SUMMER SCHOOL ON MONITORING AND EVALUATION OF INTERNATIONAL DEVELOPMENT PROGRAMMES
6-11 June 2011

The Summer School is part of the **University of Bologna International Summer School Programme**. It is organized and managed by the **Centre for International Development** in cooperation with the **University of Bologna Faculty of Political Sciences, the Department of Economics and the Department of Political Science**. This year, the School will be co-organized by the **Center for International Development** at the **Rockefeller College for Public Affairs and Policy, University at Albany of the State University of New York**.

This is an intensive 6-day course delivered in English, open to applicants of any country and background, which gives 4 credits (by the European Credit Transfer System). **The enrollment fee is 1,550 Euro** (this covers tuition only, all other travel, lodging and meal expenses are excluded). Tuition waivers are available for applicants from developing countries only.

The course will take place in Bologna, Italy, Monday through Saturday, **6-11 June 2011.**

Content

Planning, monitoring and evaluation in development programs requires a focus on national development priorities. The definition and measurement of intended results should respect the principle of national ownership and should strengthen both institutional and human capacities for managing development initiatives. The Course aims at covering new developments in M&E techniques, like the results-based and utilization-focused approaches, the developmental evaluation approach and the outcome mapping approach.

The Course presents practical steps and examples in applying monitoring and evaluation methods to strengthen management for development results. Participants will leave with practical step-by-step guidance on how to prepare and carry out benchmarking, monitor outcomes and use information on program and project results to improve performance. Policy makers, program managers, ministerial strategy departments, and staff and consultants responsible for M&E will find this course useful. It presents analytical tools solidly grounded in economic theory applied to the practical questions of monitoring and evaluating policy programs in developing countries.

OVERVIEW OF THE PROGRAM AND CALENDAR

The Course is developed around the following topics/themes. It begins with an overview of the M&E methods and practices, with particular attention to **Poverty Reduction and Social Policies** , including education, health and social assistance, in developing countries. The design and implementation of poverty reduction programs provide classic examples of how, in planning, monitoring and evaluation we confront the core issues of how policy making effectiveness is influenced by donor development strategies and reporting requirements. The course will then move on the data and indicators required for different M&E purposes. M&E techniques and practices will be explored through the examination of actual examples from developing countries. The course will then address more cutting-edge M&E methods and practices, review some of the emerging tools and approaches with a particular focus on **developmental evaluation** and **outcome mapping** as method for managing the complexity inherent in policy processes and development programs. A Peer Assist Consultation Clinic in which participants can bring their own projects and problems to be analysed concludes the course

Day	Topic	Instructor
Day 1	**Monitoring and Evaluation Methods and Practices for Development**	
Mon AM	A. Recent developments in M&E B. Data, indicators and tools for monitoring and evaluation	Pier Giorgio Ardeni
Mon PM	A. The Challenges of PM&E for Development. B. Utilisation-Focused PM&E	Ricardo Wilson-Grau

Day 2	**Monitoring and Evaluation Methods and Practices for Development**	
Tue AM	A. Results Based M&E – The approach B. Its applicability to participants' uses	Ricardo Wilson-Grau
Tue PM	A. Developmental Evaluation – What it is and is not B. Application of DE to participants' uses	Ricardo Wilson-Grau
Day 3	**Outcome Mapping**	
Wed AM	A. Session objectives, agenda, and process B. Identification of the characteristics of useful M & E: the 'Challenge Wall' C. Overview of Outcome Mapping (OM) concepts & formation of working groups	Terry Smutylo
Wed PM	A. Steps 1,2,3: Vision, Mission and Boundary Partners: presentations, discussion & group work B. Evaluation of the day	Terry Smutylo
Day 4	**Outcome Mapping**	
Thu AM	A. Participants' review of the day before - Facilitator responds to feedback B. Step 4: Outcome Challenge presentation & discussion C. Exercise 4: Writing an Outcome Challenge Statement D. Overview of the principles of monitoring & evaluation	Terry Smutylo
Thu PM	A. Step 5: Progress Markers B. Exercise 5: Formulating Progress Markers, C. Review of groups' work D. Evaluation of the Day	Terry Smutylo
Day 5	**Outcome Mapping**	
Fri AM	A. Participants' review of the day before - Facilitator responds to feedback B. Step 6: Strategy Maps C. Exercise 6: Mapping your Strategies D. Step 7: Organizational Practices: presentation & sharing ideas E. Review of Intentional Design	Terry Smutylo
Fri PM	A. Exercise 8: using single elements of OM B. Overview of Journals and M&E planning C. Principles in applying OM D. Exercise 9: applying, avoiding and adapting OM E. Revisiting the "Challenge Wall" F. Plan & sign-up for Peer Consultation Clinic G. End of day evaluation	Terry Smutylo
Day 6	**Peer Assist and Consultation Clinic**	
Sat. AM Sat. PM	This final day is designed to enable participants more direct access to the expertise and experience of their trainer/facilitators and fellow-participants. Through a structured consultation process, participants will be able to present a project situation, problem or question to the consultation panel which then clarifies the circumstances and offers potential solutions and follow-up ideas. The peer consultation session is a popular feature of M&E workshops and usually covers a range of planning and M&E topics relevant to policy and other development interventions at regional, national,local levels.	Pier Giorgio Ardeni Terry Smutylo, Ricardo Wilson-Grau

