

Guidelines for Process Evaluation

For Family Health International/Nepal Implementing Agencies

Family Health International/Nepal
USAID Cooperative Agreement #367-A-00-06-00067-00
Strategic Objective No. 9 & 11

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Background and Introduction

The Family Health International/Nepal (FHI/Nepal) -led Advancing Surveillance, Policies, Prevention, Care and Support to Fight HIV/AIDS (ASHA) Project, funded by the US Agency for International Development (USAID), works in partnership with the National Center for AIDS and STD Control (NCASC) and the Ministry of Health and Population. The activities conducted under the ASHA Project work to contribute to the Government of Nepal's National HIV/AIDS Strategy and Action Plan.

FHI/Nepal has adopted the global monitoring and evaluation (M&E) framework to ensure routine evaluation of ongoing HIV/AIDS projects; process evaluation has been highlighted as one of the major components. In this framework, process evaluation is described as an in-depth assessment of input, process and output of any project for HIV/AIDS. FHI/Nepal has initiated process evaluation as a periodic participatory process to examine the level of effort being made in both program planning and in the implementation of sub projects.

This resource guide is intended to provide the framework and guidelines for conducting process evaluation workshops with ASHA Project partner organizations and implementing agencies. It is our desire that the information provided in the subsequent pages will provide the knowledge and skills necessary to facilitate process evaluation, thereby presenting partner organizations and implementing agencies with the opportunity to participate in an open, critical and analytical assessment of ongoing projects which they are undertaking. In good time these assessments will lead to improved programs for HIV/AIDS prevention, care, treatment and support.

It is our intention that upon completion of this workshop, participants will have:

- Identified the strengths and weaknesses, as well as the “best” aspects, of their ongoing projects
- Identified program gaps
- Assessed the overall implementation status of project activities
- Built support for high staff morale and worker motivation
- Identified improvement areas in the project
- Developed and supported a program amendment (if needed)

Training Methodologies

The procedures of process evaluation have been designed based on the principles of adult learning and participatory approaches. Methodologies include lectures accompanied by PowerPoint slides, appreciative inquiry peer interviews, group work, activities and presentations, SWOT analysis, site visits, participatory video, brainstorming and mapping exercises, games for session linkages and data analysis.

“Process evaluation is an evaluation of the internal dynamics of implementing organizations, their policy instruments, their service delivery mechanisms, their management practices, and the linkages among these.”

- DFID Evaluation Department, Guidance on Evaluation and Review for DFID Staff; 2005:66

Day One Preparatory Meeting

Objectives	Materials	Participants	Activities	Duration
To establish the foundation for a holistic appraisal of the project	<ul style="list-style-type: none"> • Wipeboard • Marker 	As many staff members as are available to participate	Brainstorming	1 ½ hours

Facilitator Note: The purpose of this initial session is to establish the foundation for a holistic appraisal of the organization. During this time, staff members will identify the aspects of their project which they would like to assess and appraise; this will warm them up to the idea of examining their project from an analytical perspective.

Activity Breakdown

Brainstorming

Begin this session by asking participants, "If you were going to the doctor and wanted a full body check-up, which areas of your body would you ask the doctor to check?"

Allow participants to respond and record these responses on the wipeboard.

Now ask, "If you wanted to do a full check up on your project, which areas would you want to check?"

Allow participants to respond and record these responses on the wipeboard.

Facilitator Note: The responses given during this brainstorming activity are to be used to develop the framework of aspects to be evaluated over the course of this process evaluation.

Session Conclusion

Bring this session to a conclusion by discussing participant's responses. Determine which aspects mentioned will be specifically covered and explain how they will be addressed during the process evaluation.

“Appreciative inquiry involves developing a deeper understanding of the program, which requires prolonged engagement, a commitment to empirical investigation, and the progressive investigation of different perspectives.”

- American Evaluation Association, Using Appreciative Inquiry in Evaluation; 2003:78

Day One

Process Evaluation Introduction and Appreciative Inquiry Peer Interview

Objectives	Materials	Participants	Activities	Duration
<ul style="list-style-type: none"> • Introduce overall objectives of the process evaluation • Facilitate positive thinking among participants 	<ul style="list-style-type: none"> • Appreciative Inquiry Interview Questionnaires <i>Annex 1</i> • <i>(Optional)</i> PowerPoint presentation • <i>(Optional)</i> LCD Projector 	All staff members	<ul style="list-style-type: none"> • Introductory Activity • Objective Introduction • Appreciative Inquiry Peer Interviews 	Remainder of Day One

Activity Breakdown.

Introductory Activity

Divide participants into groups of two. Request that each individual introduce their partner to the rest of the group by indicating their partner's name and best skills and abilities. This exercise will provide an atmosphere of encouragement and comradery among staff members.

Objectives Introduction

Following the introductory activity, introduce the objectives of this workshop. This can be done either verbally or with the assistance of a PowerPoint presentation. The workshop objectives are as follows:

- To identify the "best" aspects of the ongoing projects
- To identify the strengths and weaknesses of the ongoing projects
- To identify the program gaps and support a program amendment if needed
- To assess the overall implementation status of the project activities
- To build support for high morale and worker motivation of staff members
- To identify improvement areas in the project

Appreciative Inquiry Peer Interviews

Distribute Appreciative Inquiry Interview Questionnaires (*Annex 1*) to participants; each participant should receive one. Request that participants remain with the partner they were paired with during the introductory activity. Each pair should ask one another the questions on the questionnaire and record the responses accordingly.



Participants engage in appreciative inquiry peer interviews.

Facilitator Note: These questionnaires inquire about experiences, high points, moments of pride and identification of improvement areas. Responses should be kept, as they will be used in subsequent sessions to identify strengths and weaknesses of the project and its implementation.

When all pairs have completed the appreciative inquiry peer interviews, request a volunteer group to present their partners responses; all participants should present the results of their peer interview with the rest of the forum.

Session Conclusion

After all participants have introduced their partners to the forum highlight the many positive aspects and attributes which have been mentioned. Emphasize the strong sense of comradery, teamwork and admiration which is felt among this group of participants and discuss the positive influence that these feelings have on their commitment to their work, their organization and their project.

Facilitator Note: During the conclusion make a point to accentuate the high points which were mentioned during the appreciative peer inquiry interview presentations. This will make participants feel pride in their workplace and colleagues and will facilitate a positive and supportive basis to begin the process evaluation from.

