DOCTORS FOR YOU

THERE TO CARE

Monitoring, Evaluation, Learning and Accountability (MEAL) Policy

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Monitoring and evaluation are different, but related, processes. This handbook provides step-by-step guidance for operationalising M&E program in Doctors For You. This document is intended to be dynamic and to engage staff members in the critical thinking required to design and implement an M&E system. Each project is unique and good M&E practice will vary between contexts. For example, this guidance applies to both emergency and nonemergency contexts but sampling, tool content and frequency of monitoring are all quite different in emergency settings from nonemergency settings. What should remain constant in all contexts are the quality of the M&E system and the quality of the data it collects. Staff members should contact technical MEAL Lead for support in implementing or discussing the guidance provided. Thoroughly documenting the decision-making process provides staff with a ready reference for future M&E decisions and plans, and supports quality-control processes and audits.

MONITORING is normally the systematic assessment of a programme's performance over time. It involves the ongoing collection and review of data to provide programme managers and other stakeholders with indications of progress against programme plans and towards programme objectives.

EVALUATION takes place at a particular point in time, but complements ongoing monitoring activities by providing more in- depth, objective assessments of the relevance, efficiency, effectiveness, impact and sustainability of programmes. Formative evaluations are carried out during the life of the programme with a focus on improvement; summative evaluations take place towards the end of the programme and are used to judge its overall merit, worth or effectiveness.

- The monitoring system will always include a risk which should be updated from time to time as any changes in the situation will affect the MEAL system.
- The methodology needs to be cost-effective, relatively easy to use (it may need to be used by the community or grassroots organisations) and flexible (in case the situation changes).
- The methodology needs to be innovative; many programmes will have difficult-to-measure, 'soft' objectives, such as improving governance, which means innovative tools will need to be adopted. A broad range of monitoring and evaluation tools may be required or need to be combined to measure different objectives. Remember there is not one "correct" or blueprint approach.
- Be gender aware – recognise that women and men engage with, and are affected differently.
- Accountability, in particular, needs to reflect the situation, and the system used needs to be conflict-sensitive so that it does not aggravate grievances, tension or vulnerabilities – both directly or indirectly.
- Be careful of bias as groups may have their own agenda and DFY needs to remain neutral.

Core M&E standards:

- M&E systems include ―need-to-know‖ information only.
- M&E staff collects reliable data.
- M&E staff transforms data into information and then into knowledge.
- M&E staff uses and disseminates results.

The following core M&E standards apply to all aspects of M&E and to each M&E activity. These core standards are stated broadly and meant to provide a foundation for the rest of the standards and guidance in this document.

1. **Purpose of the Document**

Monitoring, evaluation, accountability, and learning (MEAL) are part of everyday programme management and are critical to the success of all of Doctors For You's programs. Without an effective MEAL system we would be unable to track progress, make adjustments, discover unplanned effects of programmes, or judge the impact that we have made on the lives of those with whom we are working. A MEAL system also helps us to be accountable to our stakeholders through information sharing and developing a complaints or feedback mechanism which can help to guide programme implementation.

It is important to establish a MEAL system that takes into account the particular constraints and complexities of the programme. This is particularly important since DFY operates in resource limited areas, vulnerable locations due to conflict or due to disasters. As the UK government's Department for International Development (DFID) writes: "techniques for measuring and managing results in Fragile and Conflict Affected Situations are not fundamentally different to those we use in peaceful and stable countries, but may need to be employed more intensively, and adapted and combined with innovative approaches."*

In short the document describes how the organisation will track progress made towards reaching the stategic objective of the project and quantify the results. By doing this the information produced through M&E plan will increase our understanding of how to develop networks. M&E approach is decentralised and intended to assist managers at all levels of decision making and reporting. The guiding principle include,

- To provide a range of performance information to aid management and stakeholders in decision making.
- To augment M&E system and increase capacity to evaluate their efforts with a variety of proven methods and tools.

2. Reporting indicators

Strategic objective (SO) Indicators include use, behaviour change and practice. IR (Intermediate results) indicators asses one or more of the following access, availability, capacity, commitment, knowledge, quality and sustainability.

