Learning Project
Outcome Measurement
in Local Governance Programmes

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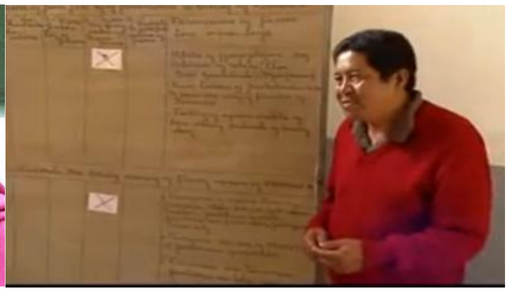
Decentralization and Local Governance Network

OUTCOME MEASUREMENT IN LOCAL GOVERNANCE PROGRAMMES:

PART 2: 6 CASE STUDIES ON SDC PROGRAMMES





Case 1	**Citizen Based Satisfaction Survey in LOGOS - Kosovo**
Case 2	**The Outcome Monitoring System in MSP – Serbia**
Case 3	**The Outcome Monitoring System of Sharique – Bangladesh**
Case 4	**Outcome Mapping in Saha – Madagascar**
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CITIZENS BASED SATISFACTION SURVEYS:

Swiss-Kosovo Local Governance and Decentralization Support (LOGOS)

Country: Kosovo

Key Informants: Pascal Fendrich, HELVETAS Swiss Intercooperation, Kosovo,
Place and Date: Pristina/Bern, September 2012

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List of Abbreviations

AKM	Association of Kosovo Municipalities
LOGOS	Swiss-Kosovo Local Governance and Decentralization Support
MLGA	Ministry of Local Government and Administration
SDC	Swiss Agency for Development and Cooperation
UNDP	United Nations Development Programme
USAID	United States Agency for International Development
YPO	Yearly Plan of Operations

1. Key Features and Learnings

- Organizing citizens based opinion/satisfaction surveys allows understanding how citizens perceive and value changes at the municipal level and integrating end-beneficiaries' perspectives into the assessment of results.
- Citizens based surveys can serve multiple purposes: monitoring and reporting progress, planning future activities and promoting dialogue with and between partners.
- The tool can provide data about particular categories of the population. In a context where integration of minorities remains a key issue, it provides LOGOS with important information on the perceptions and the level of satisfaction of the Kosovo Serb community
- While the use of randomly chosen samples reduces "bias" of the interviewees, a logical pre-condition is that the project contribution is large enough to affect all citizens and for citizens to have an "informed" opinion about it.
- The organization of citizens based surveys requires significant human and time resources.
- It requires expertise for the results to be reliable.
- If one decides to rely on an external source of information or to use pre-existing methodologies, it is important that the latter have already been tested.
- Attribution remains a challenge. The use of citizen based surveys must be considered in the design of the overall monitoring system. Complementary sources of information and mechanisms for analyzing the information extracted through the surveys are needed.
- Overall context matters! As there are many factors that influence citizens' perceptions, the use of opinion surveys is difficult in rapidly changing and unstable environments.
- Harmonization of systems may be difficult for reasons of timing and/or the limited scope of intervention. The potential for increased involvement of donors on OM systems development and for harmonization at programme level should be explored.

2. Fact Sheet

LOGOS – Citizen-based satisfaction surveys	
Developed by	▪ By LOGOS ▪ The methodology for organising the surveys was borrowed and adapted from a tool developed by UNDP – The Kosovo Mosaic Survey.
Applied in	▪ 10 municipalities (9 partner + 1 control municipality) between 2009 and 2012
Purpose	1) Include citizens' perspectives and their level of satisfaction on municipal performance as a way to measure project outcomes. 2) Identify needs for planning purposes. 3) Trigger a dialogue with partners.
Methodology	▪ Opinion/satisfaction survey on municipal performance. ▪ The collection of data is outsourced to a local consulting company. ▪ Data collected through face-to-face interviews with <u>randomly selected samples</u> of citizens in 9 LOGOS partner municipalities and a control municipality. ▪ Scoring factors on satisfaction (four to five grades from "very satisfied" to "very dissatisfied") ▪ OM system complemented by other sources of information (quantitative indicators)
Products	▪ Half-yearly, Annual Project's reports and end-of the Phase report. ▪ Results presented in a visual manner to the partners. ▪ Publication of the results possible (not decided yet).
Dimensions / aspects addressed	▪ Focus on improvements for citizens resulting from programme intervention and changes in attitudes of partners as perceived by end-beneficiaries. ▪ Focus on "perceived" changes along the good governance criteria. ▪ Allows to compare change over time and between partners. ▪ Allows for data to be disaggregated and to obtain information on specific categories of the population (gender, minorities, etc.). Therefore useful to monitor social dynamics/changes. ▪ Not designed to measure power relations and/or cost-benefit elements.
Indicators	▪ Qualitative information expressed in quantitative terms (→ percentage of population "satisfied" with municipal performance). ▪ Use of an additional quantitative indicator at the outcome level.
Attribution	▪ Problematic – questionnaire needs to be well-thought and other sources of information necessary to analyse qualitative data extracted through the surveys. ▪ Useful to use a control group / municipality (i.e. conduct the survey in an area not affected by project) ▪ Useful to conduct ex-post focus group discussions with respondents in order to discuss and analyse the results of the survey.
Conditions	▪ Rather applies to "long" projects that spread over several years in order for change to be perceived by citizens. ▪ The use of randomly chosen samples implies that the project activities have an impact large enough to be felt by all categories of the population. ▪ Need for expertise when developing the methodology (formulation of questions, size of the samples, etc.) ▪ Important to rely on a "neutral" third party to collect the data. ▪ Interviewees need to feel confident to speak freely ▪ Opinion/satisfaction surveys need to be combined with other sources of information in order to analyze results and programme/project contribution. ▪ The context matters! Reliability of results will be negatively affected by instabilities and other changes not related to the project.
Remarks	▪ The organization of citizens/beneficiaries' opinion surveys requires important time investment and financial resources. ▪ Harmonization with other projects/initiatives remains difficult for reasons of timing and scopes of interventions
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3. Introduction and Background

The project and its main outcome

The Swiss-Kosovo Local Governance and Decentralization Support project (LOGOS) is implemented by HELVETAS Swiss Intercooperation and is part of the Swiss Agency for Development and Cooperation (SDC) country programme in Kosovo. The project started in 2007 and is now in its second phase of implementation (2010-2012).

LOGOS aims at strengthening local governance and decentralization reforms in 9 municipalities in South Eastern Kosovo[1]. It contributes to the implementation of the constitutional set-up which was designed in the aftermath of the 2008 declaration of independence and which places decentralization as a key priority for building a democratic and multi-ethnic state.

Municipalities are the entry point of LOGOS support, while the project closely coordinates its actions with the village and central level. The intended project objective/outcome is that **selected partner municipalities in South Eastern Kosovo are more accountable, transparent, equitable and effective in local governance and able to deliver key services to satisfy all citizen groups**.

The project outcome is pursued through concentration on the following working areas: Strategic and Spatial Planning, Budget Planning, Financial Management, Waste Management, and Municipal Structure. Gender, good governance and the inclusion of the sub-municipal level (i.e. village level) are transversal themes to be promoted. LOGOS support activities in these areas should allow attaining the following direct results / outputs:

- Partner municipalities apply a systematic, participative and inclusive approach to development planning and monitoring.
- Partner municipalities are able to provide services to all citizens on the whole municipal territory.

LOGOS combines different methods to support the work of municipalities such as advising, mentoring, and specific trainings. It emphasizes on-the-job coaching for municipal officials. In addition, LOGOS has established an Investment Fund for municipal projects.

The Outcome Measurement Methodology

In LOGOS progress is assessed along different dimensions. For monitoring results at the **outcome level**, LOGOS mainly uses **qualitative indicators** (expressed in quantitative terms through satisfaction surveys). The level of satisfaction of citizens on municipal performance in several fields is used as the main criterion for monitoring the results at the outcome level. For this purpose, LOGOS borrowed a methodology developed by the United Nations Development Programme (UNDP) – The Kosovo Mosaic surveys – and organizes regular citizens based perceptions surveys. These surveys are conducted in each partner municipality with randomly chosen and statistically relevant samples (i.e. the survey is done with a representative number of all relevant groups represented in a partner municipality). Information is collected on a yearly basis except for the last year of implementation of the project where two surveys were organized. In order to diversify the sources of information, an additional **quantitative indicator** has been added to the monitoring system and focuses on budget execution.

Progress is assessed over time and against a baseline collected in 2009. Interviews are also conducted in a non-partner municipality in order to compare progress of partners with a municipality that is not covered by the project and thus reduce problems linked with attribution.

Complementary to Outcome monitoring, LOGOS collects data through different methods in order to assess the quality and results of its activities. Information is gathered through several sources and helps analyze the mainly qualitative information gathered for monitoring the Outcome level.