Conclude this session by highlighting the high levels of respect and appreciation that the members of this organization have for one another and for the work which they are aiming to achieve.

“The only man who behaves sensibly is my tailor; he takes my measurements anew every time he sees me, while all the rest go on with their old measurements and expect me to fit them”

- George Bernard Shaw

Day Two Strengths, Weaknesses, Opportunities and Threats (SWOT) Analysis

Objective	Materials	Participants	Activities
To identify the strengths, weaknesses, opportunities and threats as perceived by all staff members	<ul style="list-style-type: none"> • Meta-cards • Markers • Masking Tape 	All staff members	<ul style="list-style-type: none"> • Group Work • Brainstorming • Group Discussion

Activity Breakdown

SWOT Analysis

Divide staff members into groups based on their job title/description, i.e. community mobilizers, management teams, outreach teams, etc. Ensure that all groups are of relatively equal size; if some job titles/descriptions have a larger number of staff members participating than others, divide these groups accordingly so as to be of similar size as the others.

Distribute four meta-cards to each group; one card for each aspect of SWOT.

Ask that each group discuss the SWOT aspects of the project in relation to their specific role/position in the project. Request that each group decide on one point for each element of SWOT to be recorded on the meta-cards provided.



Facilitator Note: When groups have completed brainstorming and have recorded their responses on the meta-cards, collect them by taking each element, i.e. *S* cards, *W* cards, *O* cards, *T* cards, separately.

For each separate element shuffle the cards so that responses will not be in any particular order and therefore cannot be traced back to any particular group.

Present each element separately and discuss the various aspects of SWOT that have been identified.

Facilitator Note: This process is designed to encourage critical thinking and analysis and to generate group discussion. The meta-cards should remain displayed so that participants can reflect on the various aspects which have been identified throughout the process evaluation as well as at later dates.

Session Conclusion

Bring this session to a conclusion by highlighting various aspects of SWOT.

How do the strengths, weaknesses, threats and opportunities which have been identified effect program activities?

How can the strengths and opportunities be utilized?

How can the weaknesses and threats be mitigated?

“Connecting issues to the everyday lives of ordinary people is the only sustainable strategy.”

– source unknown

Day Three

Site Visits/In-depth Interviews/Field Interviews

Objectives	Materials	Participants	Activities
<ul style="list-style-type: none"> To observe the field activities and outreach methodologies To observe and interact with beneficiaries 	<ul style="list-style-type: none"> Note pad Pen/pencil Video camera Release forms 	<ul style="list-style-type: none"> Facilitator Community Mobilizer(s) Beneficiaries 	<ul style="list-style-type: none"> Site visits In-depth Interviews Field Interviews

Activity Breakdown

Site Visits/In-depth Interviews/Field Interviews

During this session the facilitator, accompanied by a community mobilizer, will conduct various site visits to drop in centers, outreach centers, radio listener groups, etc. While visiting the selected locations informal in-depth interviews w/ staff members and beneficiaries will be conducted to explore their likes and dislikes regarding the project intervention/implementation.



Observing a Drop-In-Center.

Facilitator Note: Be sure to take note of certain aspects such as:
 How do the beneficiaries behave towards the community mobilizers?
 How do the community mobilizers behave towards the beneficiaries?
 How do the community mobilizers find and interact with the beneficiaries?
 How do the beneficiaries spend their time? Where do they congregate?



Additionally, the facilitator will hold in-depth interviews with beneficiary members for feedback regarding the relevancy of the intervention, the positive aspects of the project and for their input on possible improvement areas of the project's activities.

Facilitator Note: Remember to ask opened ended questions; this will allow interviewees to go into more detail and express themselves in their own words.

While conducting interviews, ask the interviewee if you can film his/her responses.

Facilitator Note: When videotaping individuals, always make sure to ask their permission before filming and have them sign a release form permitting the footage to be shown to others.

If footage is collected, it will be used in a subsequent session for analysis.

“Success and failure are both greatly overrated. But failure gives you a whole lot more to talk about.”

– Hildegard Knef

Day Four Participatory Mapping

Objectives	Materials	Participants	Activities
Introduce mapping tools for identifying program successes and gaps.	<ul style="list-style-type: none"> • Map of the project area • Markers • Stickers • Recent project data 	Key staff members	<ul style="list-style-type: none"> • Lecture • Group Activity • Group Reflection & Discussion

Activity Breakdown

Lecture

Exhibit the PowerPoint presentation on mapping. It should cover the following types of maps:

- Broad/Sketch mapping
- Community mapping
- Focus map
- Health facility map
- Interventions map
- Operational maps
- Mobility maps

Facilitator Note: Display various examples of different types of maps to demonstrate how mapping is used as an empowering tool for visualization.

Mapping is an extremely valuable tool in HIV/AIDS work and can be used to visualize a project and/or its components and to highlight various important elements.



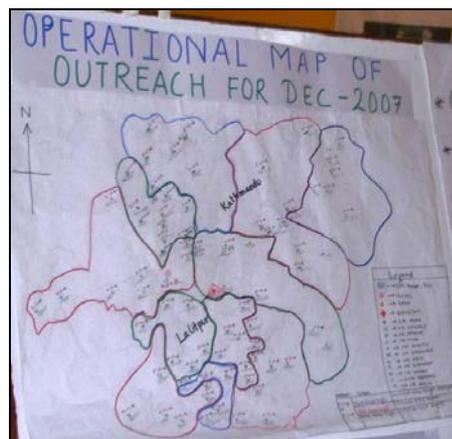
Operational maps serve as an exercise of evaluation over program areas and function as a tool for program improvement. These maps can be utilized to answer questions in relation to various project areas; such as:

Where is our target group most highly concentrated? What areas are our staff members accessing? Which areas are not being accessed? Where does our target population live? Etc.

Additionally, mapping can be used to highlight successes and areas for improvement within the project by answering such questions as:

Why is one DIC accessing more people than another? In what areas are our project targets being accomplished? Where is the coverage gap in our project district? Why is there a coverage gap in this area? Etc.

Creating these types of maps allows for the identification of program/project strengths and weaknesses; this promotes an awareness of successful aspects of a program and identifies gaps for initiatives to scale-up in difficult areas.