M&E Plan will use,

- Baseline assessments,
- Program monitoring at various levels,
- Process evaluations and
- Impact evaluations

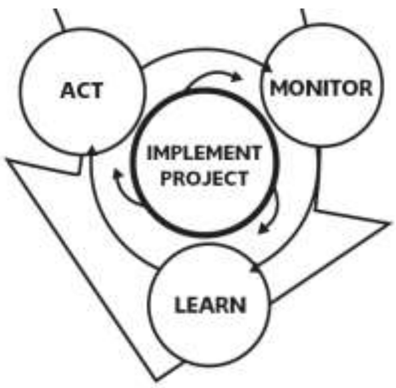
An organisation assessment of M&E capabilities of the organisation will help in developing the M& E systems, assess current human resources available for M&E and senior management perspective and role in the implementing the same. Information gathered through M&E should be used to plan technical assistance to the project team to further strengthen their implementation plan therein enabling to achieve the targets.

- This document outlines the Monitoring and Evaluation (M&E) Plan including the procedures.
- Present an approach that help DFY in carrying out quality service provision and high quality M& E.
- Present draft M&E indicators that can be used as core indicators.

In short this document attempts set up an outline to help DFY team in reaching Strategic Objective (SO) and Intermediate Results (IR). The M&E plan will be implanted in stages and will include (1)Process Evaluations and (2) Impact Evaluations.

3. Core Standards

M&E systems include "need-to-know" information only It is important that M&E systems are light and able to provide timely data to meet information needs and inform project decision-making. Include in your M&E system only information that you need to know. There is a great deal of information that is nice to know, but including it will only slow down the timeliness of your information system. Information that comes too late is unlikely to contribute to improved project quality. A light and efficient M&E system will allow you to monitor, learn and act throughout project Implementation. An efficient M&E system also allows you to test the assumptions that are built into the project. If project outputs have been achieved but intermediate results (IR) have not, perhaps the planned outputs are not sufficient to achieve the IRs. Similarly, if the IRs have been achieved but the strategic objectives have not, were the IRs most appropriate for these objectives? For a monitoring system to be responsive, it must produce timely data and results. Logically, timely analyses and results are required for timely decision-making. Monitoring data allow project staff and other stakeholders to make decisions to improve project quality and responsiveness, without having to wait for midterm or final evaluations and potentially miss key opportunities for project improvement. Monitoring data can reveal whether a training curriculum or information, education and communication (IEC) materials have been effective in time for these curricula or materials to be revised and improved if needed. Monitoring data also can reveal community concerns and hesitations, which you can address by providing additional outputs.



4. M&E staff collects reliable data

Key project and management decisions rely on M&E data and results. Collecting unreliable data is likely to lead to poor decisions and decrease project quality. Reliable data begins with the appropriate tools and methodology for data collection, well-trained data collectors and data enterers, and requires several quality checks throughout the data collection and entry processes.

Data collection →	Forms and questionnaires →	Database
Spot check	check if complete	spot check

5. M&E staff transforms data into information and then into knowledge

Data, in their raw form, cannot meet project informational needs or allow for learning. Data are unanalysed materials gathered by an information system. You must analyse and transform data into information specifically formulated to meet M&E plan needs and inform decision-makers. The analysis plan should outline how to transform your project's data into information. Knowledge, in turn, comes from the absorption, assimilation, understanding and appreciation of information.

Transform all data collected into information that contributes to knowledge. Data that will not directly meet your informational needs should not be included in your data collection activities or in your M&E plan. Instead, include such data in future operations research or other M&E activities. Ensure that all project and technical staff provide constructive feedback on the reports and briefs, which convey the information and knowledge gained from the data.

6. M&E staff uses and disseminates results

Use the M&E results during regular project meetings and M&E-specific meetings. Use M&E results in a timely manner so that you can identify and address any problems immediately and replicate successes. The use of M&E results can be as simple as dedicating 10 to 15 minutes in each project meeting to discuss the latest monitoring or evaluation findings. Include project staff and managers in the M&E discussions.

- After collecting and analyzing the data, it is a mistake to think the M&E activity is completed. Using the results is the final step in the M&E process.
- Disseminate results throughout your organization and to multiple types of stakeholders. Include project staff, technical staff and management staff in your dissemination plans. Each staff position will learn from the results in different ways and contribute differently to their interpretation and to the decisions made based on these results.
- Knowledge and information are of no use when kept on the shelf. Be proactive about sharing your results.
- Disseminate results to a variety of stakeholders to contribute to the transparency of your work.

Tailor the means of dissemination to the type of stakeholder. For example, donors may prefer to receive quarterly or annual reports, though other stakeholders may benefit most from a presentation or discussion. Hold a community meeting to disseminate the results to recipient or participating communities. Remember to include these community meetings in your timeline. Include not only successes and accomplishments, but also challenges, weaknesses and lessons learned in the results you disseminate. Challenges and weaknesses are also results and you should openly share them with stakeholders to maintain full transparency. Include an analysis of the results and how you intend to address any challenges or problems identified.

