



MONITORING AND EVALUATION WORKSHEETS SUPPLEMENTAL INFORMATION

I. Introduction to Results Based Monitoring

HED will use its results-based monitoring and evaluation system to effectively manage partnership activities and demonstrate its impact. HED's monitoring and evaluation (M&E) system goes beyond tracking performance based on measuring inputs and outputs and utilizes logical planning tools to clearly define a results framework and identify adequate measures of outcomes and impacts.

HED integrates results-based monitoring in all stages of the partnership development process. To ensure solid foundations, starting from the RFA phase, HED will require monitoring and evaluation plans with each application, which will include illustrative benchmarks based on future baseline studies to determine performance targets based on the point from which the partnership work is starting.

As part of the sub-award negotiation process, HED will, in consultation with selected partnership directors, finalize an integrated performance management plan (PMP)¹ and define indicators, data sources and longitudinal data collection methodologies to measure performance and outcomes of the partnership. The PMP will provide a framework that will guide measurement of achievements made through project interventions and facilitate informed management decisions to ensure planned results are realized. Following the finalization of the PMP, the partnership, under HED's guidance, will collect data to establish a baseline and set targets for performance management over the course of the partnership.

In addition to custom indicators specifically identified for each partnership, HED tracks performance of its higher education partnerships across a set of standard indicators of human and institutional capacity development and development impact. The standard indicators are derived from Goal 2 of the new USAID Education Strategy and intend to track and measure progress towards achieving corresponding results in higher education.

¹ HED's PMP format adheres to USAID guidance on developing and implementing performance management plans as stipulated in *The Performance Management Toolkit, A Guide to Developing and Implementing Performance Management Plans*, IBM Business Consulting Services, Policy and Program Coordination Bureau, Contract Number: AEP-C-00-99-00034-00, April 2003. This publication is available online at http://pdf.usaid.gov/pdf_docs/PNACT871.pdf.

II. Using the Monitoring and Evaluation Worksheets Template

A. About the Template

The worksheets template designed using Microsoft Excel software serves a dual purpose. The first purpose is to guide applicants in their conceptual design of the partnership for which they are applying. Additionally, if an institution is awarded the partnership funding, then the institution will have a ready-made program plan to guide project implementation. The second purpose is to provide successful applicants/funded partners with a template for tracking the necessary information that must be reported to USAID (via HED) regarding the implementation of the partnership program.

The template consists of five monitoring and evaluation worksheets. These worksheets and the corresponding applicant/partner responsibilities are described below.

Higher Education Standard Indicators: This worksheet outlines standard indicators that HED tracks and reports on across all its higher education partnerships.

- Applicant Responsibility: Applicants will need to collect and report this information to HED should they be awarded a program. Therefore, applicants should take this into consideration in their results framework (RF) by incorporating these indicators under relevant objectives (as identified by the applicant/partner), as well as include these indicators and units of measurement in the PMP and PIP (see below) where appropriate. Data does not, however, need to be reported at the time of application. In order to assist in the review of your application, please indicate in Column “D” to which objective and intermediate result and/or output each indicator maps in your RF.

Cleaner Production Indicators [Conditional]: The worksheet includes indicators regarding the implementation of cleaner production processes and technologies by SMEs. These indicators are conditional and will depend on the agreed upon project activities identified by the partners in consultation with the World Environment Center (WEC).

- Applicant Responsibility: Applicants do not need to modify this sheet as part of their application process. However, they will need to collect and report information on these and/or similar cleaner production process indicators. Therefore, applicants should take this into consideration in their results framework (RF) by incorporating these and/or similar indicators under relevant objectives (as identified by the applicant/partner), as well as include these indicators in the PMP and PIP (see below). WEC will assist with and guide the definition of indicators, of baseline data and methods of data collection. However, the applicant will be solely responsible for including any agreed-upon, final cleaner production indicators in progress reports when the data is available.

Results Framework (RF) - Custom: Applications should utilize the logical framework template to develop a rigorous results framework (RF) and formulate a coherent and well-designed partnership strategy. The RF will establish cause and effect relationship within the hierarchy of results and reveal underlying assumptions; as such, it will form the basis for the development of all M&E related documents.

- Applicant Responsibility: Applicants/partners must complete this worksheet based on the contextual factors and specificities of the program for which they are applying to implement. Applicants must fill out all columns (hierarchy of results, indicators, and assumptions) in this sheet. However, they do not need to complete all rows; only as many objectives, outcomes and outputs that the applicant deems appropriate for the partnership should be completed. As stated above, applicants/partners must include the standard indicators in their RF where they deem them to be appropriately placed.