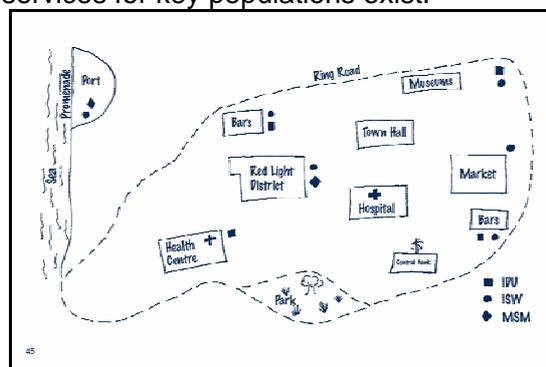


Participatory Mapping

In any development intervention it is essential to involve the community. When community members assist in mapping exercises, it provides an overview of the community from their point of view; what places they identify as important, safe, dangerous, etc. and contributes to a more effective analysis and thereby more successful actions. The following maps are those which are drawn by, or with the help of, community members.

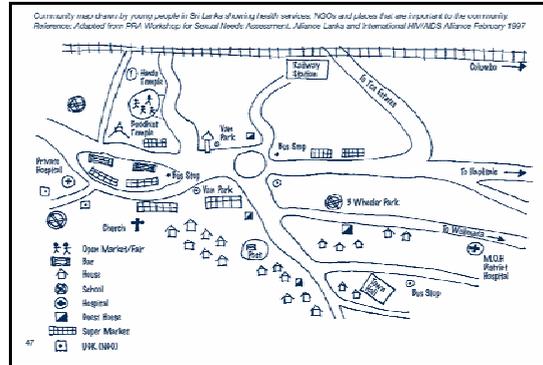
Broad (Sketch) Mapping

This type of map shows where key populations live and the locations where services for key populations exist.



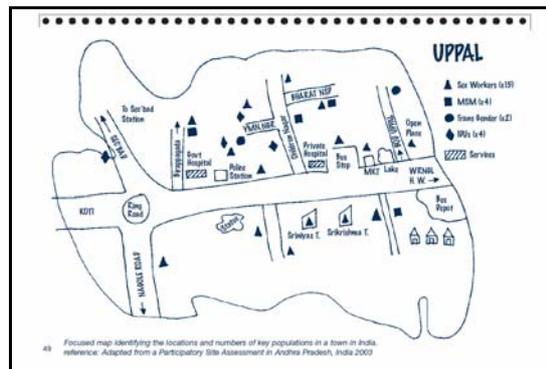
Community Mapping

This type of map shows important places in a community such as temples, markets, health service facilities, schools, places where people meet, places where people socialize and so on.



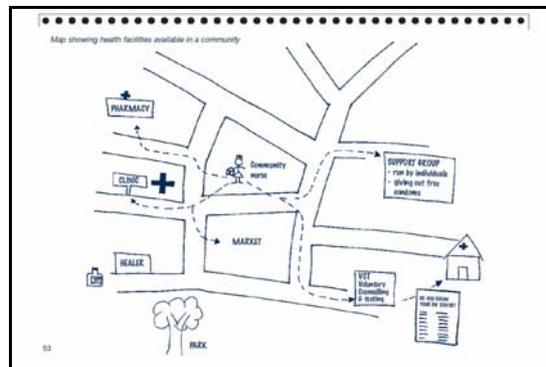
Focus Mapping

A focus map is a detailed map which illustrates the locations of various access points to high numbers of key populations. This type of map shows where these populations live, work and access services.



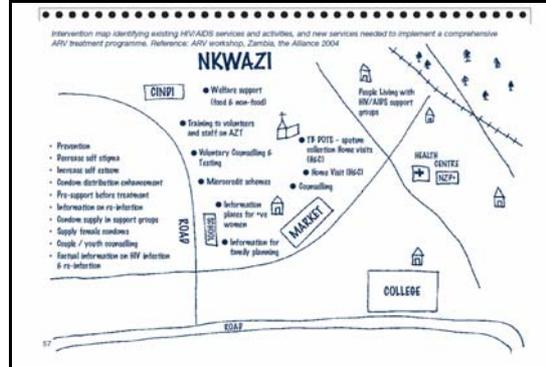
Health Facility Map

This map illustrates where the health services which are available to the community are located.



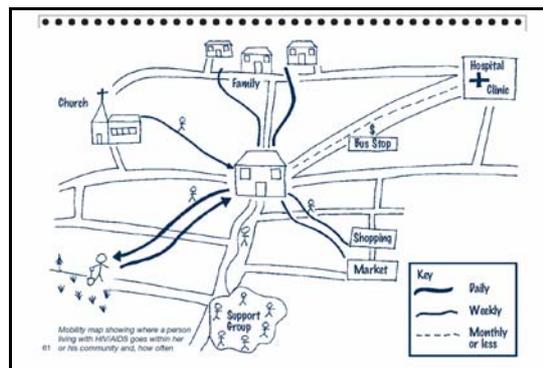
Intervention Mapping

An intervention map shows the location services and activities in a specific community or area; for example, locations of services and activities for HIV/AIDS prevention.



Mobility Mapping

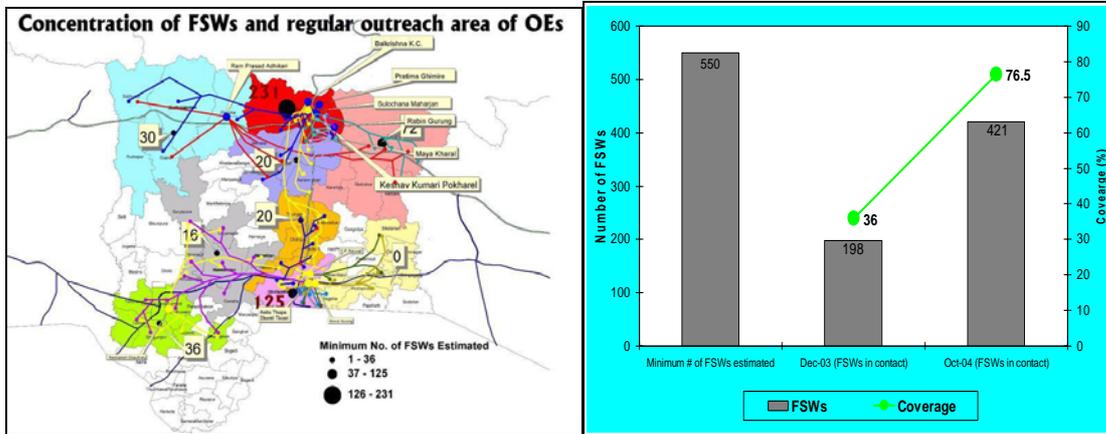
Mobility maps provide a means of visualizing space over time; i.e. who is being accessed by whom? How often? These maps serve as a diagram of places where people go within a community or location that are important to them; this includes both beneficiaries and OE/CM/PEs.