7. Gender and M&E

Standards for gender and M&E:

- M&E systems include a comparison of data from women and from men.
- M&E staff collects data from women in culturally appropriate ways.

Effective projects incorporate relevant gender issues and considerations in their design and in all M&E activities. Projects often tailor activities and interventions to meet women's specific needs and, similarly, M&E systems should be designed to draw women's perspectives, to consider gender issues in the local context, and to determine the ways in which interventions impact men and women differently. Gathering information from women on project impact often requires adapting tools and methods of data collection to make sure women's perspectives are heard.

8. Project Monitoring

Standards for project monitoring:

- M&E staff monitors the project and context both formally and informally.
- M&E systems are designed to engage communities in monitoring.

8.1 M&E staff monitors the project and context both formally and informally.

This handbook integrates guidance on monitoring throughout; however, it merits additional attention here because the importance of informal monitoring is often understated or overlooked in M&E systems and by project staff. Informal monitoring refers to the monitoring of any unanticipated results, both positive and negative, and any changes to the project context by DFY and partner staff during each field visit. These informal monitoring data should be actively incorporated into project decision-making and management. Much of this knowledge may be assumed among project staff, but only through sharing and discussing this knowledge can informal monitoring data inform project decisions and management.

Informal monitoring data are commonly collected through observations of behaviors and practices, conversations with community members and leaders and other stakeholders, and observations of external factors that signify changes in the project context. For example: Behavioral observations may include homecare practices of women with children under 5 years old for a health project. Conversations with community members and community leaders could focus on project achievements and obstacles, feedback on the implementation of activities, and any suggestions to increase overall project progress and impact. Observations of changing context for a health project could include reductions in water quality and availability (given that it may result in increased diarrhea rates). You may include many of the examples above in formal monitoring tools but the advantage of monitoring informally (in addition to formally) is that informal data can be collected much more frequently, during each field visit.

Include observation and conversations related to IR-level indicators and change. IR- level change is commonly evaluated during the midterm evaluations but it is essential to monitor (formally and informally) progress toward these IR indicators to make sure the project is on the right track. Encourage staff to contribute to each M&E event (part of existing project meetings or stand-alone events) with informal monitoring data (and formal monitoring data if they are available). Informal monitoring alone is not sufficient and should be complemented by formal monitoring.

8.2 M&E systems are designed to engage communities in monitoring

Community involvement in monitoring is beneficial for both communities and project quality. Community engagement allows communities to play a more active role in project management, to reflect upon progress and to assess changes in their situation and context. Projects are enriched by gaining additional insight on how communities view progress and identify early signs of change and impact. Community involvement in monitoring also builds the community's capacity to direct their development, increases the community's sense of ownership of the project and builds accountability and transparency.

In many cases, communities track indicators of progress and impact that are not included in the evaluation document (and thus not included in official project reports). There is a spectrum of community participation in monitoring (see Figure 1). For current projects, identify where your project falls in this spectrum and determine if there are feasible steps you can take to increase the level of community participation in monitoring. For new projects, determine a feasible starting point given current staff and community capacity.

Figure 1. Spectrum of community participation in monitoring.

Top-down approach	**Monitoring participation spectrum**			**Participatory approach**
Communities provide data but do not receive the results	Communities provide data and receive feedback on the results	Communities provide data and participate in interpretation of data and results	Communities participate in the collection of data from community members and interpretation of data and results	Communities participate in the selection of indicators and methods, collect data, and interpret data and results

For ongoing projects, an easy starting point is to involve the community in the interpretation of monitoring results. Hold regular meetings with community members to discuss the monitoring results and interpret these results against the project's monitoring questions and information needs. Train and support communities to fulfill their roles and responsibilities. DFY and partner staff can support communities during regularly scheduled field visits and community meetings. The process for establishing community involvement in monitoring also should be participatory. DFY and partner staff should facilitate and support the community to design monitoring questions and indicators, providing input and minimal monitoring theory when necessary.

9. Community Participation

Standards for community participation in M&E:

- M&E systems track the changes most important to communities.
- Communities participate in data collection for monitoring and for evaluation.
- Communities contribute to the interpretation of M&E data.

