of the tool, the data reported was not sufficient to measure improved capacity. For instance, the report mentions trainings with Nepal's Department of Forestry, but no other disaster organizations or relevant downstream institutions are included. Similarly, it would have been helpful to know the details of the organizations at the district level that will be targeted, such as FECOFUN. It was not clear from the

report whether there are plans to build capacity in additional institutions outside of the Department of Forestry. To a great extent, the data available for this indicator is limited by the fact that the Forest Fire tool is not yet operational. As such, no concrete evidence is available to demonstrate improved capacity – either at the national or local government levels.

Another limitation of the data provided was that no baseline capacity assessment was documented of the Department of Forestry prior to the SERVIR/Himalaya engagement. As the M&E Team noted in the detailed checklist in Annex E, this could have been completed by ICIMOD separately, but no evidence was included in the summary report submitted. Similarly, the report does not reflect any analysis of capacity or plans to follow up with the target institutions to analyze capacity in the future (i.e. after six months, nine months, one year, two years, etc.) to measure results. Again, as noted in Annex E, it is reasonable to assume that structures exist within ICIMOD to support this kind of measurement; however SERVIR may not be tapping into those structures.

In order to address these issues, the M&E Team will work closely with the Demand specialists in Task 2 to ensure structures are in place at the hub level to provide a quality monitoring data that is relevant and responsive to each indicator, and to foster harmonization with current hub-level M&E structures when applicable. Also, the M&E Team will develop a standard report format for tools, products, and applications developed under SERVIR. The report format will include standards for baseline capacity assessments, plans for follow up with stakeholders (if only anecdotal), and evidence of upfront dialog with stakeholders to identify needs and end users.

NUMBER OF STAKEHOLDERS USING CLIMATE INFORMATION IN THEIR DECISION-MAKING AS A RESULT OF USG ASSISTANCE

No recent relevant data was collected by the IMS or the Demand Activity for this indicator. To a great extent, this is due to the fact that expectations for measuring this indicator have not been clearly communicated to the hub staff. In addition, the structures may not be in place to collect this type of data at the hub level. While the hubs are currently tracking trainings and capacity building activities, SERVIR as a Project is not monitoring or collecting data to verify that stakeholders are using climate information in their decision-making after training takes place. This is a Project-wide issue that will be addressed in the August work-planning meetings in Nairobi, Kenya.

In the August session, the M&E plans to formalize a system or feedback loop where hub staff are checking in with stakeholders that have received a training to validate or verify the use of climate tools and services provided by SERVIR. In addition, the M&E Team will solicit anecdotal feedback and evidence from the hub staff during the monthly hub status meetings. In addition, the SERVIR CO will be collecting quarterly reports from the hubs after their contracts are finalized in July 2013. There will be a section for reporting on stakeholder use of SERVIR tools, products, and services that the M&E Team will monitor for inclusion in the PMP. Finally, the NASA CO expects to receive approximately 25 deliverables between June and December 2013 which will provide useful data for this indicator.

M&E SYSTEM FINDINGS

As mentioned previously, under Task 2 of the Demand Activity, work is currently being undertaken to assess M&E capacities at the hub level. The objective of this Task is to assess the impact of SERVIR program products to address climate change. However, the work will also be focused on better linking M&E systems at the hub level to the monitor and measure the performance of the overall SERVIR Project as well. A baseline capacity assessment of RCMRD is currently in progress. The assessment will help SERVIR leadership understand how the organization currently implements M&E and how SERVIR is or can be incorporated into existing systems, identify critical gaps, and determine actionable next steps for building M&E human and institutional capacity. This assessment will employ social science methodological best practices to explore domains of M&E functions and use. Please see Annex F for more details on the domains of inquiry of the assessment.