Facilitator Note: It is suggested to use the example in Box 1 to illustrate how operational maps can assist in the identification of program gaps and facilitate program/project improvement.

Box 1

The creation of these maps allows for visual establishment of program gaps. The following example illustrates the way that operational mapping can function to improve program access.



The identification of areas where high numbers of the target group population were located and an analysis of where current efforts were being concentrated, allowed this organization to get an overview of the action plan and activities which were in place in order to conceptualize ways to improve the system of outreach activities. This permitted a reevaluation of the action plan and resulted in a higher concentration of resources and activities to the areas where gaps were identified. Consequently, target group coverage increased by 40.5% in ten months.

Group Activity

Throughout this session participants will be asked to create a variety of maps discussed during the lecture, including mobility maps, target population location maps, operational maps, etc.

Using recent program data, participants will come together to create maps of the project's functions, areas and communities it is accessing, in addition to the mobility of beneficiaries and staff members.

These maps will be used to identify program strengths and gaps.

Reflection and Discussion

After the creation of each individual map ask participants to reflect on what has been illustrated.

What does this map say about the project?



Utilize the map as a tool for identifying the strengths and weaknesses; the achievements and gaps.

Where are the project accomplishments?

Where are the gaps?

What can we do to rectify the gap areas?

Session Conclusion

Conclude this session by reviewing the various types of maps which were created and their functions. Highlight the elements and conclusions which were drawn from these visualizations and discuss the relevant actions to be taken.

*“Planning is bringing the future into the present so you
can do something about it now.”*

– Alan Lakein

Day Five Routine Data

Objectives	Materials	Participants	Activities	Duration
For participants to create an up-to-date matrix reflecting the project accomplishments and gaps	<ul style="list-style-type: none"> • Matrix template • Recent project data 	Key staff members	Group Activity	3 Hours

Activity Breakdown

Group Activity

Distribute M&E matrix template to participants.

In this session participants will create an M&E matrix by using the numbers from recent monthly reports to calculate data regarding estimated targets and accomplishments within the provided template.

Initially, this activity will be carried out with the participants engaging in this session; however, it will later be reviewed by an MIS officer from ASHA Project.



Session Conclusion

Bring this session to a conclusion by generating a discussion on the data which has been calculated. What do the numbers say about the project targets versus the accomplishments? How do these number relate to the maps which were created?

*“We can chart our future clearly and wisely only
when we know the path which has led to the present.”*

– Adlai E Stevenson

Day Five Participatory Video

Objectives	Materials	Participants	Activities	Duration
<ul style="list-style-type: none"> • For observation of video footage • To generate an open forum of reflection and identification 	<ul style="list-style-type: none"> • Compiled video footage • Television & VCR/Screen & Projector 	Key staff members	Group Activity	Remainder of Day Five

Activity Breakdown

Group Activity

This session utilizes the short digital video clippings, recorded during previous sessions, to capture moments of interaction and feedback in order to review and reflect on processes in an effort to identify improvement areas in project activities.

Facilitator Note: Exhibit video clippings to participants; engage them in a participatory interaction of review and discussion of the collected footage.

For example: Footage has been collected of an outreach educator conducting a session with beneficiaries; while watching this footage undertake an analysis of the situation:

How is the outreach educator interacting with the beneficiaries? How are the beneficiaries responding to the outreach educator? What materials are being used to conduct this outreach? What materials are helpful in effective communication? What other materials could be used to conduct outreach?

All pertinent clips should be exhibited and reflected upon with participants.

Facilitator Note: Ensure that upon completion of the process evaluation the organization is provided with a CD of all photographs and video footage which has been collected over the course of these activities.

Session Conclusion

Bring this session to a conclusion by reviewing the main points which were observed during this session. What were the positive highlights? Where was there room for improvement? What actions will be taken in order to achieve those improvements?

*“It is not the answers which show us the way, but the
questions.”*

– Rainer Maria Rilke, Czech poet

Day Six Data Analysis

Objectives	Materials	Participants	Activities
<ul style="list-style-type: none"> • To identify project accomplishments and areas for improvement • To review and score indicators 	<ul style="list-style-type: none"> • Maps created on Day Five • Data matrix created on Day Six • Checklist <i>Annex 2*</i> 	Key staff members	<ul style="list-style-type: none"> • Group Exercise • Group Discussion & Exercise

Activity Breakdown

Group Exercise

The purpose of this group exercise is to generate ideas and identify improvement areas.

Facilitator Note: Quote excerpts from the narratives gathered during the in-depth interviews conducted on Day Three, Site Visits/In-depth Interviews/Field Interviews; these should be used to generate discussion.

A comparison should be drawn between the areas of improvement which have been identified by the participants with those that were mentioned in the in-depth formal interviews.

Group Discussion & Exercise

Facilitator Note: Use the qualitative information recorded during the group exercise to identify the most frequent opinions.

After identifying the most frequent opinions, encourage participants to use the map, created during the mapping session, to visualize the gaps in the project areas.

Distribute the checklists to participants. Have them use them checklists to assess, through scores, the overall project implementation. Present the results geographically.

Facilitator Note: Scoring of checklist indicators can take a significant amount of time; be sure to allocate enough time for completion.

Session Conclusion

Bring this session to a conclusion by highlighting the main areas of improvement that have been realized during this activity.

Day Seven Process Evaluation Conclusion

Objectives	Materials	Participants	Activities
<ul style="list-style-type: none"> • Analysis and reflection • Debriefing to executive board and key staff members 	<ul style="list-style-type: none"> • Appreciative Peer Inquiry forms completed on Day One • SWOT analysis cards from Day Two • Maps created on Day Five • Data matrix created on Day Six • Checklist <i>Annex 2</i> 	<ul style="list-style-type: none"> • Key staff members • Executive board members 	<ul style="list-style-type: none"> • Group Discussion • Presentation

Activity Breakdown

Group Discussion

Present the appreciative peer inquiry forms, maps, data matrix and checklist, and request that participants review these items. Generate discussion on each of the various items developed.

How can the strengths, weaknesses, threats and opportunities identified be used to improve program activities?