Community participation in M&E is widely viewed as an important contribution to high-quality programming. Community participation is associated with increased relevance of programming, transparency, accountability, sustainability and ownership of impact. Community participation in monitoring specifically is essential for the team to be able to identify and address problems and challenges as they arise in ways that are appropriate for the community and context. Though it can take a variety of shapes, community participation refers to increasing the community's voice throughout the M&E cycle of design, collection, analysis and use of data. This guidance describes some good practices associated with community participation in M&E and how they contribute to improved outcomes and program quality. To increase community participation in M&E design, project teams ask communities to identify the changes that will be most valuable to them as a result of the project and, of these, which changes community members want and are able to monitor themselves. These changes then become indicators, which help the team understand project success through the eyes of the community.

Community-based versus donor-driven M&E :

Many project teams feel that they are stuck between donor-driven M&E systems and systems that are community based. This is a false division. Though many donors now mandate use of certain predetermined indicators, they do not object when teams include other project-specific indicators to collect all needed information. In other words, it is possible for M&E systems to include both donor-required indicators and indicators identified by the community and other local stakeholders. Though community-selected indicators cannot usually be specified at the proposal submission stage, they can be added to the M&E plan when it is finalized during the first quarter of the project. Most donors welcome these additions and also will be interested to learn from the community-selected indicators. Include these findings in your reports and document the process of community-based M&E design. It is our role to demonstrate the importance of community participation to any donor who does not yet value it.

Share the M&E results, not conclusions or assumptions by the team.

Community voices in M&E : Community members who did not directly participate in the project also can provide very useful information on the project and should be included whenever appropriate in M&E processes.

10. M& E in Emergencies

Standards for M&E in emergencies:

1. Early monitoring systems are simple, use-oriented and flexible to accommodate change in context and activities.
2. Throughout the emergency response, project teams monitor the relevance, effectiveness and quality of the response to increase beneficiary accountability.
3. Project teams aim to create a formal M&E system for the overall response as soon as the situation stabilises.

An M&E system for an emergency response should remain light and dynamic to avoid placing a heavy burden on staff or detracting from the response itself and to stay responsive to the changing context and the evolving needs of targeted populations. Monitoring during the first phase of an emergency response is often characterized by systematic output-level data collection to strengthen accountability and management quality, and light and purposeful monitoring at the intermediate- results level to check on the quality of the response. Most emergency M&E systems include a real-time evaluation approximately six to eight weeks after a response begins, which provides a more rigorous check of the appropriateness and relevance, effectiveness, connectedness, sustainability, coverage and coordination of the response.

10.1 Complementary and Interdependent Roles

While monitoring and evaluation are distinct functions, DFY recognises their complementary and interdependent roles. Findings from prospective evaluation (or similar processes such as appraisal or baseline studies), for example, are useful in defining indicators for monitoring purposes. Moreover, results from monitoring progress towards results can help identify important evaluation questions. It is primarily for these reasons that M&E are integrated into the present policy framework.

11. Monitoring

DFY has introduced various tools to monitor progress towards results from the organisation level to the individual levels. These tools include medium-term strategic frameworks, results-based programme budgets, work planning and project logical frameworks.

- Medium-term strategic frameworks: At organisation level, medium-term plans shall be prepared every four years providing direction in areas of strategic priority named strategic vision paper.
- Results-based budgets: Results-based programme budgets are prepared outlining project objectives and expected results. Program team will submit reports that monitor and report progress on achieving pre-defined performance indicators.
- Annual work plans: Will be prepared based on the approved budget.
- Individual work plans: All regular staff members and remunerated staff are required to prepare and monitor individual work plans.

12. Logical Framework Requirements

Doctors For You recognizes the usefulness of logical frameworks or other results formulations/ presentations as a tool to manage for results. Project documents or proposals should include logical frameworks or other appropriate formulations/presentations of results and specify major activities, outputs, outcomes and impacts. Performance indicators and means of verification should be specified for output and outcome level results; for projects or other undertakings in which an impact evaluation is to be performed, indicators of achievement and means of verification should also be specified for intended impacts.

Performance indicators should include baseline and target measures for expected results. In the event baseline information may not be available in the design phase or at the submission time of a project document or proposal, managers should plan to obtain baseline or other relevant information within a reasonable period from project start-up (e.g. inception workshop) to ensure evaluability of results. When projects or undertakings are to be implemented jointly, logical frameworks should be discussed and agreed with respective partners.

13. Monitoring Criteria

For effective results-based monitoring and to ensure evaluability, indicators should be formulated using SMART criteria (specific, measurable, attainable, relevant and time-bound):

- Specific: The indicator is sufficiently clear as to what is being measured and specific enough to measure progress towards a result.
- Measurable: The indicator is a reliable measure and is objectively verifiable. Qualitative measures should ideally be translated into some numeric form.
- Attainable: The indicator can be realistically met.
- Relevant: The indicator captures what is being measured (i.e. it is relevant to the activity/result).
- Time-bound: The indicator is expected to be achieved within a defined period.