Performance Monitoring Plan (PMP): The performance monitoring plan (PMP) is a tool for managing the data collection process and responsibilities. The template will allow applicants to outline a systematic approach to results based management and provide a detailed description of the approach to monitoring partnership performance toward objectives over time

- Applicant Responsibility: In the PMP template, the columns for objectives, results and indicators will automatically populate from the RF worksheet. Applicants/potential partners must complete the next five columns (disaggregation, precise definition and unite of measurement, data source, means of verification, and frequency of data collection). The final two columns (baseline value and end of project target) will be completed upon successful awarding of funding.

Partnership Implementation Plan (PIP): Applicants are required to submit a detailed listing of anticipated partnership activities and implementation schedule. The implementation plan will document a logical sequence of events over time that will allow the partnership to progress towards producing required outputs. Applicants will utilize the worksheet template to define activities and major phases of work that will be undertaken to achieve the desired objectives.

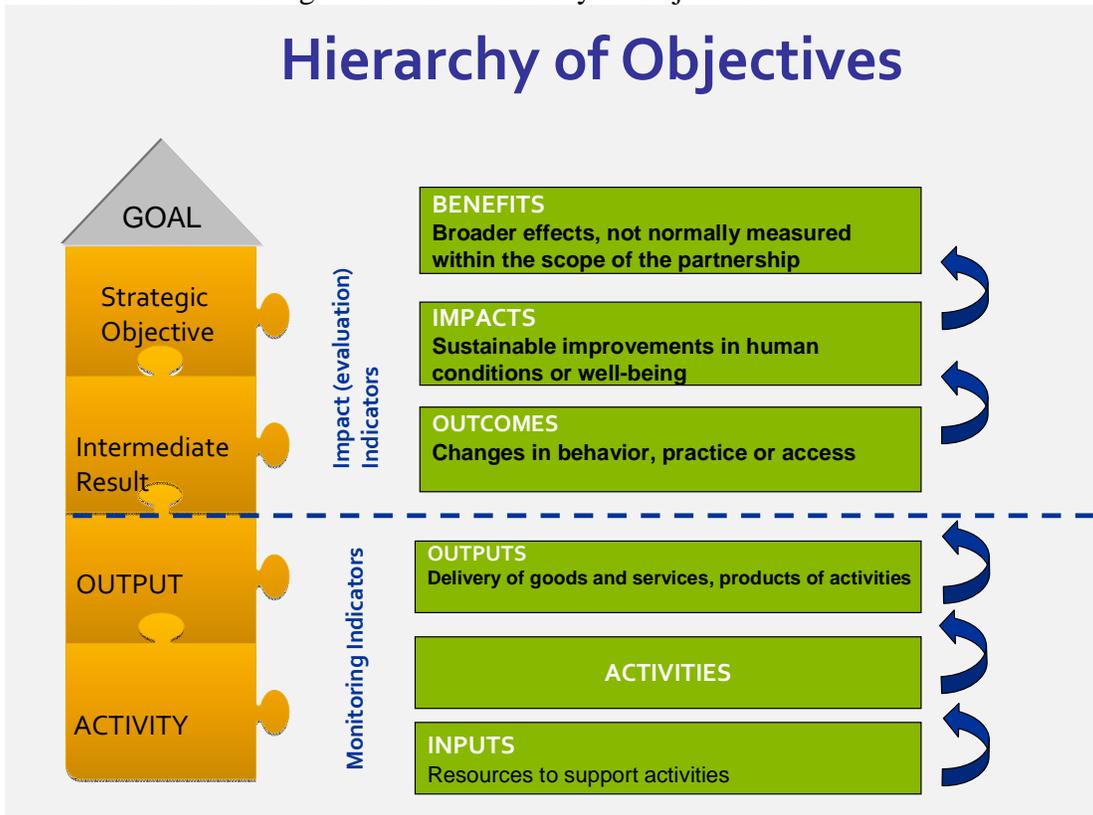
- Applicant Responsibility: Like the PMP worksheet, the columns for objectives, results and outputs will automatically populate. Applicants must then identify activities relevant for achieving each objective, result and output and indicate when such activities will be carried out.