PROGRAM TOPICS

PART A. INTRODUCTION TO MONITORING AND EVALUATION METHODS AND PRACTICES AND THE RECENT DEVELOPMENTS

INSTRUCTOR: PIER GIORGIO ARDENI

The first session will first introduce the course, concepts, and set the framework and context for the next session. In the second part, attention will be devoted to the data required by the different approaches to M&E.

Policy effectiveness is a table standing on four legs: monitoring and evaluation are the two legs without which the design and implementation of policy cannot stand up. 'What makes policy happen?' It has been argued that a 'linear model' of policy-making, characterized by objective analysis of options and separation of policy from implementation, is inadequate. Instead, policy design and policy implementation can function at best if implementation feeds back on design through monitoring and evaluation.

Policy making in developing countries is primarily about mobilization and use of resources in a process characterized by conflicts and bargaining under conditions of constant change, resource scarcity, inadequate knowledge and insufficient capacity. **Inadequate knowledge** is often one of the main reasons of poor implementation and low effectiveness, and hence poor design. Inadequate knowledge is due to lack of proper data and information on the policy process, sector context and implementation mechanisms.

Monitoring and evaluation mechanisms and practices need to be founded on a realistic consideration of the relevant policy processes and the possible uses of information required to enforce accountability and learning. Governments and donors have recently been aware for the need of policies, strategies and programs that are more **result-oriented** . As an example, the result-orientation of the latest PRSP approach considers final poverty outcomes/impacts, intermediate outputs/implementation processes and the delivery of the key inputs of poverty reduction strategies.

Monitoring is the systematic, regular collection and occasional analysis of information to identify and possibly measure changes over a period of time. **Evaluation** is the analysis of the effectiveness and direction of an activity, program or policy and involves making a judgement about progress and impact. The main differences between monitoring and evaluation are the timing and frequency of observations and the types of questions asked. However, when monitoring and evaluation are integrated into a strategy as a project management tool, the line between the two becomes rather blurred.

Key issues are

- Roles of monitoring and information: how to chose the appropriate indicators of policy implementation/effectiveness
- What to monitor and why, how to monitor in a way that provides a supply of valid and reliable information, and examines the question of monitoring for whom and for what.

Approaches are:
1. descriptive/inferential: based on 'objective' data, more effective if data is collected by third parties – good for large scale interventions
2. participatory/deductive: based on 'subjective' data, community evaluations,indirect perception – good for small scale interventions
3. 'dynamic' and participatory: e.g. Outcome mapping

The integration into the project/program/policy cycle of M&E activities strengthens the learning, accountability, and effectiveness of research efforts and policy design. Using a **participatory approach** to do so (like with the Outcome Mapping approach) facilitates the realization that what matters is not only what is assessed, but who does the measuring and assessing. Participatory monitoring and evaluation is the joint effort or partnership of two or more stakeholders to monitor and evaluate, systematically, one or more activities.

Regarding 'impact': what do we want to measure? Why is that difficult? How do we get the relevant necessary data? What result do we get and how does the 'evaluation' of the result work? How do we assess the 'quality' of the results: 'Goodness of fit'? Baseline comparison? Quality of results has anything to do with cost-effectiveness? Compare costs and outcomes?