[1] Hani i Elezit, Kaçanik/Kačanik, Kamenicë/Kamenica, Klokot - Vrbovac/Kllokot –Vërbovc, Novo Brdo/Novobërdë, Parteš/Partesh, Ranilug/Ranillug, Štrpce/Shtërpcë and Viti/Vitina

Monitoring level	Focus	Method / Source of information
Context monitoring	Socio-political and legal environment	Bi-annual analysis conducted by LOGOS
Impact monitoring	Documentation of possible impacts – longer term results	Not planed yet – External evaluations
Outcome monitoring	Results in terms of changes in the behavior and performance of partner municipalities along the good governance principles.	Combination of quantitative and qualitative indicators: - Citizens satisfaction surveys - Municipal reports (on financial management)
Progress monitoring	Direct project achievements, with reference to the targets which are defined in the YPO, project document and Logframe	Combination of quantitative and qualitative indicators ▪ LOGOS activities' reports and experts reports. ▪ Municipal reports. ▪ Citizens' based surveys / "Exit surveys" ▪ Annual Focus group discussions with municipal officials

4. Application of the Outcome Measurement methodology

Main purpose and link to the baseline

The design of the monitoring system was developed by the LOGOS project during the inception phase of LOGOS phase II. As many international organizations and projects were already active in Kosovo in 2010, the initial idea was to be pragmatic and to try to gather information from already existing tools that were in use in Kosovo. In this respect, LOGOS identified two tools that were of specific relevance for its field of work. First, the Ministry of Local Government Administration (MLGA) had been supported by USAID to develop a tool to monitor municipal performance. The tool was to collect a combination of factual and perception-based information and LOGOS identified the annual MLGA reports as a potentially useful source of information for monitoring its progress. Unfortunately, this source of information revealed unreliable in the longer run. Second, LOGOS borrowed the methodology of a tool developed by UNDP which used to conduct comprehensive citizens based surveys on municipal performance. The UNDP "Kosovo Mosaic" surveys measured citizens' perceptions, level of satisfaction and awareness on issues relating to local governance. LOGOS used the results of the 2009 survey to construct its baseline and adapted the tool to its specific needs. It contracted the same company that used to conduct the surveys in order to continue conduct it in LOGOS project area.

The "Kosovo Mosaic" survey evolved into the main source of information for monitoring results at the Outcome level. It allows including end-beneficiaries' perspectives into the assessment of the project results. The information collected is primarily used to evaluate project results and report to the donor. The tool should also help identify citizens' priorities and serve as guidance for planning activities. LOGOS also intends to use these surveys as a way to identify best practices and promote learning and dialogue between partners.

The process and actors involved

As mentioned above, LOGOS adapted the UNDP "Kosovo Mosaic" and contracted the same company that used to conduct it. Surveys are organized on an annual basis at the end of each calendar year[2]. The survey takes place in all 9 LOGOS partner municipalities and in one "control" municipality that is not covered by the project (Lipjan/Lipljan).

In order to be able to compare change over time, the methodology applied is exactly the same as for the previous "Kosovo Mosaic" surveys. In this sense, the size of the samples per municipality and the method of selecting respondents are similar. For the surveys organized by LOGOS a total of about **1250 persons spread in 10 municipalities** (9 partners + 1 "control" municipality) are interviewed. The size of the samples ranges from 90 to 130 respondents depending on the size of the municipality. As well, one ensures that samples of peoples interviewed reflect gender balance, urban and rural population and ethnic composition of the municipalities.

Before the implementation of every survey, LOGOS discusses and finalizes the questionnaire with the contracted company and agrees on a timeline. The latter relies on a team of enumerators that knows the respective municipalities to conduct the interviews in the field. It is also responsible to train the enumerators to the methodology and does random checks once it receives the filled-in questionnaires (on roughly 30% of the questionnaires). The contracted company usually needs two weeks to collect the data and another two weeks to compile them.

LOGOS receives one report per municipality that compiles the answers of the last and previous surveys. All results are expressed in percentages and reflect either the level of satisfaction on municipal performance in a large variety of fields or citizens' priorities. LOGOS also asks more precise questions concerning their participation in public meetings, whether they have received certain documents or on the payment of taxes.

Indicators

The main criterion used for monitoring progress at the outcome level expresses the level of citizens' satisfaction on municipal performance on the following dimensions: overall municipal performance (OC 1a), financial management (OC 1b) and participation in municipal decision-making (OC 1c). This **qualitative information** is expressed in quantitative terms (grading system ranging from "very satisfied" to "very dissatisfied" – and overall results expressed in percentages)

In addition, in the course of 2011 LOGOS decided to add a **quantitative indicator**. This indicator focuses on budget execution and was included in order to diversify the sources of information used for monitoring progress at the outcome level

Resources required

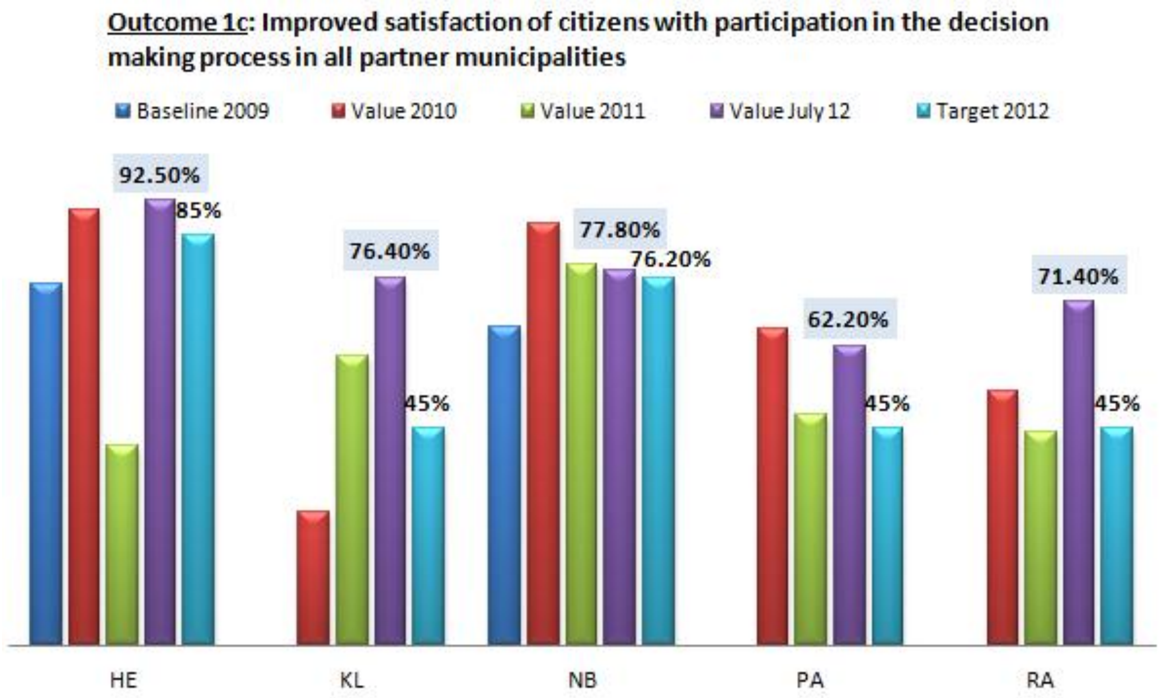
The organization of regular citizens based satisfaction surveys requires important time, human and financial resources. It takes the contracted company about 2 weeks to collect the data. For this purpose it hires about 25 enumerators (one team per municipality – 2 to 3 enumerators per team) which are trained to the methodology and the questionnaire. It then takes the company another two weeks to process and compile the data, which are sent to LOGOS in the form of tables compiling all the surveys organized since 2009. The financial costs of one survey amount to **13'065 Euros**.

For LOGOS the organization of one survey implies altogether about 10 to 12 days of work. Before each survey LOGOS consults with the contracted company in order to adapt the questionnaire. Once data are collected, it needs time to analyze and discuss the results based on the sub-questions asked through the interviews and information gathered through other sources.

Products

The results of the survey first serve preparing progress reports. They are furthermore presented in a visual manner to the partners (steering committees, planning workshop) as a way to stimulate discussion on how to improve identified shortcomings. The results are for the time being not published but LOGOS is considering this possibility.

[2] Except for the last year of implementation of LOGOS phase II where two surveys are to be organized



5. Analysis and Main Lessons Learnt

a. The OM methodology

Practice shows that the use of citizens' opinions surveys is useful for LOGOS to understand how citizens perceive and value changes at the municipal level. It offers a complementary perspective for assessing projects results in addition to the mostly factual information collected at the output level. Contracting a third party to conduct the interviews and using statistically relevant samples of randomly chosen citizens is a way to obtain a more "neutral" understanding of how citizens' perceive municipal performance. But while the use of randomly chosen samples reduces "bias" of the interviewees, a logical pre-condition for such a methodology is that the project contribution is large enough to affect all citizens and for citizens to have an opinion about it.

The methodology applied allows measuring change over time based on the results of the baseline of 2009. The results are expressed in terms of percentages of population that is satisfied with municipal performance. This also allows comparing progress among partner municipalities.

However, the organization of satisfaction surveys remains a complex task for the results to be useful for the project. The main challenges of the methodology relate to **1) the reliability of data**, and **2) questions of attribution**.

In order to ensure the **reliability/quality of results**, practice underlines the need for expertise in designing and organizing the surveys. Questions relating to the size of the samples, the selection of the sample (randomized or not / using the same sample for different surveys, etc.) are key issues that cannot be changed at a later stage, if one wants to be rigorous and able to compare progress over time. It is crucial to devote time and thinking when defining the methodology. In this specific case, LOGOS decided to borrow a methodology that had already been tested. It is also important to conduct several surveys in order to consolidate the results first and to be able to observe change. The repetition of the survey contributes to reduce the risks of statistical mistakes and allows the identification of "patterns". These observations underline that the use of large citizens' based surveys may rather apply to long-term projects that spread over several years, provided that the project affects citizens early enough.

A second key issue relates to **"attribution"** and to the identification of the project contribution to positive or negative changes in citizens' satisfaction. Discussing attribution first reminds that outcomes and their related indicators need to be formulated in a realistic manner and be well connected to the scope of work of the project. But changes in perceptions may result from developments that have nothing to do with the scope of a project. It is first important to consider the context in which the surveys are organized. Citizens' perceptions are quite sensitive to "exogenous shocks" that might have nothing to do with the scope of the survey but that will have a positive or negative influence on answers. For instance in the case of Kosovo, the 2008 declaration of independence constituted a positive "exogenous shock" which translated into a widespread optimism that is visible in the results of the surveys organized in 2009.