******Please note that should an applicant be awarded funding, the RF, PMP and PIP will be finalized in consultation with HED and USAID after the award has been made. However, your application will be judged based on how well your program design is adequately presented in these worksheets.***

B. Illustration of the Framework

Applicants/potential partners should review the guidance for developing a performance management framework in the USAID document, *The Performance Management Toolkit, A Guide to Developing and Implementing Performance Management Plans*, which is available online at http://pdf.usaid.gov/pdf_docs/PNACT871.pdf. However, the causal linkages among the framework elements may be summarized graphically like in Figure 1 below. In addition to these elements, indicators also must be identified to measure each anticipated result.

Figure 1. Performance Management Plan Hierarchy of Objectives



C. Key Definitions

Results Framework: A Results Framework (RF) is both a planning and a management tool. A RF is similar to a logical framework (or log frame), but places more emphasis on results-based management and as such, requires more information about assumptions, indicators, and data collection approaches, for example. This additional information assists project managers demonstrate that there is a direct link among activities, outputs, outcomes and objectives to the project goal. Progress at a lower level in the hierarchy of results is a necessary precondition for each higher level.

Goal: The goal is the ultimate purpose of the project and expresses the long-term impact that the partnership hopes to achieve. The goal statement usually captures a larger development change and is aspirational in nature. Each partnership has only one goal. Indicators at the goal level are generally population based and not specific to partnership beneficiaries alone.

Objectives: Objectives statements capture aims towards which the partners strive to contribute by the end of the project. They are written in the present tense with an implied subject. For example, an objective might be stated, “[Our objective is] To support the Bloom Technical Institute in providing quality education and training in the area of horticulture.” A partnership project can have more than one objective, but usually has one to three, and not more.

Outcomes: Outcomes are synonymous with results. Outcomes fall along a continuum from short- to long-term outcomes, but capture achievements that will be made by the end of the partnership project. These statements capture a change in knowledge, awareness, skills, attitudes, or behavior and are usually expressed in past tense. For example, an outcome might be stated, “Improved horticultural educational offerings at the Bloom Technical Institute.” A partnership can have more than one outcome/result, but to ensure a coherent, focused strategy anticipated outcomes usually are limited to no more than three per objective.

Outputs: Outputs represent tangible products, services or goods that the partnership will produce in the short-term as a result of project activities. These products are countable and can be measured in terms of how much or how many. Each result can have more than one output, but usually not more than two to three. An example of an output might be “new horticultural courses about flower blooms.”

Indicators: Indicators are dimensions or characteristics we measure to assess whether desired results are being achieved. Data collected on indicators help project managers make critical decisions to steer the project towards success. Good indicators are SMART (specific or one-dimensional, measurable, attainable, realistic and time-bound). Indicators must be identified to measure each anticipated output and outcome Each output and outcome statement can have more than one indicator, but because data must be collected for each indicator, the general criterion is to choose a minimum number of indicators for each statement. Sometimes one is enough, but generally no more than two to three indicators per statement are used.

Partnership Monitoring Plan: “A good PMP should NOT be developed only to satisfy Washington reporting needs and then left to collect dust.” Project managers should use the PMP continuously to make informed management decisions, identify performance gaps, and improve tactics for reaching the objectives and project goal.

Disaggregation: List any planned ways of disaggregating the data, such as male/female, bachelor/master’s/doctoral students, etc. Disaggregation may not apply to all indicators.

Precise Definition / Unit of Measurement: Define the specific words or elements used in the indicator and clarify the unit of measure, such as number of, percent, etc.

Data Source: Identify the source of the data, such as admissions records, survey, attendance roster, etc.

Means of Verification / Data Collection Methodology: Describe the tools and methods for collecting the data. Who will collect it from whom? And who will verify that the data is accurate or valid and reliable?

Frequency of Data Collection: Identify how often and at what time intervals the data will be collected.

Baseline Value: The value of an indicator before/immediately at the start of project implementation.

End of Project Target: Planned level of result to be achieved by the end of the project, which is approximately three years in duration. For example, if the indicator is “# of students trained,” then the target should be the number of students that the partners hope to have trained by the end of the project. (Interim targets will need to be established once project funds are awarded.)

Partnership Implementation Plan: The Partnership Implementation Plan (PIP) outlines in detail a logical sequence of activities over time that will allow the partnership to progress towards producing required outputs.

Activities: Any task, action, or process that partners will necessarily need to undertake to produce outputs.