Where are the gaps which were identified?

How do these gaps relate to the data calculated?

What is the rate of accomplishments?

What can be done to rectify these gaps and improve program accomplishments?

Ask for participant's feedback and learning points.

Presentation

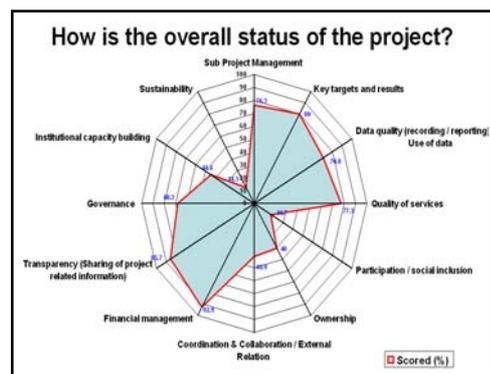
Participants should debrief the executive board members and other key staff members on the elements and findings identified during this process evaluation proceeding.

Presentation of the dashboard and selected video clips should be exhibited.

An example of a dashboard created during a process evaluation conducted with Nepal Red Cross Society Kanchanpur can be seen below and in Annex 3.

Conclusion

Bring this process evaluation to a conclusion by conducting a question and answer with the presentation audience and by reviewing actions to be taken to rectify gaps and generate improvements.



Annex 2*

Sample Data Analysis Checklist

Note: This checklist is the finalized tool for *prevention projects only*; it should not be used to assess any other projects



Family Health International

Checklist to Support Sub Project *Process Evaluation* with *Prevention Partners*

Name of Implementing Agency:	NRCS Kanchanpur	Program Component:	Prevention
Process Evaluation Team:	NRCS and ASHA Project	Date:	February, 2008
Project Start Date:	End Date:	Total Project Period: 18 Months	

SUMMARY SHEET

Sub-category	Total Max. Score	Scored	% of score achieved	Follow up actions and recommendations	Responsible person(s) for follow up	Expected completion date
1. Sub Project Management	38	29	76.3%	<ul style="list-style-type: none"> • Develop a report including project mission, vision, goal, objectives organizational details, org chart, staff detail in report form and disseminate among staff members • Establish the performance evaluation system of staff members • Develop and practice the criteria for staff development / exposure. Lottery is not the right approach for staff selection for development opportunities • All the staff members should be hired through the competitive process and there should be policy and practice in place for staff hiring process • Review and relocate the community mobilizer around the close proximity of the beneficiary members locations 	Project Coordinator / Program Officer	June / July, 2008

2. Key targets and results	10	8	80%	<ul style="list-style-type: none"> Start using unit coordinator level collation forms immediately and start double counting of reported data Increase mobility in those areas with higher concentration of migrant population and lower outreach visits 	Project coordinator	July 2008
3. Data quality (recording / reporting) and Use of data	24	17	70.8%	<ul style="list-style-type: none"> Make record keeping more systematic and uniform throughout all units. <ul style="list-style-type: none"> Collation form should be used immediately Program should be based on real needs of the migrant community and there should be a provision to disseminate program success to the beneficiaries Staff should be aware of their contribution to the project so as to seek their commitment towards the project 	Project Coordinator/Program Officer	July 2008 and involvement of beneficiaries by next project planning phase
4. Quality of services	22	17	77.3%	<ul style="list-style-type: none"> Explore the ways to increase the use of ICC centers and make them more user friendly Use male female mixed group for outreach in those places where the gap of communication due to sex difference is felt 	Project Coordinator	July 2008
5. Participation / social inclusion	18	3	16.7%	<ul style="list-style-type: none"> Hire community mobilizers from the migrant community whenever there is a vacancy of CM <ul style="list-style-type: none"> Immediately orient all staff about the project documents 	Project coordinator/Board members	As early as possible
6. Ownership	10	4	40%	<ul style="list-style-type: none"> Mobilize peer educators, who are from the community itself, to run ICC centers 	Project coordinator	July 2008
7. Coordination & Collaboration / External Relation	22	9	41%	<ul style="list-style-type: none"> NRCS needs to increase its focus in strengthening linkage with community level institutions and volunteers like FCHV Develop map of NGOs and INGOs working in Kanchanpur District 	Project Coordinator	July 2008
8. Financial management	28	26	93%	<ul style="list-style-type: none"> Follow-up with NRCS for timely submission of RMFR and FHI/Nepal CO for timely reimbursement each month 	Program Officer	Ongoing
9. Transparency	14	12	85.7%	<ul style="list-style-type: none"> Collect views of all staff including CMs during program and budget planning 	Project Officer	In next planning phase
10. Governance	22	15	68.2%	<ul style="list-style-type: none"> NRCS should make its policy clear and relevant to district chapter 	Project coordinator/Executive	July 2008
11. Institutional capacity building	18	8	44.4%	<ul style="list-style-type: none"> NRCS should immediately prepare human resource plan 	Project coordinator/executive	July 2008

12. Sustainability	14	2	11.3%	<ul style="list-style-type: none"> Explore possibilities of other funding sources including local level community contribution in order to continue the activities for HIV and AIDS for longer term 	Project coordinator/executive board	January 2009
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Scoring Notes:

NA: Not applicable (0) No
(1) Yes, partially (2) Yes

Method Notes:

O= Observation SI= Field Staff Interview
R= Records Review MI = Management Staff Interview