A first mechanism to deal with attribution for LOGOS consists in using a "control" municipality. In this respect, LOGOS also conducts the survey in a non-partner municipality in order to compare progress and changes with its partner municipalities[3]. Second, attribution should also be considered at the time of preparing the questionnaire. It should ask subsidiary questions that will help understand what role the project played in changed perceptions. One needs to be able to "trace back" changes in citizens' perceptions (or to observe that the project is in the end not involved in these changes).

Finally, understanding the project contribution to changes implies that citizens' surveys cannot be used as the sole source of information for monitoring. The overall monitoring system needs to rely on a mix of qualitative and quantitative indicators. Qualitative information extracted through the surveys needs to be analyzed against factual information extracted through other sources. For this purpose, LOGOS has included an additional quantitative indicator focusing on budget execution. Also, regular monitoring of progress at the activity/output level as well as the organization of annual focus group discussion with municipal officials to discuss municipal progress and activities provide additional information against which citizens' satisfaction is analyzed.

Despite these mechanisms, the interpretation of the results of the surveys has sometimes been difficult. First, LOGOS' outcome is formulated on a rather "macro-level" which makes it difficult to circumscribe the project's contribution. Second, the level of optimism observed through the surveys since 2008 is now slowly being replaced by a widespread pessimism of the population, which translated into decreasing levels of satisfaction. In this context, and for the end of the phase report, LOGOS has decided to organize ex-post focus group discussions with a number of citizens interviewed on the occasion of the survey. This has allowed to further discussing the results with respondents and to better identifying the key factors that influence citizens' opinions. The discussions have shown what activities and municipal competences are central in citizens' perspectives and how they react to certain developments. In this respect, this follow-up exercise provides with a better understanding of high/low levels of satisfaction and of LOGOS contribution to changes in perceptions and LOGOS is considering organizing it on a more regular basis.

It logically follows from the above remarks that the organization of these types of surveys reveals quite costly in financial terms and in terms of time investment.

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[3] More specifically, Lipjan/Lipljan serves as control municipality for partner municipalities with a Kosovo Albanian majority as it shares some important characteristics with LOGOS partner municipalities (rural municipality, similar size, etc.) No control municipality could be identified to compare results obtained in Kosovo Serbs majority municipalities as LOGOS works with most of them.

“Attribution” in standardized opinion surveys with random samples

Pre-conditions:

- The project has a field of intervention that affects all citizens and citizens have an “informed” opinion about it.
- Outcomes are defined in a realistic manner and directly correspond to the scope of the project intervention.

Mechanisms available for analyzing survey results:

- Use of a control municipality that shows comparable characteristics to partners.
- Design of a questionnaire that asks subsidiary questions that help identify the “causes” of changing levels of satisfaction.
- Organization of ex-post focus group discussions with samples of respondents in order to identify the reasons for positive/negative opinions.

+ Regular context analyses.
+ Combination of qualitative and quantitative indicators and diversification of sources of information.

Difficulties of analysis increase with unstable context and number of projects/programmes present in the area.

b. Purpose(s) of the methodology

The organization of the surveys can serve multiple purposes. For LOGOS, the primary purpose of implementing these surveys is to be able to analyze progress through a different dimension and to include citizens’ perceptions in the assessment of its results. In this respect, the results of the survey are first used for monitoring and reporting to the donor.

Furthermore, LOGOS considers the tool and its observations as a useful way to promote dialogue with partners on results achieved and next steps to be undertaken. The results of each survey are presented in a graphical manner to the partners. Practice has however shown that initiating discussions on the results is not automatic. Additional preparation and moderation from the project side is necessary to initiate constructive discussions on how to analyze the results, on ways to address the identified shortcomings and on the possible support of LOGOS.

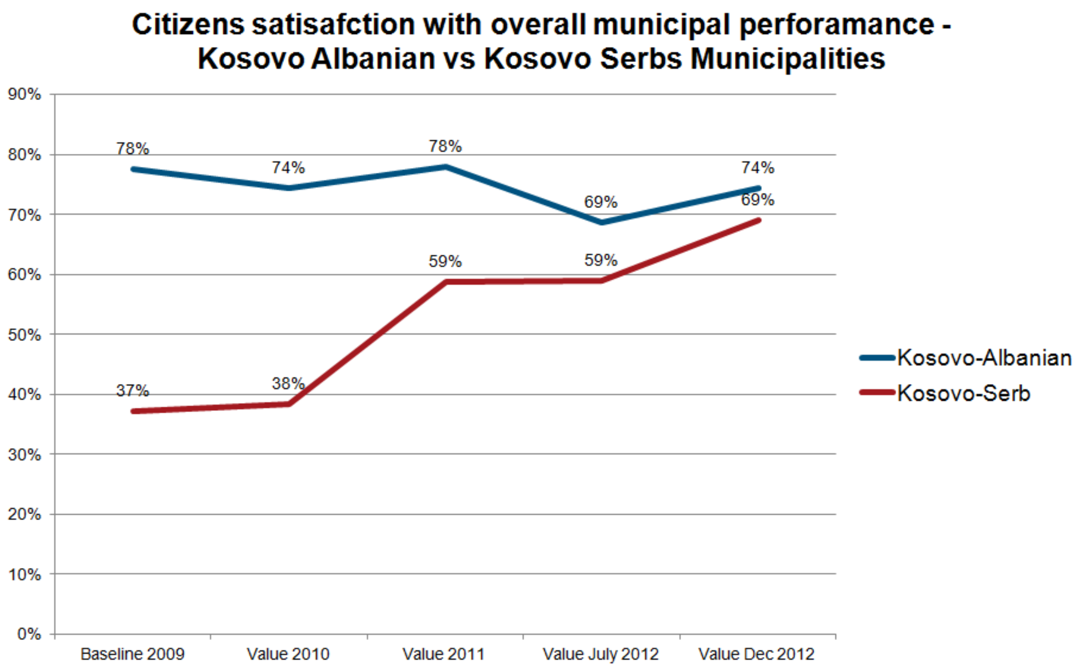
LOGOS also uses the surveys as a way to check the results of more punctual issues and for planning purposes. In this respect, the flexibility and the possibility to add questions are other advantages of this tool. While the core of the questionnaire – the key indicators used for monitoring – remains the same, LOGOS modifies the questionnaire before every survey in order to see how particular activities were perceived by the population. Finally, by asking citizens about their priorities the tool has a great potential to support the planning of coming activities. This aspect has remained limited for the time being but LOGOS plans to use the results of the last survey for the selection of activities to be conducted in the field of gender.

c. Which aspects can be measured with the methodology?

The key contribution of the LOGOS surveys is first to observe how changes are felt and assessed by citizens/end-beneficiaries. The surveys allow understanding citizens’ opinions about general issues (such as overall municipal performance or relating to their inclusion in municipal policy-making) or on more precise issues (whether they participated in a public debate or were invited to attend).

LOGOS surveys provide information for LOGOS outcome indicators which focus on perceived improvement of municipal performance along the governance criteria. The surveys allow analyzing changes in “perceived” transparency, accountability, efficiency and effectiveness of municipal policy-making and the provision of municipal services.

In addition, the tool is elaborated enough to obtain data about specific categories of the population. LOGOS for instance requires the final data to be “gender-disaggregated”. It is therefore able to analyze how municipal developments are perceived by both genders and to understand how both groups feel included in municipal policy-making and how the latter answer their specific needs. It is in this context worth mentioning that practice has shown that it is more difficult for enumerators to reach the quotas of women interviews. The provision of ethnic/minority-disaggregated data is also of particular relevance in Kosovo which remains a divided society. In the context of Kosovo decentralization process, one key issue is to understand how minorities and especially the Kosovo Serb community perceive the new state and its institutions and whether they growlingly recognize them as legitimate. The LOGOS surveys allow to understand how Kosovo Serbs perceive the "'new" municipalities and whether confidence to participate in policy-making is slowly emerging. This tool thus reveals as particularly useful to monitor social changes that could not be observed otherwise.



The surveys do however not target power relations. The methodology does neither address specific cost-benefit elements. This needs to be done by complementary tools.

d. Harmonization and integration

The question of the possible harmonization of the LOGOS surveys with other tools is of specific relevance in the Kosovo context given the number of initiatives developed to support decentralization.

As mentioned above, LOGOS integrated an already developed tool for designing its monitoring system. Borrowing the exact same methodology developed by UNDP for the "Kosovo Mosaic" surveys allows LOGOS to compare its results with previous surveys organized in LOGOS partner municipalities. At the time of developing LOGOS monitoring system the intentions of UNDP as concerns continuation of the survey were however not clear and no coordination was undertaken.

LOGOS also tried to use the tool developed by USAID and MLGA as a source of information for monitoring its results. Consultations with MLGA and with the officials in charge of the reports have been unsuccessful. LOGOS was only informed ex-post of the choices made by the Ministry. This source of information revealing unreliable, LOGOS has in the end decided not to use it as a source of information for monitoring**.** On LOGOS side contacts were perhaps established too late with MLGA and earlier discussions could have allowed LOGOS to be better involved. This experience also underlined the risks of relying on an "external source of information" and to use pre-existing tools. In this respect, it is important that the tool has already been tested and is seen as credible. If a tool is in a "pilot phase", there are high chances that its design will evolve over time. Furthermore, the question of “who collects the information?” is also of specific relevance as some of the results can be politicized, depending on who controls and publishes them.