CONCLUSION

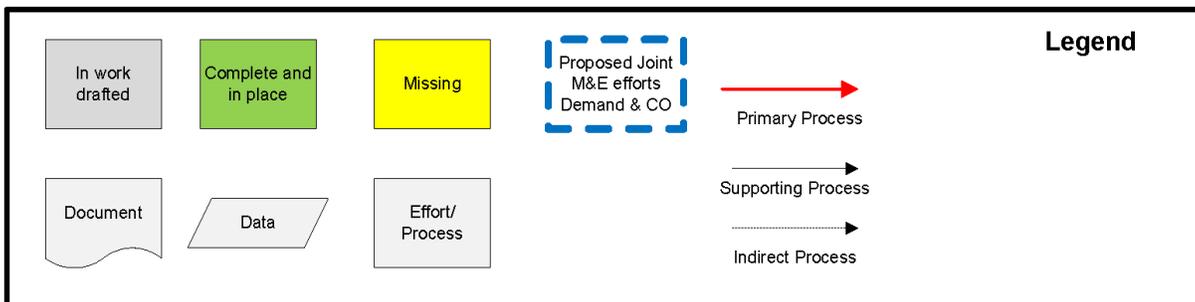
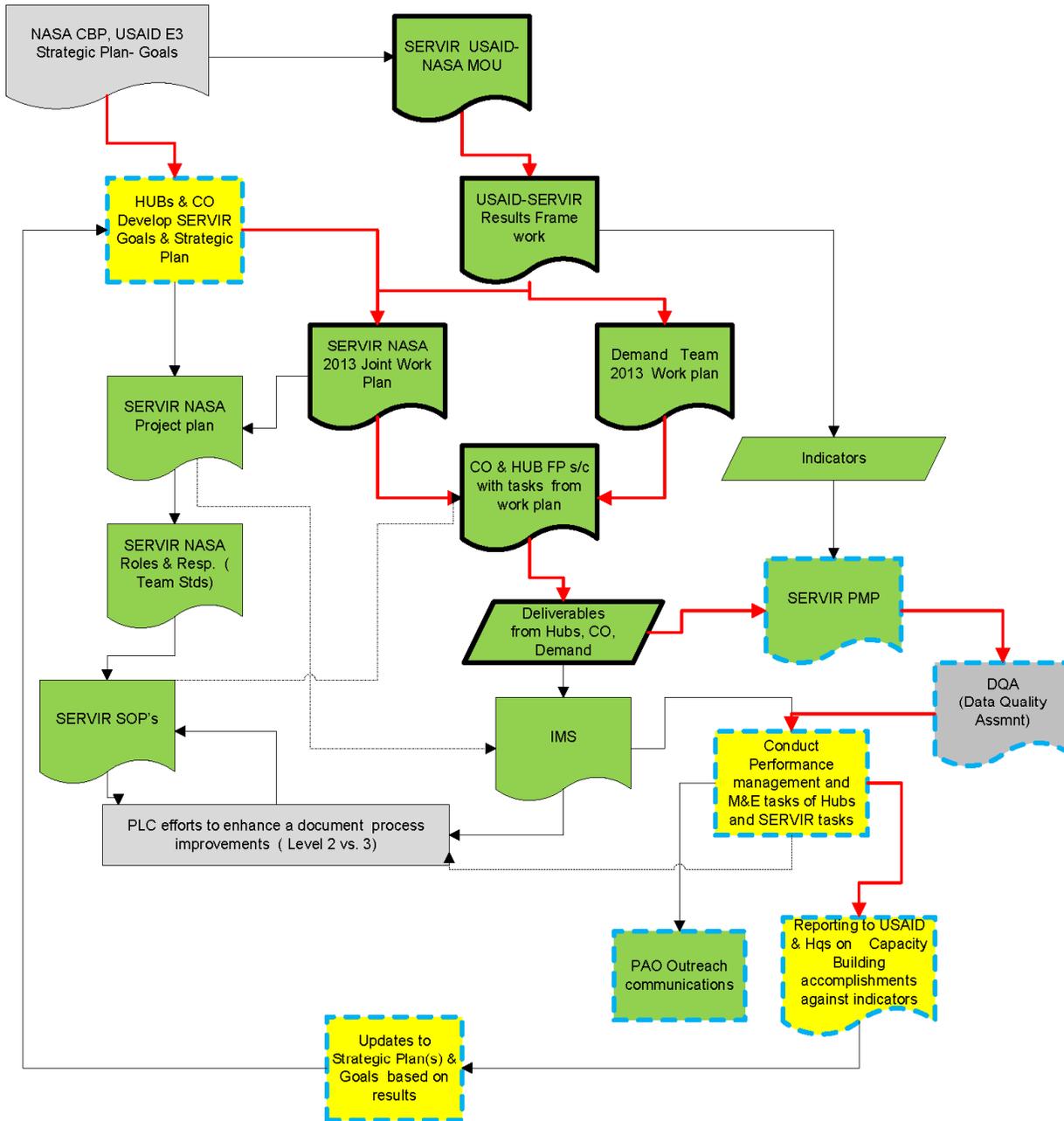
In order to respond to the DQA findings, the joint NASA and Demand M&E Team will develop action plans associated with each indicator tailored to the problems identified from the DQA exercise. This will also be done in collaboration with the Demand Task 2, which is working to develop and support M&E capacity building efforts at the hub institutions. These action plans will be the basis for technical support from M&E and technical teams in the remaining implementation period of the SERVIR project. It is anticipated that the action plans will be compiled in the month of October and published by November 1, 2013.