DETAILED CHECKLIST

I. PROGRAM MANAGEMENT FUNCTIONS

1. Sub Project Management	Method	Score	Observations/rationale for score
<ul style="list-style-type: none"> Project is situated in reasonably close proximity to the community it serves (Mapping – location of beneficiaries and project service outlets) 	SI / R / O	NA 0 1 ✓ 2	CM's are not from the proximity to the indented beneficiary members and their locations
<ul style="list-style-type: none"> All the staff members have job descriptions and they had orientations about their job descriptions 	R / SI	NA 0 1 2 ✓	All the staff members received orientation during staff meeting at the filed office
<ul style="list-style-type: none"> There is a document including organization chart which describes roles, functions and responsibilities of all individuals of the project 	MI/SI	NA 0 ✓ 1 2	Organizational detail, MVGO, org chart, staff detail in separate sheet but in report / document form
<ul style="list-style-type: none"> There is a policy and procedure for recruiting and employing staff members for Project or NGO 	MI/SI	NA 0 1 2 ✓	NRCS has this policy organizationally
<ul style="list-style-type: none"> <ul style="list-style-type: none"> The previous recommendations by FHI / ASHA on management practices are implemented 	MI/SI	NA 0 1 2 ✓	Recommendation from data audit, financial review and Admin review are followed
<ul style="list-style-type: none"> There is a periodic and systematic performance evaluation system of staff members 	MI/SI	NA 0 ✓ 1 2	There is not a practice of performance evaluation of staff members
<ul style="list-style-type: none"> <ul style="list-style-type: none"> Staff meeting are held on regular basis 	MI / SI	NA 0 1 2 ✓	First week of every month according to Eng calendar
<ul style="list-style-type: none"> There are clear supervisory responsibilities for regular supervision of services / activities 	MI / SI	NA 0 1 2 ✓	Monthly work plan, individual work plan reflects the supervisory levels / functions. Volunteer team has also regular supervision
<ul style="list-style-type: none"> Appropriate health education materials are displayed / available in clinics or centers or service outlets / ICC 	O	NA 0 1 2 ✓	Displayed and available but this also needs to improve for the effective use of materials
<ul style="list-style-type: none"> Client personal data are stored in a locked filing cabinet with restricted access 	O	NA 0 1 2 ✓	Locked in cabinet
<ul style="list-style-type: none"> All staff members are always kept informed about project agreements, work plans, project documents 	MI / SI	NA 0 1 2 ✓	Duration, target, activities, budget ...
<ul style="list-style-type: none"> There is an intensive <u>bottom up and participatory planning</u> 	MI / SI	NA 0 1 ✓ 2	Usually top down in practice / This year staff were involved in planning process but stakeholders and beneficiaries are still not involved

1. Sub Project Management	Method	Score	Observations/rationale for score
exercise and all staff members including community mobilizer or peer educators and concerned stakeholders are involved in the process of HIV/AIDS project planning and implementation			
<ul style="list-style-type: none"> All the project staffs were hired through public advertisement and competitive process 	R / MI	NA 0 1 ✓ 2	Almost half of the staff members were hired through competitive process
<ul style="list-style-type: none"> There is a system / criteria for decision making process such as selecting people for national / international level trainings / exposure or for staff upgrades and promotion 	R / MI	NA 0 ✓ 1 2	There is not any written criterion. Exposure visit @ lottery!
<ul style="list-style-type: none"> Staff are well informed about their earned leave and process of approval 	MI	NA 0 1 ✓2	This is informed to all.
<ul style="list-style-type: none"> Policy related to leave, per diem and transportation is in accordance with standard operating procedure (of organization's admin and financial policy, Guideline for ASHA Project Partners, NGO Federation's code of conduct and local labor law) 	MI	NA 0 1 2 ✓	This as per the guideline of NRCS Kanchanpur and ASHA project document
<ul style="list-style-type: none"> Senior project management (if office is away from project area) has made arrangement to decentralize authority to field office as appropriate <ul style="list-style-type: none"> Two way communication is in practice 	MI	NA 0 1 2 ✓	Authority delegation is systematic with NRCS
<ul style="list-style-type: none"> Project logistics are recorded and properly managed 	SI / O	NA 0 1 2 ✓	Sky pone / Mero Mobile as means of communication ! Computer, TV, numbering, safely stored, used properly
Scored = 29 / 38			

2. Key Targets and Results	Method	Score	Observations/rationale for score
a. Program coverage is effectively tracked and presented in monitoring reports / monthly meetings	MI	NA 0 1 ✓ 2	This need to strengthen. Discover the gaps in program coverage and focus the project efforts
b. Routine data collected is double-checked prior to reporting	MI/SI	NA 0 1 ✓ 2	Double check system needs to improve

2. Key Targets and Results		Method	Score			Observations/rationale for score	
c.	Planned versus actual implementation of the work plan is tracked and reported	MI	NA	0	1	2 ✓	This is in practice and reflected in medication of activities for following quarterly work plan and reported in narrative wok plan
d.	Targets are set for key indicators, based on past performance where applicable	MI/SI	NA	0	1	2 ✓	This is based on past performance and it is divided as per staff members
e.	Sub project results indicate that the project is producing expected results comparing with the set / agreed targets	MI/SI	NA	0	1	2 ✓	This project has produced results as expected

Total = 8/10

3. Data Quality (recording / reporting) and Use of Data		Method	Score			Observations/rationale for score	
a.	Standardized formats for collecting data are used	R	NA	0	1	2 ✓	Yes, This has been improved over the Project period
b.	The data routinely collected are complete, accurate and the reports are timely	R/MI/O	NA	0	1	2 ✓	Data are delivered timely and reports are accurate.
c.	Indicators reported can be readily traced to data collection source documents	MI/SI/O	NA	0	1 ✓	2	Data reported was verified accurately but it wasn't easy.
d.	Calculation errors are not observed in indicator data compilation, analysis and reporting	SI/MI/O	NA	0	1 ✓	2	System need to design for accurate calculation of the indicators and reporting
e.	There is clear understanding on the definitions of key indicators	MI/SI	NA	0	1	2 ✓	This is properly understood by every staff members
f.	The real need of intended beneficiaries was identified through a systematic process and intervention was designed to address their felt need.	MI	NA	0	1 ✓	2	This is not in practice. Focused data is not available. Available resources are allocated and migrant's felt need is not explored.
g.	Routine information is analyzed on quarterly basis, success cases and challenges discussed internally and disseminated among concerned staff members	R / SI	NA	0	1	2 ✓	This is in practice. Narrative report is prepared and reported.
h.	Project achievements, success, lesson learned is documented and disseminated among stakeholders including intended project beneficiaries	R / MI	NA	0	1 ✓	2	Success and contribution is still to disseminate among beneficiary members.