Despite the presence of other projects working on similar issues, no other coordination attempts were undertaken and LOGOS was not contacted by other project for such purposes. These observations may reveal that a key difficulty for coordinating or sharing a monitoring tool with other organizations may rely in the question of “timing”. The fact that projects start at different times and have different time lengths (with maybe evolving objectives) make it difficult to have a strict cooperation when it comes to a monitoring tool. What shall the tool exactly look at? What are the financial costs involved? What happens when one of the projects ends? Etc. These types of questions make it more difficult to design a monitoring tool with another organization. Furthermore, if it is necessary to inform one-self about other projects’ monitoring system before starting to develop one’s own monitoring tool, practice nevertheless shows that projects tend to be reluctant to share information. The fact that organizations implementing projects are also potential competitors does not facilitate the exchange of information. The above observations may underline the need for coordination at the programme/donor level rather than at the project level.

Finally, LOGOS monitoring system is harmonized with SDC reporting tools. The SDC has selected a number of indicators that it also uses for its country monitoring system. Information/results for these indicators are thus provided by LOGOS and directly integrated into SDC monitoring report. The only challenges met in harmonizing both reporting systems referred to differences in geographical scopes and timeframe covered. The fact that the two reporting periods do not coincide creates additional work, both for LOGOS and SDC.

e. Conditions required and relevance of context

The organisation of satisfaction surveys with randomly chosen samples of citizens allows the integration of end-beneficiaries into the assessment of the results of a project. This case study shows that implementing such surveys implies important time and financial investment for the collection of data and for their analysis. In particular, the following elements need to be kept in mind when designing and implementing it:

- The organisation of citizens based surveys rather applies to “long” projects that spread over several years in order for change to be perceived by citizens.
- The use of randomly chosen samples implies that the project activities have an impact large enough to be felt by all categories of the population.
- Expertise is necessary when designing and implementing the methodology in order to ensure the quality of the results and their comparability over time.
- If one decides to rely on a pre-existing tool, it is important that its methodology has already been tested.
- The use of a third party to conduct the interviews is preferable for the quality of the collected data.
- The repetition of the survey allows consolidating the results and prevent from statistical mistakes.
- The qualitative information extracted through the surveys needs to be combined with other indicators and sources of information.
- Issues relating to attribution needs to be analysed at the very start and lead to the definition of mechanisms that will help analyse the project contribution to changing levels of satisfaction.
- Harmonization with other projects/initiatives remains difficult for reasons of timing and scopes of interventions.

In addition, the following contextual elements are important:

- Citizens need to feel confident that they can speak freely to enumerators and that their remarks will not have negative consequences. It is furthermore important to control whether conditions are gathered for the participation of all categories of the population including the most vulnerable.
- The difficulties of analysing the results increase with political instabilities and other “exogenous shocks”.
- Problems relating to attribution increase with the number of projects also active in the intervention area.

6. Concluding Remarks

The organisation of citizens based satisfaction surveys allows the integration of end-beneficiaries' perspectives into the assessment of the results of a project and usefully complements factual information gathered through other sources of information. Interviewing randomly chosen samples of citizens is furthermore a way to prevent "bias" in the collection of data.

In the case of LOGOS, the implementation of such a methodology revealed useful for monitoring changes at the municipal level and increased performance of municipal administration as perceived by citizens. The tool can furthermore provide data about particular categories of the population. In a context where integration of minorities remains a key issue, it provides LOGOS with important information on the perceptions and the level of satisfaction of the Kosovo Serb community. The tool is furthermore flexible and serves multiple purposes. In addition to collecting information for the outcome level, LOGOS used these surveys to gather information on more punctual issues may that be concerning particular activities it undertook or for planning purposes.

This case study has however shown that the use of satisfaction surveys with randomized samples requires important financial and human resources in order to ensure the quality of the data collected. It requires expertise for designing and implementing the methodology and important time for the analysis of the results. In this respect, "attribution" remains a key issue. The monitoring system therefore requires additional mechanisms and sources of information for analysing the results of the satisfaction surveys (control municipality, ex-post focus group discussions, diversified sources of information, etc.). Furthermore citizens' perceptions may importantly be affected by changes and instabilities that are not directly linked to the project. The use of satisfaction surveys with random samples may thus not be suitable for all sorts of context and for rapidly changing environments.

The LOGOS case study has also shown that harmonization with other partners for the organization of broad surveys would be useful in order to increase the size of the samples and compare what is achieved in other non-partner municipalities. Still coordination and harmonization revealed to be difficult. The different timing and scopes of projects reduce the possibilities to develop common monitoring tools for projects and organisations are often reluctant to share all information. An increased role and direct involvement of the donors with regard to monitoring (including coordination with others) might foster harmonization.

7. References/Additional Information

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HELVETAS Swiss Intercooperation Kosovo: http://helvetas-ks.org/wp/

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8. Annex: LOGOS Phase II – Logical frame – Outcome level

Hierarchy of objectives	Key indicators	Sources of verification	Assumptions
Development goal Local Governance and Decentralization reforms in municipalities in South Eastern Kosovo are strengthened, thus contributing to democratization and citizen participation in a multiethnic state and society			International community and national government will consistently pursue the decentralization and local government reforms agendas
Project outcome Selected partner municipalities in South Eastern Kosovo are more accountable, transparent, equitable and effective in local governance and able to deliver key services to satisfy all citizen groups	a. Increased satisfaction of citizens (gender specific) with performance of municipal administration in all partner municipalities b. Improvement satisfaction of citizens with municipal financial management in all partner municipalities c. Improved satisfaction of citizens with participation in the decision making process in all partner municipalities d. Increasing implementation rate of expenditures of projects from the municipal mid-term budget framework	a. Kosovo Mosaic - Local Authorities and Public Services Survey. Q18c b. Kosovo Mosaic - Local Authorities and Public Services Survey. Q24b c. Kosovo Mosaic - Local Authorities and Public Services Survey. Q25a d. LOGOS - Annual monitoring and review of MDPs and municipal budgets	Additional funds, apart from those from LOGOS, are invested into service improvement in targeted municipalities (revenues and donors)

Learning Project
Outcome Measurement in Local Governance Programmes

dlgn
Decentralization and Local Governance Network

OUTCOME MONITORING SYSTEM

MUNICIPAL SUPPORT PROGRAMME (MSP)

Country: Serbia

Key Informants: Radomir Milovanović and Zagorka Štavljanin, MSP Ltd, Serbia

Place and Date, Bern/Kraljevo, August 2012

Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Swiss Agency for Development and Cooperation SDC

HELVETAS Swiss Intercooperation

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List of Abbreviations

IMWG	Inter Municipal Working Group
MSP	Municipal Support Programme
OMS	Outcome Monitoring System
RDA	Regional Development Agency
SCTM	Standing Conference of Towns and Municipalities
YPO	Yearly Plan of Operations

1. Key Features and Learnings

- The OMS, based on the outcome mapping methodology, allows complementing the rigid cause-effect system of project management frameworks (such as the logframe), taking into account that outcomes are mainly changes at partners' level linked to diverse reasons
- Partners and beneficiaries must be actively involved during the main steps (design, implementation, analysis discussion)
- The OMS can be adjusted and measure different aspects, depending on the defined outcomes in the project/programme
- Not appropriate to measure concrete improvements for citizens, power relations and cost benefit elements, as the tool is mainly based on information and appraisal from the partners
- External moderation required to prevent bias, in particular for the scoring exercise
- Repetition on a regular basis allows identifying changes and progress
- The core group of the persons involved should not change, to ensure consistency and continuation (important for scoring exercise)
- Cross-checking of certain monitoring results should be done through complementary tools (citizens' surveys, hard data, other stakeholders' interviews).
- Harmonization/alignment with other/national systems is possible, if planned from the start
- Spirit of openness among the partners is needed, if there is a situation of pressure, fear or mistrust, it will be difficult to get accurate results
- Support and commitment of the political leadership of the partners needed; only this will ensure sincere results and an adequate follow up
- A certain level of understanding and capacities among partners required; including analytical capacities to draw the right conclusions out of the OMS monitoring results

2. Fact Sheet

	Outcome Monitoring System (OMS), MSP Serbia
Developed by	▪ MSP Ltd., with backstopping support of Helvetas Swiss Intercooperation in the frame of the SDC financed Municipal Support Programme in South-Eastern Serbia
Applied in	▪ 6 MSP partner municipalities in Serbia
Purpose	1) Measure project outcomes (changes in the functioning, behavior, relationships and performance of MSP programme partners and beneficiaries) 2) Benchmarking among the partner municipalities 3) Trigger a dialogue with the partners 4) Identify gaps and needs for adjustment in the MSP design and annual work plan
Methodology	▪ Core element: annual focus group interviews with main programme partners and stakeholders along the defined outcome indicators, based on outcome mapping methodology ▪ Scoring system, each indicator scored (0-5) by focus group, external moderation ▪ Complemented by other reports/resources/surveys
Products	▪ Annual outcome monitoring reports ▪ Summary with tables for each outcome along the indicators (scores per outcome and indicator for each municipality, average score for each municipality, compiled scores for all municipalities, comparison among municipalities, comparison with former years)
Dimensions / aspects addressed	▪ Depending on the defined outcomes in the project (increased partner capacities; changes in behaviours and attitudes of local governance actors; changes at institutional, structural and procedural level; changes in the reform agenda and implementation; influence on the national reform agenda and/or specific sector) ▪ Can also be used to measure progress along the five good governance principles and/or for transversal topics such as gender, social inclusion and marginalized groups. ▪ Not designed to measure concrete improvements for citizens, power relations and/or cost-benefit elements.
Indicators	▪ Partly quantitative Indicators, but mostly relying on qualitative indicators (perception of participants) ▪ "Measuring" of qualitative indicators is done by a quite detailed scoring system.
Attribution	▪ Considered, as the OMS is directly linked to the defined project outcomes. ▪ The scoring system allows to make reference to project related activities and support
Conditions	▪ Regular repetition, best annually to identifying changes ▪ Partners' involvement in the different stages, external moderation, the core group of the persons involved should not change ▪ Basic spirit of openness and self-reflection and -criticism among the partners ▪ Minimum political stability ▪ Support and commitment of the political leadership of the partners ▪ Certain level of understanding and capacities among partners ▪ Mid- to long term commitment from project/donor side
Remarks	▪ The OMS must be designed early during the project design stage ▪ The OMS should be linked to project/partners' planning cycle and schedule ▪ Harmonization with national system difficult, as it is project focused
Further Info and contact	MSP Consulting, Kralja Milana 4, 36000 Kraljevo. radomir.milovanovic@msp.co.rs www.msp.co.rs www.outcomemapping.ca SDC, SCO Serbia, belgrad@sdc.net www.swiss-cooperation.admin.ch/serbia/

3. Introduction and Background

The project and its main outcomes

The Municipal Support Programme (MSP) was an SDC funded programme (2000-2011), with the aim to improve the reform and development processes in a group of municipalities in Serbia (budget 16 Mio CHF).