Other key action item identified by the DQA was to design a participatory session on M&E and what it means for SERVIR for the August work-planning meeting. This will be led by the M&E team in participation with TRG and Task 2 specialists. In addition, the M&E Team will also develop a typology of SERVIR deliverables (i.e. training report, summary of product developed, etc.). Once the types of deliverables have been identified, we will then develop a standardized format for each and clarify the key data points to be reported and communicate these with the hub and other relevant staff. Furthermore, these efforts will help to formalize the M&E standards and framework to be implemented with the new hubs as they come on board. Finally, the M&E Team will work with the Leads at NASA CO to collect all deliverables generated through SERVIR activities that may not have been captured in the IMS. This “bottom-up” approach will ensure all relevant activities are captured in the PMP.

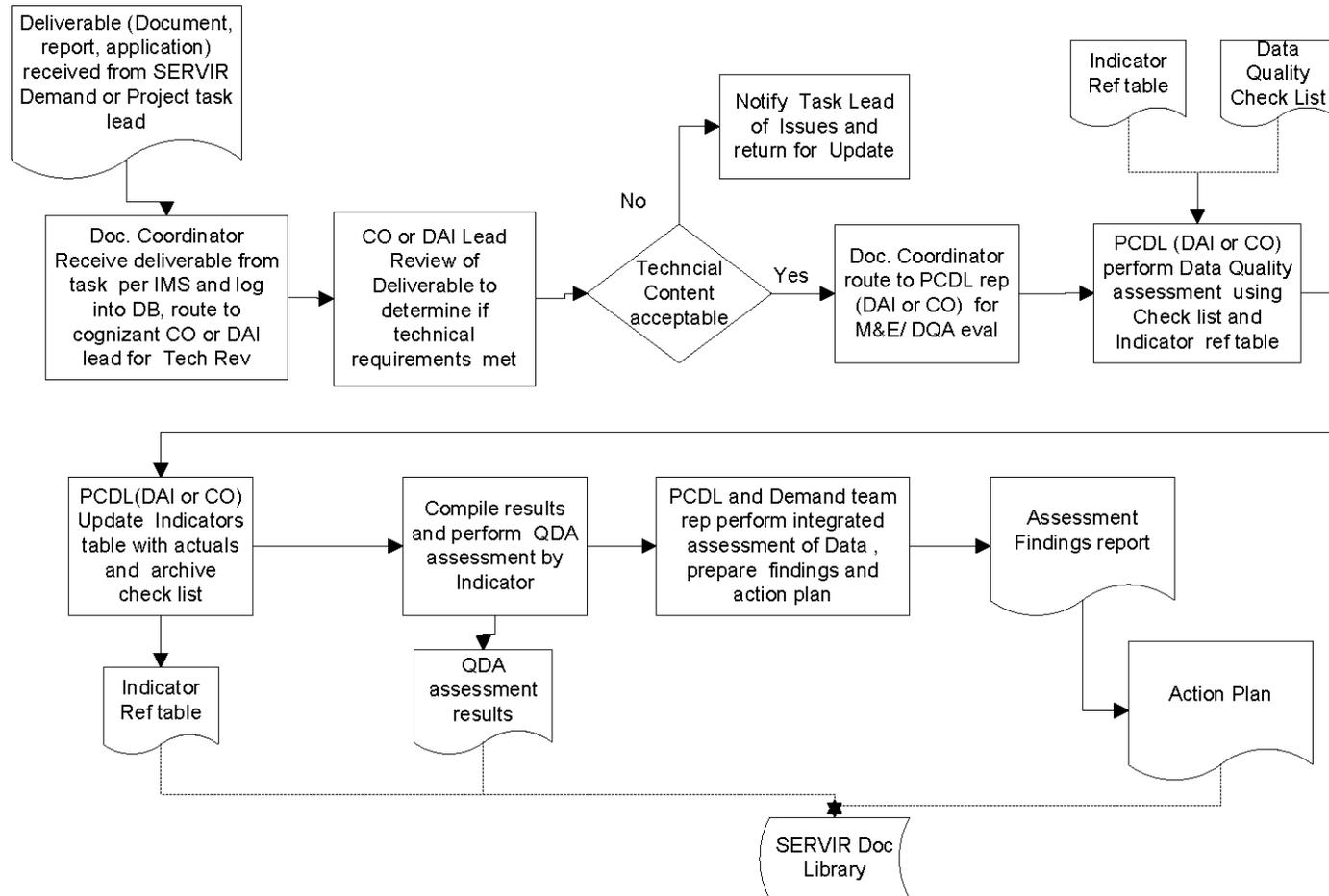
ANNEX A: USAID INDICATOR SCORING CRITERIA

		YES	NO	COMMENTS
VALIDITY – Data should clearly and adequately represent the intended result.				
1	Does the information collected measure what it is supposed to measure? (E.g. A valid measure of overall nutrition is healthy variation in diet; Age is not a valid measure of overall health.)			
2	Do results collected fall within a plausible range?			
3	Is there reasonable assurance that the data collection methods being used do not produce systematically biased data (e.g. consistently over- or under-counting)?			
4	Are sound research methods being used to collect the data?			
RELIABILITY – Data should reflect stable and consistent data collection processes and analysis methods over time.				