Monitoring: indicators to measure the (economic) effectiveness and efficiency of a project or program

A. Why do we want to measure these indicators? **Objectives**
B. What data do we need? **Dimension** of the data
C. What do we do with the data? **Calculating** the indicators
D. What can we do with the results? **Analysis.**

TOOLS AND DATA FOR MONITORING AND EVALUATION

Templates for data collection

A. An example of a data request for existing data
B. A checklist for collecting primary quantitative data
C. A checklist for conducting a qualitative field visit or a focus group
D. A template for terms of reference for an impact evaluation / OM / etc.

Types of data for program M&E

- Administrative data on poverty and living conditions and other social policy indicators
- Ad hoc surveys: the Living Standard Measurement Survey (LSMS); the Household Budget Survey (HBS); other surveys
- What data we need to monitor and evaluate PRS and the role of statistical data collection
- The role of National Statistical Offices in the policy process

Data and info are needed to know and understand:

- issues (is there poverty in a certain community/area, what type of poverty)
- how relevant the issues are (people living in certain houses/within certain houeshold are poorer than others)
- how things evolve/change over time (transient poverty)
- the effects of policies/interventions (poverty did diminished after a certain intervention)

Some info can only be gathered through surveys: e.g. how much people consume. Some info is of better quality when collected through some administrative sources (people will not state the truth).

The indicators to monitor the evolution of a phenomenon and the effects of policies – generally rely on data collected for other purposes – can be built in in a policy/intervention.

PART B. MONITORING AND EVALUATION METHODS AND PRACTICES FOR DEVELOPMENT

INSTRUCTOR: RICARDO WILSON-GRAU

The **purpose** of the next three sessionsof the course (the afternoon of the first day and the morning and afternoon sessions the second day) is to explore with the Summer School's participants the challenges for efficient and effective monitoring and evaluation of development interventions, with a focus on poverty reduction and social policy issues. The **intended results** are that the participants will walk away with practical tools that they will be able to apply when making monitoring and evaluation decisions: What should I monitor and evaluate and how should I go about doing it? After participating in this workshop, you will have actionable answers. The international community agrees that monitoring and evaluation (M&E) has a strategic role to play in development. M&E enhances evidence-based policy making, funding decisions, management of development interventions, and accountability for what was done and what was achieved. Nonetheless, it is also internationally recognised that while enormous amounts of time and resources are invested in development planning, the weakest part of development management is the monitoring and evaluation of the implementation of plans and their results. And when monitoring and evaluation are done, it is common for stakeholders never to see findings and when they do, not to be able or care to use them.

The three sessions will first explore the challenges faced by development practitioners who wish to monitor and evaluate their work. Then, we will work with three-cutting-edge approaches that target different aspects of the obstacles and difficulties and to ensure that the M&E processes and findings meet felt development needs. The methodology throughout the day and a half will be a combination of short conceptual presentations followed by discussion based on exercises in the plenary setting to draw the meaning of M&E concepts out of each participant's own experience.

The three sessions will be organized around **four moments**:

1. ***The Challenges Faced by PM&E for Development***. In the light of the current context for M&E presented in the previous session, we will examine:
    1. *Complexity and the resulting predictability and unpredictability of cause and effect in development interventions.*
    2. The implications for *planning, monitoring* and *summative, formative* and *developmental evaluation*. – How to identify in your own work those aspects that are simple, complicated and complex and then understand the implications for planning as well as for M&E.

2. ***Utilisation-Focused PM&E[1].*** The purpose of PM&E is to serve the context-specific needs of people, usually decision-makers. These users and their uses for the M&E findings determine what PM&E methodology(ies) you choose.
    - *Primary intended users* – Use is likely to be enhanced when the evaluation takes into account and is adapted to crucial situational factors. We will examine the implications for PM&E of the people who have a direct, identifiable stake and those who do not. Participants will explore the implications for themselves.
    - *Primary intended uses* – PM&E uses range from programme improvement to making major decisions about the programme, from accountability to generating knowledge and learning. PM&E use is people- but also context-dependent. Based on examples from the participants, we will consider how to focus PM&E depending on the users intended use of the findings.
3. ***Results Based M&E[2].*** In recent years, there has been an evolution in the field of monitoring and evaluation involving a movement away from traditional implementation-based approaches

[1] Based on Michael Quinn Patton's *Utilization-Focused Evaluation*, Fourth Edition, Sage Publications, 2008. Patton, past president of the American Evaluation Association, is one of the most innovative evaluators on the international scene.

towards new results-based approaches. Governments and organisations may successfully implement a development intervention but the key question is, have these interventions produced the actual, intended results? Have governments and organisations delivered on promises made to their stakeholders?