The goal of the Programme was to make the partner municipalities recognizable as an example of efficient, transparent and accountable local government which completely uses and strengthens local autonomy as well as inter-municipal and regional cooperation. The main support areas were governance, municipal management, inter-municipal cooperation and regional development. Within these areas, the focus was on the elaboration of strategic planning documents, strengthening capacities and modernization of administrations and the improvement of service delivery (including a multi-million competitive fund for co-financing municipal projects). The project also managed to develop diverse and innovative forms of inter-municipal cooperation (inter-municipal working groups). Other priorities were tax administration and financial management and the “cross-cutting” issues (gender equality and vulnerable groups). One aspect of the programme was also to link local experiences with national policy development.

The project defined and regularly monitored three different “**outcome” levels**:

1) Project goal: Outcomes formulated along the good governance principles, i.e. increased accountability, transparency, citizens’ participation, efficiency and quality of services.
2) Specific project objectives: Outcomes related to the transparent and accountable service provision; improved local management and financial capacities to manage development and attract external funds and investments; inter-municipal and regional cooperation.
3) Outcomes related to the cross cutting topics.

In addition, the project developed a system for monitoring outcomes of co-financing support to municipal projects in the frame of a project trust fund (not addressed in this paper).

The Outcome Measurement methodology

MSP developed an **Outcome Monitoring System (OMS),** based on the outcome mapping methodology, aiming at measuring changes in the functioning, behavior, relationships, and performance of MSP programme partners and beneficiaries during the project implementation, which can be attributed to the project activities.

The core element of the OMS are yearly focus group interviews with the main programme partners and stakeholders along the defined outcome indicators, transformed into a list of guiding questions. In addition, the achievement for each indicator was scored (0-5) by the group with external moderation support. This allowed measuring annual progress and benchmarking among the municipalities. Additional inputs were gathered from project and inter-municipal working group reports and official statistical sources.

Complementary to the OMS, MSP conducted a regular context, impact and progress monitoring

Context monitoring	Socio-political and legal environment, national and MSP municipalities level
Impact monitoring	Documentation of possible impacts
Outcome monitoring	Results in terms of changes in the behavior and performance of partner organizations and institutions (e.g. municipalities), which can be attributed to MSP activities
Progress monitoring	Direct project achievements, with reference to the targets which are defined in the YPO, IMWG work plans, project document and Logframe

4. Application of the Outcome Measurement methodology

Main purpose and link to baseline

The OMS was developed by the MSP Ltd. project team for the last MSP phase (tailor made) with backstopping from HELVETAS Swiss Intercooperation. To ensure continuity, it was designed based on the phase 2 monitoring system, which focused rather on individual interviews and citizens surveys. There was no specific local governance assessment conducted at the beginning, but MSP could refer to former monitoring data and results. The methodology was closely consulted with the main project partners, who were also involved in defining the indicators and the scoring system.

The purpose of the OMS was to 1) measure the MSP outcomes (changes in the functioning, behavior, relationships, and performance of MSP programme partners and beneficiaries); 2) benchmark among the partner municipalities; 3) trigger a dialogue with the partners; 4) identify gaps and needs for adjustment in the MSP design and annual work plan.

The process and actors involved

The MSP was responsible for the design and quality control of the process. External consultants moderated and facilitated the process and prepared the draft reports. The project partners and beneficiaries acted as key informants. The main steps for applying the OMS in the MSP are described below:

	Activity	Who
1	Definition of the specific outcome indicators at the 3 levels (goal, specific objectives, cross cutting topics) and definition of a scoring system[1]	MSP
2	Formulation of guiding questions for group interviews, along the main indicators	MSP, consultant
3	Interviews with the MSP team	Consultant
4	Group discussions with partner municipalities and selected civil society members. Scoring exercise (in the group, externally moderated)	Consultant
5	Interviews with other stakeholders (ministries, SCTM, RDAs)	Consultant
6	Debriefing with MSP team on preliminary results and findings	Consultant
7	Preparation of the OM report (report and ppt presentation with charts)	Consultant
8	Presentation and discussion of OM results with partners	MSP
9	Transfer of main learnings in annual work plan	MSP and partners

Indicators

Where possible, quantitative indicators were used.[2] Outcome indicators were however in majority qualitative.[3] The scoring system allowed to quantifying these indicators, thus changes could be measured. See Ann1 for an illustration of the indicators and scoring system in one outcome.

[1] For each indicator six different achievement levels have been defined considering the current situation in municipalities and expected change at the end of the Phase. Level 1 (mark 0) refers to situation where the programme partners have taken no actions nor they are interested to change attitude and working approaches. Level 6 (mark 5) is the level where the municipalities have taken initiative and independently apply new approaches and methodologies outside of programme activities

[2] e.g.”Number of joint/partnership activities, initiatives and projects (LSG and civil society)”

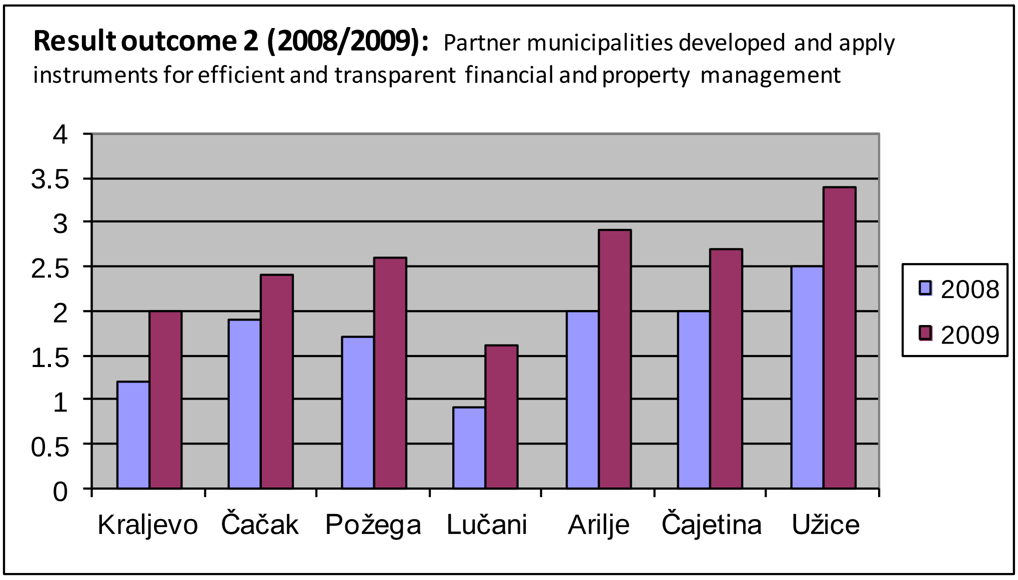
[3] e.g. “Municipalities are prepared to assume new property management responsibilities”

Resources required

The time necessary for applying the OMS was approx. 30 days/year from the external consultant plus 30 days/year from the project team. The design of the monitoring system required approx. 25 days (defining the outcome monitoring indicators and the scoring system). Partners participated and contributed in group discussions, the scoring exercise, presentation and discussion of results.

Products

The main product of the OMS was an annual outcome monitoring report (and a ppt presentation summarizing the main results), containing the findings and results for each outcome along the indicators. Different tables are annexed showing detailed scores per outcome and indicator for each municipality, the average score for each municipality, the compiled score for all municipalities (for providing an overall picture), a comparison among the different municipalities (for benchmarking) and a comparison with scores from former years (for showing changes and progress).



5. Analysis and Main Lessons Learnt

a. The OM methodology

The OMS is an efficient and effective tool to measure changes at outcome level related to a specific project. It allows complementing the rigid hierarchical cause-effect system of project management frameworks (such as the logframe), taking into account that outcomes are mainly changes at partners' level which are often linked to different reasons and cannot be measured easily. Partners and beneficiaries were actively involved during the main steps (design, implementation, analysis discussion). Time and resources invested seem adequate for a multi-million programme. The tools applied were rather classical (no specific e-based communication, videos), but such tools could easily be integrated in the methodology.

b. Purpose(s) of the methodology

The primary purpose of the OMS is to measure outcomes of a specific project or programme. It provides the partners interesting information about their progress in certain areas; it is however too specific for being a complete and coherent monitoring tool for their own development. The OMS also serves to initiate a dialogue with the partners about the main reasons for (non)-progress in the monitored areas. In particular, the scoring system allows to regularly measuring progress and changes during a certain time period, but also benchmarking among different partners. Thus, joint discussions, analysis and comparison of the monitoring results can serve to initiate further changes at the partners' level.

c. Which aspects can be measured with the methodology?

The OMS can measure different aspects, depending on the defined outcomes in the project/programme. Thus, the OMS can measure the perspective of increased (partner) capacities and the way they are used; changes in behaviours and attitudes of local governance actors; changes at institutional, structural and procedural level; changes in the reform agenda and implementation; and/or influence on the national reform agenda and/or specific sector like water/waste management.