1	When the same data collection method is used to measure/observe the same thing multiple times, is the same result produced each time? (E.g. A ruler used over and over always indicates the same length for an inch.)			
2	Are data collection and analysis methods documented in writing and being used to ensure the same procedures are followed each time?			
TIMELINESS – Data should be available at a useful frequency, should be current, and should be timely enough to influence management decision making.				
1	Are data available frequently enough to inform program management decisions?			
2	Are the data reported the most current practically available?			
3	Are the data reported as soon as possible after collection?			
PRECISION – Data have a sufficient level of detail to permit management decision making; e.g. the margin of error is less than the anticipated change.				
1	Is the margin of error less than the expected change being measured? (E.g. If a change of only 2% is expected and the margin of error in a survey used to collect the data is +/- 5%, then the tool is not precise enough to detect the change.)			
2	Has the margin of error been reported along with the data? (Only applicable to results obtained through statistical samples.)			
3	Is the data collection method/tool being used to collect the data fine-tuned or exact enough to register the expected change? (E.g. A yardstick may not be a precise enough tool to measure a change of a few millimeters.)			
INTEGRITY – Data collected should have safeguards to minimize the risk of transcription error or data manipulation.				
1	Are procedures or safeguards in place to minimize data transcription errors?			
3	Is there independence in key data collection, management, and assessment procedures?			
3	Are mechanisms in place to prevent unauthorized changes to the data?			