14. Risk Management

Risk management plans are to be developed and monitored for all projects budgeted at INR 10 million and above. This requirement is discretionary (although recommended) for projects budgeted below the INR 10 million threshold.

15. Evaluation Purposes

Evaluation serves the following purposes:

- **Organisational learning and quality improvement**: Perhaps more than other purposes, DFY views evaluation as an opportunity to learn how to do things better, more effectively, with greater relevance, with more efficient utilization of resources and with greater and more sustaining impact. The results of evaluations need to contribute to knowledge management and serve as the basis for enhancing the quality of its products and services.

- **Accountability**: As an organization receiving funds in the form of voluntary contributions from public and private donors, in addition to funds from fee-based training services, the Institute is answerable to its sources of funding for delivering results.
- **Improved decision-making**: Results from evaluations provide the basis for informed, responsible decisions. Such decisions may include, for example, scaling up, replicating or phasing out a programme, project or undertaking; adjusting learning objectives; redesigning content, changing methodologies, assessment activities or modes of delivery; etc.

16. Guiding Norms and Standards

DFY inspired by the standards set up in the field, have established the following as the criteria for our projects. DFY adopts the five widely-recognized criteria for evaluation,

- Relevance: The degree to which an undertaking responds to the needs and priorities of the targeted beneficiaries, a contextual situation to be addressed and donor priorities.
- Effectiveness: The extent to which an undertaking has achieved its objectives.
- Efficiency: The cost effectiveness of transferring inputs into outputs taking into consideration alternative approaches.
- Impact: The cumulative and/or long-term effects of an undertaking or series of undertakings which may produce positive or negative, intended or unintended changes.
- Sustainability: The likelihood that benefits derived from an undertaking will continue over time after its completion.

DFY acknowledges that not all criteria may apply to all evaluations and that decisions on which criteria shall apply to a given undertaking should be based on the type of evaluation, the main evaluation questions and considerations related to methodology and feasibility.

17. Categories of Evaluation

DFY undertakes two broad categories of evaluations: centralised and decentralized evaluations. Centralised evaluations are independent assessments conducted and/or managed by the MEAL Dept of DFY. They may be undertaken at the dept's own discretion within its approved budget, or at the request of the President.

Decentralized evaluations are self-assessments conducted by the DFY's divisional entities. While not considered to be in-depth evaluations, they should contain some degree of evaluative thinking. For the most part, decentralized evaluations are undertaken at the project level, but they may conceivably include any subject under an entity's purview. While self-evaluation has similarities with the monitoring function and is often integrated into narrative reporting, the assessment exercise should seek to ask and respond to key evaluation questions and include critical analysis and reflection based on the data collected.

In addition to centralised and decentralized evaluations, external evaluations may also be undertaken by donors or other partners. External evaluations are managed entirely by entities outside the organisation, with the MEAL acting as the main focal point.

Given the characteristics of the DFY and the sources of funding for much of its programming, most evaluations will likely take the form of decentralized, self-assessments. DFY recognizes that decentralized self-assessments and centralised independent evaluations are complementary, and that the evaluation of some undertakings may include both approaches.

Centralised and decentralized evaluations may be undertaken individually (i.e. in the absence of any partners), jointly (with at least one other partner e.g. donors and/or implementing partners) and/or through participatory (i.e. involving stakeholders and/or beneficiaries) approaches.

18. Timing of Evaluations

Evaluation may be performed at different times and address different elements of the results chain, from assessing needs or determining baseline conditions at project conception to evaluating the impacts of a project's contribution to development goals. Between these two points evaluation may include formative or other types of process-related assessments, evaluations of outputs, and/or summative evaluations focusing on different levels of outcomes.

19. Evaluation Requirements

The following evaluations are required: Projects in which learning outcomes are sought

- Evaluation to obtain beneficiary reaction for all project training events of two days or more in duration.
- Evaluation of learning outcomes (e.g. strengthened knowledge or skills) for all project training events of two days or more in duration.
- Projects in which broader economic and social development results are sought
- Outcome evaluation for projects budgeted at INR 2 million or more.