As practiced in the MSP case, the OMS can also be used to measure progress along the five good governance principles and/or for transversal topics such as gender, social inclusion and marginalized groups.

The OMS is less appropriate to measure concrete improvements for citizens (which were measured in MSP by complementary tools such as citizens' surveys and "hard data"). Power relations are difficult to be monitored with the OMS, as the tool is mainly based on information and appraisal from the partners. The OMS is neither a tool to provide detailed insights related to cost-benefit elements.

As mentioned, indicators can be quantitative, but also the "measuring" of qualitative indicators is done by a quite detailed scoring system. The specific attribution of the project can be addressed, as the system is directly linked to the defined outcomes and indicators of the project. In addition, the scoring system enables to make specific reference to project related activities and support.

d. Harmonization and integration

Linking and a certain harmonization with - at least specific aspects of - other monitoring systems are possible. The fact that the OMS' main purpose is to measure project outcomes limits however its full harmonization with a national monitoring system. The same is valid for harmonization with other donors and/or projects. The flexibility of the methodology allows the harmonization with the SDC system; if a project is part of the SDC country programme, this is even a must.

e. Conditions required and relevance of context

The OMS is a good methodology to measure project outcomes at partners' level. The following elements and conditions are required:

- The monitoring system must be designed early during the project design stage
- The indicators and the scoring system must be properly defined and well linked to the project objective system
- Partners' involvement in the different stages is crucial, to ensure consideration of context and partners' needs and challenges, as well as their ownership
- The OMS must be repeated on a regular basis, best annually. This allows identifying changes and progress
- The core group of the persons involved should not change, to ensure consistency and continuation (important for scoring exercise).
- The (annual) OMS should be linked to the project/partners' planning cycle and schedule to ensure that learnings are translated into actions
- External moderation is a must, to prevent bias by the involved persons, as the system is to a considerable extend based on a self-appraisal of the partners. This is particularly relevant for the scoring exercise, where the moderator has an important task to ensure objectivity
- Cross-checking of certain monitoring results should be done through complementary tools (citizens' surveys, hard data, other stakeholders' interviews).

The following contextual elements are important:

- Basic spirit of openness and self-reflection and -criticism among the partners and the persons directly involved in the group interviews; if there is a situation of pressure, fear or mistrust, it will be difficult to get accurate results
- Minimum political stability; if the situation is unstable, short term interests of participants, change in leadership and staff turnover might jeopardize the system
- Support and commitment of the political leadership of the partners; only this will ensure accuracy of the results and an adequate follow up
- A certain level of understanding and capacities among partners; including analytical capacities to draw the right conclusions out of the OMS monitoring results
- Mid- to long term commitment from project/donor side; as the OMS makes only sense if it is regularly conducted over several years.

6. Concluding Remarks

The OMS is a good methodology to measure changes at outcome level related to a specific project. The OMS can easily be replicated, it must however be adjusted to the specific situation and project and its design. Different aspects of changes at partners' level can be addressed; attribution to the project can be done, if the indicators are properly formulated. The OMS combines quantitative and qualitative indicators, which are quantified by a scoring system. It allows measuring change over a certain period as well as benchmarking among different partners. The OMS is open to involve a broad group of partners and stakeholders, within a reasonable time and resources investment.

From partners side, it requires good capacities from the involved team and a basic commitment of the leadership as well as a situation of basic political stability and an atmosphere of trust and openness. Being focused on a specific project/programme and its objective system, the OMS is less suitable for harmonization with a national monitoring system and/or other donors systems.

7. References/Additional Information

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SDC, Swiss Cooperation Office Serbia, Francuska 6 / II, Belgrade, tel +381 11 328 70 21, belgrad@sdc.net

Websites:

http://www.msp.co.rs/

http://www.outcomemapping.ca/

www.swiss-cooperation.admin.ch/serbia/

8. Annex OMS: Overview of Scores per Indicators and Results (Specific Outcome 1)

		Kraljevo	Čačak	Požega	Lučani	Arilje	Čajetina	Užice
SO1	**Accountable and transparent work of local self-governments, providing quality services to their citizens, based on rule of law**							
Result 1.1: Increased accountability and improved transparency of local self-governments								
Indicator R1.1 - 1	Citizens information and participation mechanisms are introduced in partner municipalities	4	4	4	3	4	4	5
Indicator R1.1 – 2	Opinion polls, public discussions, rallies and round tables organized independently by partners	4	4	4	2	4	4	5
Indicator R1.1 – 3	Accepted requests, initiatives, comments (public discussions, insight, etc.)	3	4	4	2	4	4	4
Indicator R1.1 – 4	Implemented activities based on needs, priorities, initiatives and strategic documents	4	4	4	3	4	4	4
Indicator R1.1 – 5	Yearly planning & monitoring applied in at least three municipalities, based on the new model-system (monitoring and evaluation)	1	2	3	1	4	3	4
Avarage score for Result 1.1		**3.2**	**3.7**	**3.8**	**2.3**	**4.0**	**3.8**	**4.3**
Result 1.2: Improved efficiency and quality of existing and new services provision in line with municipal responsibilities								
Indicator R1.2 – 1	Quality of services improved as a result of the MSP supported projects	4	5	4	4	5	5	5
Indicator R1.2 - 2	Allocated new responsibilities within LSGs, in line with the MSP recommendations	2	5	4	1	4	4	5
Indicator R1.2 - 3	Institutionalization of annual staff-training programme in at least three municipalities, with an according budget line	4	4	4	3	4	4	4
Indicator R1.2 - 4	Number of legal acts approved, in line with the MSP recommendations	4	4	4	2	4	4	5
Avarage score for Result 1.2		**3.5**	**4.5**	**4.0**	**2.5**	**4.3**	**4.3**	**4.8**
Result 1.3: Increased involvement of citizens and civil society in decision making process of LSG								
Indicator R1.3 - 1	In at least 3 municipalities, proposed mechanisms for citizens participation and coop. with NGO, youth, private sector and MZ, are institutionalized	3	4	3	3	4	4	5
Indicator R1.3 - 2	Number of joint/partnership activities, initiatives and projects (LSG and CS)	4	4	3	2	4	4	5
Avarage score for Result 1.3		**3.5**	**4.0**	**3.0**	**2.5**	**4.0**	**4.0**	**5.0**

Learning Project
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Decentralization and Local Governance Network

OUTCOME MONITORING TOOL

SDC LOCAL GOVERNANCE PROGRAMME IN RAJSHAHI AND SUNAMGANJ - SHARIQUE

Country: Bangladesh

Key Informant: Tirtha Sarathi Sikder, Sharique, Helvetas Swiss Intercooperation Bangladesh

Place and Date, Dhaka/Bern, August 2012

Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Swiss Agency for Development and Cooperation SDC

HELVETAS Swiss Intercooperation

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List of Abbreviations

Capex	Capitalization of Experiences
CBO	Community Based Organisation
LGSA	Local Governance Self-assessment
NGO	Non Governmental Organisation
NILG	National Institute of Local Government
OM	Outcome Monitoring
OMT	Outcome Monitoring Tool
Sharique	Local Governance Programme in Rajshahi and Sunamganj
UP	Union Parishad
UZP	Upazila Parishad

1. Key Features and Learnings

- The OMT measures performance and governance quality at the local government level along 17 indicators divided into 120 sub-indicators (quarterly OM sheets)
- Serves to provide a comprehensive picture on the situation “in the field” with the main purpose to measure project progress at outcome level; can serve for benchmarking
- Qualitative indicators are “quantified” by a scoring system, which is done on quarterly basis
- Can be harmonized/aligned with other projects, donors and/or the national government, provided they are interested and involved in the definition of the indicators and the system details
- The OMT should be repeated on a regular basis, to serve as tool to measure changes
- Partners must be involved in the different stages (design, data collection, results discussion), to ensure context relevance, learning aspects and ownership
- A combination of methods in data collection is needed to ensure accuracy of data (focus group interviews, local government records, opinions of CBOs and citizens, statistics, reports etc.)
- Analytical capacities are required to draw right conclusions from the considerable data, external moderation/data collection is needed
- Stable legal and institutional framework and minimum political stability is required (leadership, core staff continuity), where main structures are settled and existence of local government system is not put into question

2. Fact Sheet

Outcome Monitoring Tool, Sharique Bangladesh	
Developed by	▪ Sharique – SDC' Local Governance Programme in Bangladesh, implemented by Helvetas Swiss Intercooperation
Applied in	▪ 130 UPs and 21 UZPs (1st and 2nd tier of local government)
Purpose	1) To measure project progress at outcome level in order to ensure effectiveness (reporting) 2) To serve as a learning tool for the team, partner NGOs and the partner local governments 3) To prepare capex and knowledge management products, serving for policy dialogue 4) To assess performance of partner local governments (basis for providing co-financing) 5) To serve as benchmark among the involved partner local governments
Methodology	▪ The cornerstone of the OMT are quarterly OM sheets, collecting data/information along a list of 17 outcome indicators and 120 sub-indicators for each Local Government Unit ▪ The OMT contains an indicator scoring system to quantify changes ▪ The information from the OM sheets is analyzed and translated into different project and knowledge management reports and products ▪ Data collection by diverse methods (focus groups disc., reports, LG records etc
Products	▪ Quarterly OM sheets for each Local Government ▪ Analysis of data in regular project reports, capex and policy documents
Dimensions / aspects addressed	▪ Comprehensive picture addressing the overall performance and governance situation in the local government units. 17 outcome indicator categories cover aspects as leadership, organisation, capacities, access to services, planning, budgeting, decision making, citizens' participation and inclusion. ▪ Particular emphasis on the role and voice of women and marginalized groups ▪ Does not address the national decentralisation process/policy ▪ Power relations partly addressed (focus on gender and marginalized) ▪ Not designed to measure cost -benefit elements.
Indicators	▪ Quantitative and qualitative indicators: "Measuring" of qualitative indicators is done by a scoring system based on perceptions of persons involved
Attribution	▪ Must be done by analysis of the data
Conditions	▪ The main purpose should be agreed from the beginning ▪ A first round of applying the OMT can serve as baseline assessment (complemented with other tools for specific aspects which are not covered by the tool) ▪ The OMT should be repeated on a regular basis ▪ Partners must be involved in the design, data collection, results discussion ▪ Coherence and a common understanding on the tool and its main indicators is a must (good training and coaching is needed) ▪ The persons collecting data must have a good understanding of the LG system ▪ A combination of methods in data collection is needed (focus group interviews, local government records, opinions of CBOs and citizens, statistics, reports etc.) ▪ Analytical capacities are required to draw right conclusions from the data collected ▪ External moderation/data collection is needed ▪ Stable legal and institutional framework ▪ Minimum political stability; linked to a certain continuity at partners level in terms of leadership and core staff ▪ Relationship based on mutual trust, where issues can be addressed and discussed ▪ Mid- to long term commitment with sufficient resources from project/donor side