3. Data Quality (recording / reporting) and Use of Data		Method	Score			Observations/rationale for score
i.	There is a system to hear the feedback from target groups and concerned stakeholders	O / MI / SI	NA	0	1 ✓ 2	Feedback during PGD, and stakeholder's meetings, group interactions (local key persons) which need to strengthen continuously
j.	Two way data flow and feedback system is operationally effective	MI / SI	NA	0	1 ✓ 2	Management committee and board members need to be involved for two way feedbacks.
k.	Key results, achievements are used for sub project planning and amendments	MI	NA	0	1 2 ✓	Yes,
l.	Key results and success are used to motivate the staff members and peer educators / Community Mobilizer	MI/SI	NA	0	1 ✓ 2	This is really need to focus.
Total = 17/24						

4. Quality of Services		Method	Score			Observations/rationale for score
a)	Input / feedback is obtained from beneficiary groups periodically to ensure that services are accessible and acceptable. These types of inputs / feedbacks are used to improve the services.	MI	NA	0	1 ✓ 2	Clinics are not accessible. ICC sites are also not accessible.
b)	Contents of communication materials and activities were technically reviewed and approved for strategic behavior communication	MI / R	NA ✓	0	1 2	Communication materials were not developed
c)	There was at least one participatory type of activity, followed by discussion and the audience showed the visible enthusiasm during the group meetings / communication of HIV/AIDS prevention messages	O / MI	NA	0	1 ✓ 2	Games are facilitated during the orientation
d)	Service outlets DICs(Drop in Centers), Program Support Unit (PSU), Information Communication Centers (ICC) etc. opening hours are suitable for clients	O / MI	NA	0	1 2 ✓	ICCs are opened full day
e)	Communication and behavior from outreach workers / community motivators is friendly and appropriate	O / SI	NA	0	1 2 ✓	Rapport and response from the community members
f)	The questions and concerns from MARPs are answered	O / SI	NA	0	1 2 ✓	Basic questions and concerns (related to the project subjects)

4. Quality of Services		Method	Score			Observations/rationale for score
	accurately and in time					are answered
g)	Target group members can access project sites without being exposed to stigma and discrimination	O / Client interview	NA	0	1✓ 2	No problem with other people but PLHA sometimes hesitate to come to ICC centers due stigma and fear of discrimination if identified
h)	Beneficiary groups feel comfortable in project service outlets and are open during the interactions with outreach educators	O	NA	0	1 2✓	First contact is not that easy but gradually it becomes easier and TGs feel comfortable. However, condom demonstration is somehow not easy. Otherwise TGs are always comfortable and interact with CM/OE/UC
i)	Beneficiary group waiting time is minimized and waiting time is properly utilized	O / MI	NA ✓	0	1 2	Applicable to IHS sites
j)	Physical spaces are clean	O	NA	0	1✓ 2	Unit office/ICC is better than field office
k)	Outreach educators / motivators are hired from the same sex of the targeted communities (such as male staff for Clients and female staff for wives of migrants/sex workers)	MI / R	NA	0	1✓ 2	Male female ratio of CM/OE is more or less similar but the distribution is not clearly specified
l)	Beneficiaries are appropriately referred to service sites as needed and are made regular follow up during outreach	SI / R	NA	0	1 2✓	Referral and follow is effective
m)	Beneficiaries are well informed about the service site limitations and provided support on linkages or referred to other services centers	SI / R	NA	0	1 2✓	Linkage is well established
Total = 17/22						

5. Participation / Social Inclusion		Method	Score			Observations/rationale for score
a.	The targeted people and their community diversity is reflected in the composition of the staff	R / MI	NA	0✓ 1	2	Staff members are not from beneficiary members
b.	The targeted people and their community diversity is reflected in the composition of the peer educators / community mobilizer	R / MI	NA	0✓ 1	2	Very few CMs are from beneficiary members
c.	PLHA are hired as peer educators / community mobilizer	R / MI	NA	0✓ 1	2	None of the community mobilizers are PLHA

5. Participation / Social Inclusion		Method	Score			Observations/rationale for score	
d.	PLHA are hired as staff members	R / MI	NA	0 ✓	1	2	None of the staff members are PLHA
e.	PLHA have facilitated training sessions on regular basis while IA conducts training activities	R / MI	NA	0 ✓	1	2	Never has happened
f.	All the staff members participated in sub project planning and they know what is written in the project document	MI/ SI	NA	0 ✓	1	2	Not informed about the project documents
g.	All staff members participate actively in meetings and everyone feels free to speak up and play an active role	MI/ SI	NA	0	1	2 ✓	Staff members feel free to explore the issues and concerns
h.	HIV/AIDS projects have strong and enthusiastic support from the community people at large for their activities and continuation	O / SI	NA	0	1 ✓	2	RLG listeners have made demands to continue RLGs.
i.	There is active participation of intended beneficiaries in project planning, monitoring	SI / R	NA	0 ✓	1	2	Beneficiary members are not involved in this process

Total = 3/18

6. Ownership		Method	Score			Observations/rationale for score	
a.	Target group community members feel comfortable (with out any stigma and discrimination) to visit the service outlets such as DICs / PSC / ICC	R/MI	NA	0	1 ✓	2	Beneficiary come to the site and demand the Tele Serial (Sarita Lamichhne). Project need to encourage to visit the marginalized and dalit community including PLHA to the service site.
b.	The key to the service outlets is kept by peer educator / Community Mobilizer and it is in easy access of the beneficiaries	MI/R	NA	0	1 ✓	2	The key is kept by ICC facilitator (staff member)
c.	The concerned target group members are mobilized to maintain the service outlets and they are contributing with their physical support to maintain or strengthen the services to the beneficiary members	MI/O/SI	NA	0 ✓	1	2	This is not explored yet
d.	The beneficiary members have trust / feeling that the program is for them and HIV/AIDS educators work with them for their welfare	O / interview with TG	NA	0	1 ✓	2	In few sites the beneficiary members reported that their husband (who are also the targeted communities) do not support and encourage the family members to visit service sites and RLGs