20. Mandatory independent project evaluation

- All projects budgeted at INR 10 million and above shall be subject to an independent evaluation.
- The reporting requirements will be operationalised through a set of templates, guidance documents, checklists and other tools prepared or made available by the MEAL.
- DFY acknowledges that not all undertakings necessarily merit evaluation and some may not be feasible for political or other reasons as well as projects to which donors have expressed opposition to evaluation.
- The requirements and exceptions above shall not prejudice any evaluation requirements or preferences that a donor of a project or undertaking may have.

21. Discretionary Evaluations

Apart from the requirements enumerated in last section, other evaluations may be desirable to provide information on a project or undertaking's implementation (e.g. formative evaluation, mid-term review, etc.) or contribution to higher-level achievements (e.g. impact evaluation, return on investment evaluation). Such evaluations are discretionary, unless specifically required by a donor. Given cost and methodological considerations, any decision to perform impact evaluation should be based on an evaluability assessment prior to project implementation.

22. Evaluation Planning, Costing and Management

All projects, activities and other undertakings should be conceived in a results-based manner to ensure evaluability.

- All donor-funded projects or other undertakings subject to evaluation should include a clause in the project document/proposal specifying evaluation requirements and relevant modalities. In the absence of such a document, the relevant letter or memorandum of agreement should specify monitoring and evaluation modalities.
- For central evaluations, the MEAL team shall formulate an annual evaluation work plan within the established budget appropriations.
- For mandated independent project evaluations, terms of reference will be prepared using international standards and good practice, and include the following elements: the context and purpose of the evaluation, scope, main evaluation questions, methodology (data collection tools and analysis), work plan, learning products of the evaluation, intended use of results and qualifications.

22.1. Evaluation Costing

The costs to carry out evaluation vary depending on the purpose/type/scope of the evaluation, evaluation questions to be addressed, data collection methods and other factors. Adequate resources should be identified and made available for both decentralized and centralised evaluations and be reflected in project budgets.

Mandatory independent project evaluations should be costed at 2.5 per cent of the project's budget, unless otherwise determined by the MEAL team in consultation with the relevant divisional entity, and be identified on a separate budget line. These costs are distinct from project monitoring and narrative reporting costs.

22. 2 Evaluation Management

In conducting evaluations, the DFY acknowledges that different evaluation designs as well as quantitative, qualitative and mixed methods for data collection and analysis exist. The most appropriate design(s), method(s) and approach should be selected, taking into consideration the evaluation question(s), scope, criteria, human and financial resource requirements and availability, as well as guiding principles and good practice standards.

- All independent evaluations should include a peer review for quality assurance purposes prior to finalization.
- All independent evaluations should include a response from management in relation to the evaluation's findings, conclusions, and recommendations and lessons-learned.
- In managing mandatory independent project evaluations, the MEAL Dept may access the expenditure account within the ledger account of the relevant project and raise obligations for expenditure.

23. Reporting

DFY is establishing a MEAL Dept towards ensuring the adherence to the policy. Meal team will ensure to document the development of the M&E system in an M&E binder, or operations manual. The binder should include monitoring forms, sampling methodologies and data flow charts, for example. This handbook aims to be a living document to be revised and updated according to feedback received from the field. After reviewing or using this guidance, please send your suggestions or comments to meal@doctorsforyou.org or compliances@docotorsforyou.org.

Results from the monitoring and evaluation exercises are to be recorded in the following formats: Periodic Progress Reports, Results Summaries, Completion Reports, Independent Evaluation Reports where applicable. Other types of reporting formats, including inception reports, mid- term reviews, annual progress reports, final narrative or implementation reports, etc. may also be used if required or preferred by donors.

Periodic progress report (PPR's) record programme performance based on expected accomplishments, indicators of achievement and performance measures, as recorded in results-based budgets

- Results Summaries provide a narrative summary of the project, record results in relation to performance targets and integrate some degree of evaluative thinking.
- Completion Reports provide a narrative summary of the project, record findings, conclusions, recommendations and lessons learned (if relevant) and integrate some degree of evaluative thinking based on self-assessments. Completion Reports should be prepared by all divisional entities if an evaluation is required.
- Independent Evaluation Reports are issued by the Planning, Performance and Results Section and record findings, conclusions, recommendations and lessons learned from independent evaluations. Independent Evaluation Report are typically used for small scale projects budgeted at INR 10 million or more.

24. Dissemination and Disclosure

Reports from external evaluations where applicable will be accessible in a public depository with a view to ensure transparency and facilitate knowledge management and application of lessons learned. Selected narrative reports from divisional entities which include a significant evaluation component and meeting quality standards will be included in the public repository.