Remarks	▪ The OMT is resource intensive, if it is applied in a broad geographic outreach ▪ High potential for harmonisation with other programmes/donors and/or alignment with a national monitoring system ▪ If the tool is aligned with a national monitoring system, national actors should take the lead in defining the indicators and the facilitation of the OMT implementation ▪ The OMT should be linked to project/partners' planning cycle and schedule
Further Info and contact	SDC, Embassy of Switzerland, Dhaka-1213, dhaka@sdc.net Helvetas Swiss Intercooperation Bangladesh, Road 73 G, Gulshan 2, Dhaka 1212. infobd@helvetas.org ; Tirtha.Sikder@helvetas,org

3. Introduction and Background

The project and its main outcomes

SDC' Local Governance Programme - Sharique (since 2006, financed by SDC and implemented by Helvetas Swiss Intercooperation) aims at building the capacities and competencies of Local Governments - Union Parishads (UP) and Upazila Parishads (UZP) - to operate in an accountable, participatory, transparent, socially inclusive and effective manner. The project goal is to empower the poor men & women and the disadvantaged to claim their rights and entitlements, and to benefit from more effective service provision by the local governments in Rajshahi and Sunamganj regions. Sharique works along three outcomes:

O1) Supply side: 130 UPs and 21 UZPs manage public affairs and resources in a more participatory and inclusive, transparent and accountable way (defined by 7 specific outcome indicators);

O2) *Demand side*: Poor men and women and disadvantaged groups know their rights and responsibilities and negotiate their interests in local planning and decision making (defined by 4 specific outcome indicators);

O3) *Knowledge Management and Advocacy*: Experiences and lessons are utilized to influence public debate, local governments and related national institutions, policy & regulations (defined by 6 specific outcome indicators);

Main interventions relate to capacity building of local governments and citizens networks; Support to participatory processes of UPs and UZPs; Creating community awareness by local cultural activities, local governance self assessments and participatory gender analysis; Policy advocacy based on knowledge management; Strategic co-financing. The project works in cooperation with 6 local NGOs and the National Institute of Local Government, in closed exchange with relevant national networks.

The Outcome Measurement methodology

Sharique developed in close consultation with the main project partners (donor, NGOs, NILG, local governments) an output and outcome monitoring tool (OMT) during the second year of phase 1. The OMT focuses on a list of 17 outcome indicators and 120 sub-indicators along the 3 project outcomes of the project logframe. The cornerstones of the OMT are quarterly *OM sheets*, which gather the relevant information from the field in the 130 Ups and 6 Upazilas the project works with. The sheets contain a scoring system, where changes and progress can be quantified. The information from the OM sheets is analyzed and translated into different project and knowledge management reports and products.

4. Application of the Outcome Measurement methodology

Main purpose and link to baseline

The OMT was developed by Sharique for the project monitoring. The purpose(s) of the OMT is

1) To enable the project to measure progress at outcome level in order to ensure effectiveness
2) To report to the donor and the project Steering Committee

3) To serve as a learning tool for the team, the partner NGOs and the partner local governments
4) To prepare capitalization and knowledge management products, serving also for policy dialogue
5) To evaluate the performance of partner local governments (basis for providing co-financing)
6) To serve as benchmark among the involved partner local governments

As it is done quarterly and linked to a scoring system, it allows tracking progress/regress of each partner UP as well as benchmarking among the involved partners (also at UZP and district level). Although there was no overall assessment done at the beginning of the project, Sharique could refer to its Local Governance Assessments (Baseline Study) done during phase 1 and the list of final Outcomes measured by its OMT at the end of phase 1 to define present baseline indicators.

The process and actors involved

Sharique is responsible for the design and quality control of the process. Field facilitators from the partner NGOs organize the data and information collection in close consultation with the partners in the field. Partners and beneficiaries act as key informants to fill in the OM sheets. Diverse sources of information are used, such as records of UPs/UZPs, opinions of UPs/UZPs, opinions of CBOs and citizens groups, LGSA reports, participatory gender analysis reports, focus group discussions, special study reports as well as selected secondary sources (Local Government Ministry websites and publications, NILG website and publications). Following are the main steps while applying the OMT:

	Activity	Who
1	Definition of outcome indicators (total 120) along the 3 outcomes and 17 outcome categories and definition of the scoring system, elaboration of the OM sheets	Sharique, partners consulted
2	Quarterly gathering of information (hard data, discussions, group interviews, LGSA etc) and filling-in of OM sheets (130 UPs, 6 UZPs)	NGO FF, partners consulted
3	Analysis of OM sheets/data and transfer into project reports/ (half yearly)	Sharique
4a	Transfer of main learnings in annual work plan	Sharique
4b	Analysis of OM sheets, complemented with other information to produce capex documents	Sharique
4c	Analysis of OM sheets to establish “UP performance list” to rank UPs qualifying for co-financing	Sharique

Indicators

Indicators and sub-indicators are partly quantitative, partly qualitative. The scoring system allows to quantifying these indicators in order to measure changes[1]. For further details on the indicators, see annex 1 (OM sheet) with a partial list of the sub-indicators.

Resources required

No separate structure and staff was required for administering this OMT. Monitoring is the responsibility of all operation staff of the project. But, the geographic outreach and the high number of partners require engaging considerable human resources for OMT data collection: quarterly 4 days per UP (total 480 days) plus 2 days per UZP (total 12 days) for preparing the OM sheet data collection processes. 2 regional coordinators also collect district level information (1 day each quarterly). In addition, the national/deputy coordinator spends at least 1 day/year for collecting national level data. These data are compiled and analyzed at different level (6 Project managers, 12 Project Officers, 2

[1] E.g. OM Indicator 1: “UP Standing Committees”: sub-indicator 1.1 (quantitative) “Total number of existing SCs formed according to guidelines”; Sub-indicator 1.5 (qualitative) “How effective are the SCs in fulfilling their responsibilities *(fully: 4; mostly: 3; some 2; hardly: 1; none:* 0).

Regional Coordinators and National Coordination Unit) requiring 3 days/year an average. A reduction of time efforts is planned changing the sequence from quarterly to half-yearly OM sheets.

Products

The main product of the OMT is the quarterly OM sheets (for 120 UPs and 6 UZPs). They serve as basis for project steering and management, to produce regular project reports, capex and policy documents. In addition a “UP performance list” is established (category A, B, C) to select the UPs qualifying for the project co-financing scheme.

5. Analysis and Main Lessons Learnt

a. The OM methodology

The OMT is a tool developed by the Sharique project to measure performance and governance quality at the local government level along 17 indicators divided into 120 sub-indicators. It serves to provide a comprehensive picture on the situation “in the field” with a lot of information and data, going beyond mere project objectives and working areas. Partners and beneficiaries were actively involved during the main steps (design, implementation, analysis discussion). The tool is resource-intensive, with many data and information collected, which need to be analysed and processed.

b. Purpose(s) of the methodology

The OMT can serve for multiple purposes. The main purpose of the tool is to measure outcomes of the project interventions, i.e. to use in the management of the project and report to the donor and the steering committee. In addition, the OMT is aiming to promote discussion and learning among the project partners and beneficiaries as well as to provide data and information to produce knowledge management products, which can be used for policy dialogue. The tool can also serve for benchmarking among the involved local governments and to measure progress over time. In Sharique, the benchmarking served to categorize UPs for a project related co-financing mechanism. As the tool provides a broad picture about the governance situation in the assessed local governments, it could also serve as national local governance monitoring system and/or as harmonized donor monitoring system.

c. Which aspects can be measured with the methodology?

The OMT provides a comprehensive picture addressing the overall performance and governance situation in the local government units. The 17 outcome categories cover diverse aspects such as leadership, organisation, capacities, access to services, planning, budgeting, decision making, with a particular emphasis on the role and voice of women and marginalized groups.

The methodology does not address the national decentralisation process/policy, although the collected and processed information can provide learnings to identify issues to be brought up in the national reform dialogue and/or for specific sector policy change (capex/policy documents need to be developed). Partners’ capacities and the way they are used as well as attitude and behavioural changes are addressed, however again in an indirect way (analysis of data is needed).

Measuring of progress along the five good governance principles is possible, although the indicators are structured differently. Transversal topics like gender and social inclusion are strongly addressed by a particular set of indicators. Concrete improvements for citizens are partly addressed (access to services, information), but to get the full picture complementary tools should be used (LGSA in the case of Sharique). Power relations are also partly addressed, by a set of indicators on gender sensitive and pro-poor planning, service delivery, budgeting and the voice of these disadvantaged groups in decision making processes. Cost-benefit elements are not addressed by the tool.