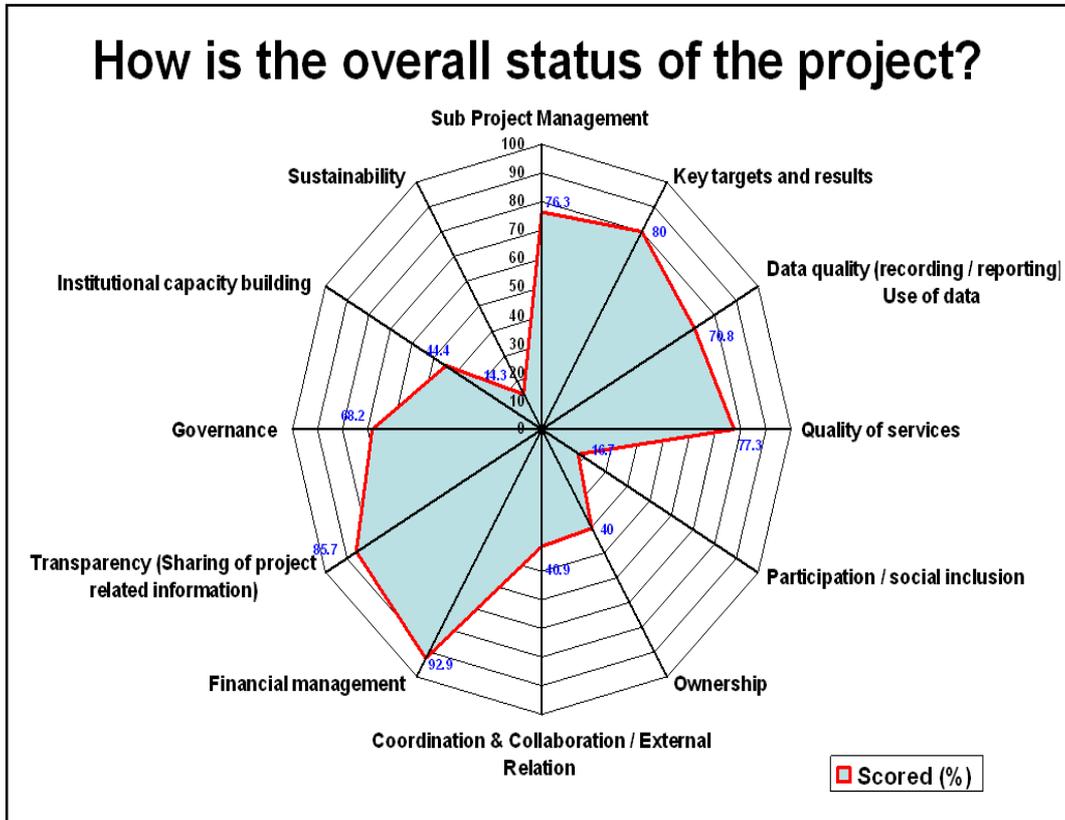
6. Ownership	Method	Score	Observations/rationale for score
e. DACC is active / taking initiation in coordination and ownership of the program implemented in the district	MI	NA 0 1 ✓ 2	DACC needs take the lead in Kanchanpur
Total = 4/10			

7. Coordination & Collaboration / External Relation	Method	Score	Observations/rationale for score
a. IA collaborates with other NGOs through regular meetings and activities	MI/R	NA 0 1 ✓ 2	Every month and as per need / plan
b. IA has participated national or international linkages on HIV/AIDS	MI / R	NA 0 ✓ 1 2	This is not explored
c. IA participate in government planning process and structures	MI/O/SI	NA 0 1 2 ✓	NRCS participated in annual planning process with government such a periodic planning
d. IA has close working relationship with relevant sections of the government (DDC, DPHO and other NGOs working in HIV and AIDS)	MI	NA 0 1 ✓ 2	Meeting with DACC, DACC visit for project monitoring process. This need to improve with FCHV
e. IA has participated in policy making dialogues with funding organizations or donors in the past year in the program districts	MI	NA 0 ✓ 1 2	
f. IA is well known among the general public in the project area	SI	NA 0 1 2 ✓	NRCS Kanchanpur is really well know in the district
g. IA publishes the message of contribution of the Project and disseminates to the general public through FM radio / Newsletters	MI	NA 0 1 ✓ 2	This need to strengthen in future
h. Social support networks are expanded for HIV/AIDS in the project area	R	NA 0 ✓ 1 2	
i. There is participation and support from local government leaders in planning and implementation of project activities and they are better able to explain project and programs in the district	R / MI	NA 0 1 ✓ 2	SHP staff were involved to recruit staff members.
j. RHCC / DACC has been active to coordinate and collaborate in	R / MI	NA 0 1 ✓ 2	DACC has involved in monitoring of HIV/AIDS intervention

7. Coordination & Collaboration / External Relation	Method	Score	Observations/rationale for score
planning, monitoring and evaluation of HIV/AIDS project activities			
k. The mapping was conducted and updated to understand the situation of other organizations working on HIV/AIDS or public health in the project area	R / MI	NA 0 ✓ 1 2	Develop map of NGOs and INGOs working in Kanchanpur District
Total = 9/22			

Annex 3

Example Dashboard



Annex 4

Suggested Process Evaluation Schedule

	Session	Objectives	Participants	Activities	Duration
Day One	Preparatory Meeting	To establish the foundation for a holistic appraisal of the project	As many staff members as are available to participate	Brainstorming	1 ½ hours
	Appreciative Peer Inquiry	<ul style="list-style-type: none"> • Introduce overall objectives of the process evaluation • Facilitate positive thinking among participants 	All staff members	<ul style="list-style-type: none"> • Introductory Activity • Objective Introduction • Appreciative Inquiry Peer Interviews 	Remainder of Day One
Day Two	SWOT Analysis	To identify the strengths, weaknesses, opportunities and threats as perceived by all staff members	All staff members	<ul style="list-style-type: none"> • Group Work • Brainstorming • Group Discussion 	Whole Day
Day Three	Site Visits/In-depth Interviews/Field Interviews	<ul style="list-style-type: none"> • To observe the field activities and outreach methodology • To observe and interact with beneficiaries 	<ul style="list-style-type: none"> • Facilitator • CM/OE/PE • Beneficiaries 	<ul style="list-style-type: none"> • Site visits • In-depth Interviews • Field Interviews 	Whole Day
Day Four	Participatory Mapping	Introduce mapping tools for identifying program successes and gaps	Key staff members	<ul style="list-style-type: none"> • Lecture • Group Activity • Group Reflection & Discussion 	Whole Day
Day Five	Routine Data	For participants to create an up-to-date matrix reflecting the project accomplishments and gaps	Key staff members	Group Activity	3 hours
	Participatory Video	<ul style="list-style-type: none"> • For observation of video footage • To generate an open forum of reflection and identification 	Key staff members	Group Activity	Remainder of Day Five

Day Six	Data Analysis	To identify project accomplishments and areas for improvement	Key staff members	<ul style="list-style-type: none"> • Group Activity • Group Discussion 	Whole Day
Day Seven	Process Evaluation Conclusion	<ul style="list-style-type: none"> • Analysis and reflection • Debriefing to executive board and key staff members 	<ul style="list-style-type: none"> • Key staff members • Executive board members 	<ul style="list-style-type: none"> • Group Discussion • Presentation 	TBD