25. Evaluation Capacity Development

Evaluation is an important function in both national and international public service. The policy framework recognizes the importance of strengthening evaluation capacities within DFY projects for an enhanced decentralized evaluation function, and the Planning, Performance and Results Section and the Human Resources Section should collaborate towards this objective through training and other appropriate means.

26. Knowledge Management and Organizational Learning

The creation, storage, management, dissemination and uptake of knowledge is essential, including knowledge produced from evaluative undertakings. To promote evaluation use, organizational learning and quality improvement of the DFY's services, a learning forum will be organised periodically to share lessons learned on evaluation processes and outcomes.

27. Roles and Responsibilities

DFY have a shared system of roles and responsibilities in performing monitoring and evaluation functions.

27.1. President

The President provides the overall direction, leadership and management of DFY. The roles and responsibilities of the President are the following:

- Submits the DFY's results-based programme budget to the Board of Trustees for consideration and adoption;
- Submits the DFY's Strategic Frameworks, Programme Performance Reports, Third Party Evaluation Reports, and other relevant reports to the Board of Trustees for consideration; and Requests the Planning, Performance and Results Section to undertake corporate evaluations.

27.2. MEAL Section

Reporting directly to the President, the MEAL team acts as the custodian of the monitoring and evaluation functions. The section's roles and responsibilities are the following:

- Oversees the application of the policy framework, identifies bottlenecks and constraints and makes recommendations for updating the requirements or other elements of the framework, in line with international good practice, lessons learned as well as the evolving programming and operational needs and characteristics of the DFY;
- Facilitates regular interaction in-house with managers and other staff, collects feedback and facilitates learning on the framework;
- Conducts research and engages in critical and analytical reflection as well as issues recommendations to management for compliance with the framework;
- Prepares and circulates guidelines, checklists, templates and other tools to facilitate the application of the framework;
- Develops and promotes standards for evaluation and quality assurance;
- In due consultation with the Presidnet and Management, formulates annual corporate evaluation plans within the established budgetary appropriations;
- In due consultation with the President and Management, issues and discloses final evaluation reports without prior clearance from other Dept or functions;
- Acts as focal point for any external evaluation being undertaken by a donor or other partner;
- Undertakes periodic peer reviews of decentralized evaluations for quality assurance purposes;
- Prepares a Programme Performance Report based on submissions from programme management;
- Maintains a public repository of evaluation reports with a view to ensuring transparency and facilitating the integration of lessons learned and best practices into the broader concept of knowledge management;
- Promotes knowledge management, organizational learning and lessons learned by keeping abreast of innovative practices in the field of evaluation and monitoring, identifying relevant techniques, tools and methods, and providing divisional units with guidance on the use of respective tools and methods;
- Commits to sharing best practices and lessons learned to enhance the quality of the DFY's products and services; and

27.3. Programme Management

Programme management is a generic term comprising the manager-level posts of all entities, including programmes, sections, offices and units. Programme management's roles and responsibilities are the following:

- Undertakes monitoring and evaluation functions in accordance with the present policy framework, including monitoring progress towards results, as well as planning and conducting decentralized, self-evaluations/assessments;
- Informs donors and implementing partners of the Institute's evaluation requirements when preparing and negotiating project agreements and modalities for cooperation, and ensures that monitoring and evaluation modalities are specified in project documents or related agreements;
- Budgets and allocates resources for evaluations in accordance with applicable evaluation requirements;
- Informs the Planning, Performance and Results Section of the scheduling of evaluations on a rolling basis;
- Submits copies of narrative results and/or reports of decentralized, self-evaluations to the MEAL upon completion;
- Follows-up on findings, conclusions, recommendations and lessons-learned of independent evaluations in the form of a management response;
- Implements accepted evaluation recommendations and informs the MEAL when implemented; and,

- Commits to sharing best practices and lessons learned with a view to further strengthening the quality of the Institute's products and services.

28. Coverage and Scope

The framework applies to the entirety of the DFY's work across geographies. Should the monitoring, evaluation or reporting requirements of donors deviate from the present policy framework, programme management should inform the MEAL team accordingly.

29. Review

The application of the policy framework as revised in this present version will be reviewed and amended to account for adjustments and other elements as required, based on the evolving nature of monitoring and evaluation functions and taking into consideration international good practices.