Participants will explore the potential of the ten-step results-based monitoring and evaluation approach to provide credible and trustworthy information for their own use and to share with their citizens. We will not examine each of the steps in detail because the participants have experience with many if not all of them. What we will address is the question: *In the light of participants' needs, to what extent are all ten steps necessary and in what order?*

4. ***Developmental Evaluation.***[3] What to do when the situation is so complex or the need for innovation so great that the only thing you know is what to do in the short term? Developmental Evaluation, not to be confused with evaluation of development, applies complex system concepts to enhance innovation as well as use. We will discuss DE and the conditions and contexts when this emerging approach to PME is useful (and when not).

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[2] Based on Kusek, J.Z. and R. C. Rist, (*Ten Steps to a Results-Based Monitoring and Evaluation System*, The World Bank, Washington, D.C., 2004. Rist is the author of 24 books, including most recently *The Road to Results,* and currently is the president of the International Development Evaluation Association (IDEAS). He lectures around the world on this approach to M&E.

[3] This is Michael Quinn Patton's latest contribution to the field of planning, monitoring and evaluation. See *Developmental Evaluation*, Guilford Press, 2010.

PART C. OUTCOME MAPPING

INSTRUCTOR: TERRY SMUTYLO

The Outcome Mapping sessions extend the preceding session's emphasis on use-oriented and developmental monitoring and evaluation. They offer participants an opportunity to learn about and apply tools and concepts specifically designed for planning, monitoring and evaluating policies and programs aimed at sustainable improvements in the well-being of people in the poverty-affected areas of the world. **Outcome Mapping** is a practical, flexible and participatory approach to planning, monitoring and evaluating interventions aimed at changing the capacities, actions and relationships of groups and organizations. First introduced by the International Development Research Centre (IDRC) in 2000, Outcome Mapping (OM) is now used in projects, programs and organizations around the world. A growing body of donor agencies, NGOs and monitoring and evaluation (M&E) professionals are finding that OM helps them address the complexity involved in fostering sustainable improvements in people's well-being.

Participants will be able to use Outcome Mapping in their own programs and projects to:
- Clarify and focus intended interventions and desired outcomes;
- Assess contributions to social change;
- Involve partners and stakeholders in planning, monitoring and evaluation processes;
- Foster organizational learning;
- Strengthen programs, partnerships and alliances;
- Integrate monitoring and evaluation into initiatives from the planning stage;
- Evaluate for both accountability and for learning;
- Understand and engage in the complex processes of social change

This component will end with an assessment of OM and and exploration of ways in which it can be adapted, combined or used in conjunction with other planning, monitoring and evaluation methods to meet needs and challenges within participants' ongoing projects and programs.

The OM sessions will embody the participatory learning values that are at the core of the methodology, combining theory with group discussion, individual reflection, small group practice and case studies. Course materials include a training manual, CD-ROM containing OM information in three languages (English, French and Spanish), and the book Outcome Mapping: Building Learning and Reflection in to Development Programs by S. Earl, F. Carden and T. Smutylo.

The sessions begin with participants identifying the characteristics they consider essential in practical and useful monitoring and evaluation. These are posted, categorized and used evaluate our work at the conclusion of the session. Next, the theory underlying Outcome Mapping is presented and discussed, followed by an overview of the key concepts and their application for clarifying an initiative's intentions so that the results can be improved, measured and reported. Participants then select which of their own projects they will use as case studies for work in break-out groups.

Participants focus on steps 1 to 7 of OM's **'intentional design'**. They apply each step in small groups using material from their own projects. This process includes hearing about and discussing each concept followed by break-out periods which include 'teaching moments', peer assists and plenary discussion.

The OM sessions conclude with: a review of the demands and processes of use-oriented M&E; and a critical assessment of OM's strengths & weaknesses in relation to other tools and established frameworks, and when it could or should not be used. Topics may include:
- Linking M&E to program management cycles and events
- Using OM tools in combination with other tools, methods & frameworks;
- Identifying when and when not to use OM; and
- Identifying next steps for testing the usefulness of OM in your organization.