ANNEX B: SERVIR PLANNING AND PERFORMANCE MONITORING PROCESS DIAGRAM



ANNEX C: DATA QUALITY ASSESSMENT FLOW



ANNEX D: INDICATOR ASSESSMENT CHECKLIST – NO. OF PEOPLE RECEIVING TRAINING AS A RESULT OF USG ASSISTANCE

		YES	NO	COMMENTS
VALIDITY – Data should clearly and adequately represent the intended result.				
1	Does the information collected measure what it is supposed to measure? (E.g. A valid measure of overall nutrition is healthy variation in diet; Age is not a valid measure of overall health.)	X		We need more info to disaggregate (sex, type of climate change topic area, etc.)
2	Do results collected fall within a plausible range?	X		
3	Is there reasonable assurance that the data collection methods being used do not produce systematically biased data (e.g. consistently over- or under-counting)?	X		
4	Are sound research methods being used to collect the data?	X		Questionnaire was collected from participants after the training concluded
RELIABILITY – Data should reflect stable and consistent data collection processes and analysis methods over time.				
1	When the same data collection method is used to measure/observe the same thing multiple times, is the same result produced each time? (E.g. A ruler used over and over always indicates the same length for an inch.)	X		Need to define and articulate standards for training report format to hubs, so that the same type of information is collected each time
2	Are data collection and analysis methods documented in writing and being used to ensure the same procedures are followed each time?		X	The analysis was good however there wasn't a collaboration in advance to ensure that all relevant questions were asked
TIMELINESS – Data should be available at a useful frequency, should be current, and should be timely enough to influence management decision making.				
1	Are data available frequently enough to inform program management decisions?		X	The data was reported in a timely manner but not made available to management in a timely manner due to lack of a well-defined procedural process
2	Are the data reported the most current practically available?	X		
3	Are the data reported as soon as possible after collection?	X		Again, need to establish reporting standards and define a training report format that collects the right information at the right time
PRECISION – Data have a sufficient level of detail to permit management decision making; e.g. the margin of error is less than the anticipated change.				
1	Is the margin of error less than the expected change being measured? (E.g. If a change of only 2% is expected and the margin of error in a survey used to collect the data is +/- 5%, then the tool is not precise enough to detect the change.)	NA		
2	Has the margin of error been reported along with the data? (Only applicable to results obtained through statistical samples.)	NA		
3	Is the data collection method/tool being used to collect the data fine-tuned or exact enough to register the expected change? (E.g. A yardstick may not be a precise enough tool to measure a change of a few millimeters)	X		

INTEGRITY – Data collected should have safeguards to minimize the risk of transcription error or data manipulation.			
1	Are procedures or safeguards in place to minimize data transcription errors?	X	Need to clarify the process for quality checking the deliverables received from the hubs
3	Is there independence in key data collection, management, and assessment procedures?		X Need to tie capacity building of the M&E system to ensuring integrity
3	Are mechanisms in place to prevent unauthorized changes to the data?	X	

ANNEX E: INDICATOR ASSESSMENT CHECKLIST – NO. OF INSTITUTIONS WITH IMPROVED CAPACITY TO ADDRESS CLIMATE CHANGE ISSUES AS A RESULT OF USG ASSISTANCE