Annex 1: Glossary of Terms

Accomplishment	The achievement of specific results producing changes in behaviour or developmental conditions.
Activity	Any action undertaken or work performed with the objective of transforming inputs into measurable outputs.
Baseline	Data describing a situation to be addressed by an undertaking which serve as the starting point for measuring performance.
Beneficiaries	Individuals, entities or groups which may be targeted or not and which may benefit directly or indirectly from a programme, project or other undertaking.
Best practices	Planning, organizational and/or managerial methods, processes, techniques or other practices which have produced consistent superior results to those achieved by other means.
Corporate evaluation	Independent evaluations undertaken and/or managed by the Planning, Performance and Results Section.
Decentralized evaluation	Self-assessment evaluations conducted by programmes or other divisional entities of the Institute.
Divisional entities	A collective term that refers to the Institute's programmes, offices, sections, units and other administrative entities.
Effectiveness	The extent to which a programme, project or other undertaking achieves its planned results (outputs outcomes and/or goals).
Efficiency	The cost effectiveness of transforming actions into outputs, taking into consideration alternative paths.
Evaluability	The extent to which an activity, project, programme or other undertaking can be subject to evaluation in a credible and reliable manner.
Evaluation	"An assessment, conducted as systematically and impartially as possible, of an activity, project, programme, strategy, policy topic, sector, operational area or institutional performance. It analyses the level of achievement of both expected and unexpected results by examining the results chain, processes, contextual factors and causality using appropriate criteria such as relevance, effectiveness, efficiency, impact and sustainability."
Ex ante evaluation	An evaluation performed prior to the implementation of an undertaking. See baseline.
Ex post evaluation	An evaluation performed after the implementation of an undertaking.
Formative Evaluation	A type of evaluation conducted during the implementation of a project or other undertaking with the aim to provide information that will guide project improvement. This type of evaluation typically focuses on determining whether a programme is being implemented according to plan
Impact	The totality and/or long-term effects of an undertaking. Effects may be positive or negative, intended or unintended.
Indicator	A quantitative or qualitative measure of programme performance that is used to demonstrate change and which details the extent to which results are being or have been achieved.
Institutional outcome	Effects produced as the result of intermediate outcomes. E.g. increased organizational effectiveness as the result of the application of knowledge or skills by beneficiaries or as the results of other intermediate outcomes.
Intermediate outcome	Subsequent effects of products and/or services (outputs) delivered. E.g. increased level of knowledge or skills, or knowledge and skills retained/applied on the job after training.
Knowledge management	The systematic processes, or range of practices, used by organizations to identify, capture, store, create, update, represent and distribute knowledge for use, awareness and learning across the organization
Lessons learned	A generalization derived from an evaluation and applicable to a generic rather than a specific situation.
Logical framework	A results-based project framework design based on a causal relationship linking inputs, activities, outputs, outcomes and impact, with objectively verifiably indicators to measure progress towards the achievement of results.
Monitoring	The routine process of collecting and recording information in order to track progress towards expected results
Output	Final products or services delivered.
Outcome	Changes in behaviour or development conditions.
Project	A set of planned and interrelated activities designed to achieve specific objectives within a given budget, period of time and operating framework.
Programme	A set of sub-programmes, projects and/or activities producing outputs and accomplishments with a defined budget and under a set of specific objectives linked to the Institute's mandate and organizational goals.
Summative Evaluation	A type of evaluation intended to provide information about the merit, worth and impact of a programme or project (OIOS). Summative evaluation is usually conducted at the end of a programme or project to determine if anticipated results were achieved.

Annex 2 : Field trip report

Why: To provide project and program managers, heads of programming and heads of office regularised and standardised feedback on a project's success and challenges, as updated through regular field visits.

When: Complete after each trip if field visits occur once a week or less frequently. Complete once a week if field visits occur frequently (daily or weekly)

Who: To be completed by most senior project or field officers, preferably electronically; reviewed and commented on by project or program managers who create an action plan for follow-up; then shared with the respective head of programming or head of office for final review and approval.

Dept		**Project number**	
Office		**Start and end date of trip**	
Communities visited			
Overall purpose of trip			
A. Key observations Key observations should be based on anecdotal evidence (e.g., focus groups), observations or some other monitoring sheet (e.g., classroom observation sheet); supporting documents should be attached.			
Reportable outputs/ observations (may be predetermined by program manager)	Successes and highlights (to be completed by most senior field officer or program officer)	Challenges and ongoing needs (to be completed by most senior field officer or program officer)	Follow-up actions recommended (who/ when) (to be completed by most senior field officer or program officer)
B. Manager's comments Program manager must insert comments and feedback and share with direct reports. Head of program or office may choose to write additional comments if required			
Submitted by	Reviews by:PM	Approved by: Director	Returned to FO