		YES	NO	COMMENTS
VALIDITY – Data should clearly and adequately represent the intended result.				
1	Does the information collected measure what it is supposed to measure? (E.g. A valid measure of overall nutrition is healthy variation in diet; Age is not a valid measure of overall health.)		X	Not at this time, but we recognize the need to define and articulate what is required to accurately measure this indicator
2	Do results collected fall within a plausible range?	X		
3	Is there reasonable assurance that the data collection methods being used do not produce systematically biased data (e.g. consistently over- or under-counting)?	X		Additional information is required to document the methods used to collect the data reported
4	Are sound research methods being used to collect the data?	X		
RELIABILITY – Data should reflect stable and consistent data collection processes and analysis methods over time.				
1	When the same data collection method is used to measure/observe the same thing multiple times, is the same result produced each time? (E.g. A ruler used over and over always indicates the same length for an inch.)		X	At this time, the data is collected in an ad hoc fashion, which does not allow for this type of analysis. However, processes may exist at hub that SERVIR needs to better tap
2	Are data collection and analysis methods documented in writing and being used to ensure the same procedures are followed each time?		X	The report did not reflect any analysis of capacity develop with the institution (Dept. of Forestry)
TIMELINESS – Data should be available at a useful frequency, should be current, and should be timely enough to influence management decision making.				
1	Are data available frequently enough to inform program management decisions?		X	The data was reported in a timely manner, but no structure in place to follow up on improvements in capacity
2	Are the data reported the most current practically available?	X		
3	Are the data reported as soon as possible after collection?	X		Yes, but going forward we need to establish standards for reporting on products and applications
PRECISION – Data have a sufficient level of detail to permit management decision making; e.g. the margin of error is less than the anticipated change.				
1	Is the margin of error less than the expected change being measured? (E.g. If a change of only 2% is expected and the margin of error in a survey used to collect the data is +/- 5%, then the tool is not precise enough to detect the change.)	NA		Not available at this time as no baseline was established
2	Has the margin of error been reported along with the data? (Only applicable to results obtained through statistical samples.)	NA		Not available at this time as no baseline was established
3	Is the data collection method/tool being used to collect the data fine-tuned or exact enough to register the expected change? (E.g. A yardstick may not be a precise enough tool to measure a change of a few millimeters.)	X		
INTEGRITY – Data collected should have safeguards to minimize the risk of transcription error or data manipulation.				
16	Are procedures or safeguards in place to minimize data transcription errors? SERVIR PROGRAM – DATA QUALITY ASSESSMENT	X		Need to communicate expectations and standards

3	Is there independence in key data collection, management, and assessment procedures?		X	Need to look into structures to address this, if appropriate
3	Are mechanisms in place to prevent unauthorized changes to the data?	X		Assume this is true, but need to review with hub staff

ANNEX F: DOMAINS OF INQUIRY FOR M&E CAPACITY ASSESSMENT

Does your organization have a staff member(s) assigned full time to M&E? (Yes / No) Please describe the skills they bring to the position?
Is there an M&E plan for the organization as a whole, or for individual programs, please share with the assessment team. (notes to team – categories to review: Indicators that align to program objectives, Indicators that contribute to organizational objectives, Indicators that measure national objectives/ link to national plans / monitoring frameworks, Indicators aligned to donor regulations (e.g. USAID/PEPFAR, etc.), data disaggregated by gender, Implementation timetable outlined). Plan Exists Indicators align to program / organizational objectives Indicators aligned with donor guidelines Indicators aligned with national monitoring frameworks Indicators disaggregated by gender Indicators disaggregated by age
If you have multiple funding sources and programs are there M&E plans for each program? (Yes/No)
Do you have a budget to implement your M&E plan? (Yes /No)
Please describe how your organization manages data (collection, use, analysis, reporting)?
How often do you review information or data collected? Who is involved in that review? Which stakeholders are engaged? How frequently?
Do you review information or data collected from your sub-grantees, affiliates or network members? (to verify quality, inform programming), how?
Does your organization produce an annual report? How is this prepared? Who is the target audience?
How do you prepare technical progress reports for your programming, what are the elements of your reporting. (notes to team – categories to review: Progress on implementation of scheduled activities (schedule variance) and reasons, Achievements in meeting set targets, Expenditures made (budget variance) and reasons, Implementation period.
Please describe how you use monitoring and evaluation as a tool in decision-making?
How do you routinely identify best practices or success stories in your organization?
How do you share your results with stakeholders, beneficiaries, the government?