The OM sheet contains a mix of quantitative and qualitative indicators. Qualitative indicators are “quantified” by a scoring system, which is done on quarterly basis, which allows to measure changes. In how far occurred changes relate to project initiatives (attribution question) can only be responded by analysing the data. The tool provides information and data about changes, not about the reason why they occurred.

d. Harmonization and integration

Harmonization with other programmes/donors is possible and highly recommendable. Although the main purpose was to measure project outcomes, the tool provides a comprehensive overview of the local governance situation, which can serve different programmes and/or donors provided they are interested and involved in the definition of the indicators and the system details.

The tool is also appropriate for alignment with a national monitoring system (not existing in Bangladesh). In this case, the indicators would need to be defined from the beginning jointly with the national government/actor.

Harmonization with SDC has been done in Bangladesh; the OMT indicators include indicators from the SDC country strategy monitoring system. Still some gaps exist due to a mismatch in the timing of the reporting system.

e. Conditions required and relevance of context

Following elements are important prerequisites for an effective use of the OMT:

- The monitoring system should be designed at an early stage of a programme (or a harmonized initiative) to be able to measure progress over time
- The main purpose should be agreed from the beginning, this will serve to clarify the different actors’ roles and their involvement
- Baseline data are needed, a first round of applying the OMT might serve as baseline assessment (complemented with other tools for specific aspects which are not covered by the tool)
- The OMT should be repeated on a regular basis, to serve as tool to measure changes
- Partners must be involved in the different stages (design, data collection, discussion on results), to ensure consideration of context specific indicators, learning aspects and ownership. If the tools is aligned with a national monitoring system, national actors should take the lead in defining the indicators and the facilitation of the OMT implementation
- Coherence and a common understanding on the tool and its main indicators is a must. In particular the persons in charge of data collection must follow similar standards to ensure accuracy and comparability of collected data and information (good training and coaching is needed). They also need to have a good understanding of the local government system.
- A combination of methods in data collection is needed to ensure accuracy of data (focus group interviews, local government records, opinions of CBOs and citizens, statistics, reports etc.)
- Excellent analytical capacities are required to draw right conclusions from the considerable amount of data collected
- The OMT should be linked to the project/partners’ planning schedule to ensure that learnings are translated into actions
- External moderation/data collection is needed, as qualitative indicators are measured along self-assessments by the partners. This is particularly relevant for the scoring exercise. The OMT should be kept as lean as possible with a limited number of highly relevant indicators, to ensure getting a comprehensive picture within limited resources.
- A harmonised system (key indicators) with the donor agency (and other key partners as national government indicators) must be sought for smooth reporting and easy aggregation among the portfolios / country progress.
- The OMT should be kept as lean as possible with a limited number of highly relevant indicators to limit the necessary resources and complexity as well as enhance the relevance and use of the system.

Following contextual elements are important:

- Stable legal and institutional framework, where main structures are settled and existence of local government system is not put into question

- Minimum political stability; linked to a certain continuity at partners level in terms of leadership and core staff
- A minimum level of understanding and capacities among partners
- Relationship based on mutual trust, where issues can be addressed and discussed in an atmosphere of sharing and learning. If involved persons feel pressure it will be difficult to get accurate information
- Mid- to long term commitment with sufficient resources from project/donor side
- Key objectives of local governance are defined by government and donor that can be translated into measurable indicators

6. Concluding Remarks

The OMT is a tool providing comprehensive information of the local governance situation and the local governments performance/outcomes “in the field”. Defined indicators are relatively simple, easily replicable and adaptable to specific contexts. It can serve as instrument to measure change over a certain period and to benchmark among different local government units. The tool has high potential for harmonized initiatives and/or for alignment with a national monitoring system.

The main challenge of the tool relates to the considerable human resources required for data collection and analysis (using less indicators might lead to a certain reduction). All persons involved must be well trained and instructed, to ensure coherence and similar standards in applying the tool. High analytical capacities are required to draw right conclusions from the considerable amount of data collected. Many elements can be addressed, with certain deficiencies related to cost-benefit and power relations. External moderation is a must, be it from a programme or from an independent national actor, who has a good understanding of the local governance situation in the country.

7. References/Additional Information

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www.intercooperation-bd.org

8. Annex: Sharique Outcome Monitoring Sheet (Partial view)

Note: *Altogether, there are 17 categories of questions in the format, as shown below, with specific questions under each heading (e.g. as shown for S/N 1)*

Monitoring Period (quarter):	**Date of completion of this report:**	**Name op UP :**
Name of Upazila:	**Name of responsible FF:**	**Name of PNGO:**

S/ N	**Issue**	**Baseli-ne**	**Q 1**	**Q2**	**Q3**	**Q4**	**Com-ments**
1	**Standing Committees (SCs)**						
1.1	Total number of existing SCs formed according to guidelines						
1.2	Total number of SCs that have held meetings and/or have conducted activities						
1.3	Total number of co-opted Standing Committee members						
1.4	Total number of women co-opted Standing Committee members						
1.5	Total number of poor co-opted Standing Com-mittee members *(poor means belonging to the lowest socio-economic strata of that locality)*						
1.6	How effective are the Standing Committees in fulfilling their responsibilities *(fully: 4; mostly: 3; some 2; hardly: 1; none:* 0)						
2	**Public Meetings organized by Ups**						
3	**Union Parishad Taxes**						
4	**Record keeping and financial management**						
5	**Training on leadership and management skills**						
6	**Project Implementation Committees**						
7	**Project Supervision Committees**						
8	**CBO/CP - UP negotiation meetings**						
9	**Coordination meetings**						
10	**Public information**						
11	**Access to the Union Parishad**						
12	**Decision-making process**						
13	**Safety net measures (VGD, VGF etc.)**						
14	**Procurement**						
15	**Village Court**						
16	**Access to Services**						
17	**UP Plans**						

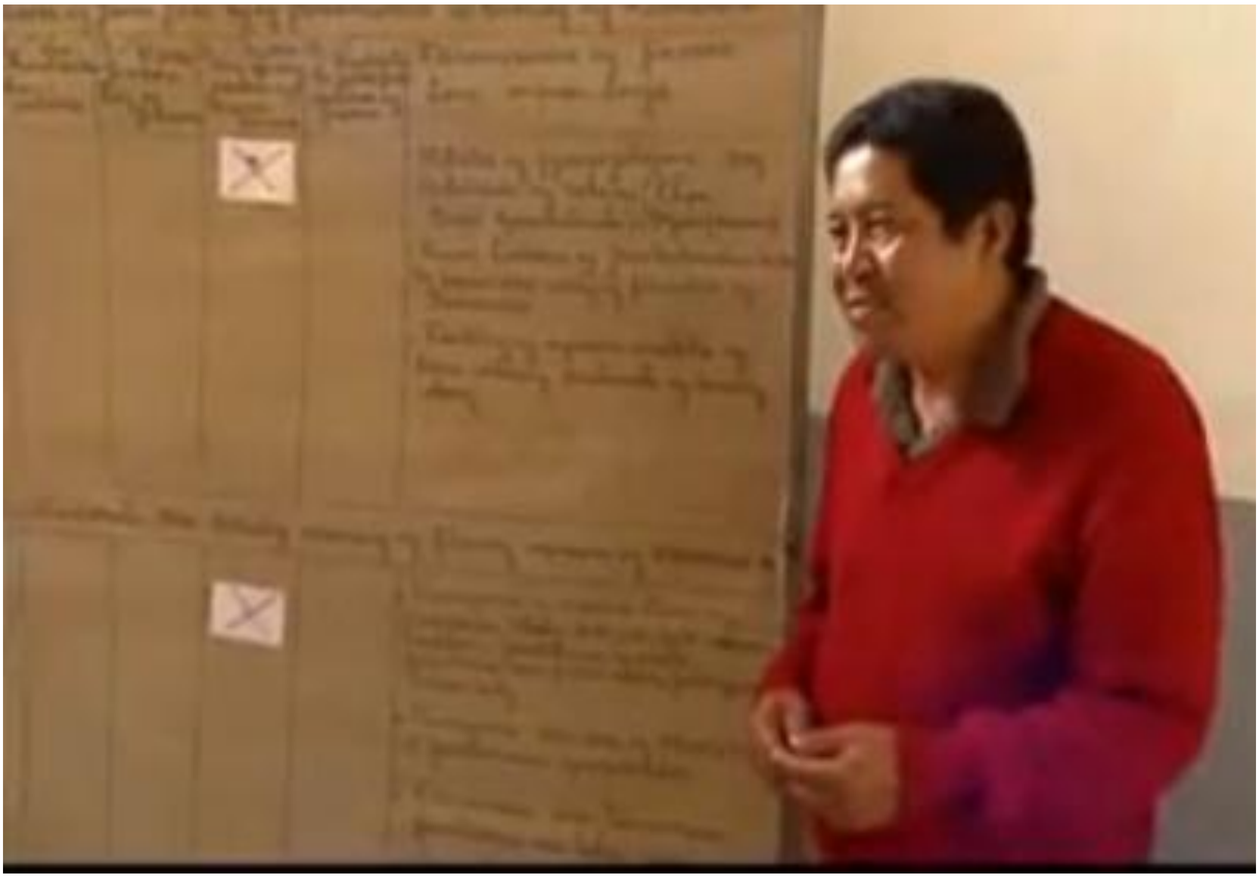
Learning Project
Outcome Measurement
in Local Governance Programmes

dlgn
Decentralization and Local Governance Network

OUTCOME MONITORING SYSTEM

SAHA (Sahan'Asa Hampandrosoana ny Ambanivohitra), Rural Development Programme

Country: Madagascar



Key Informants: Parfait Randrianitovina, SAHA, National Coordination Unit

Place and Date, Bern/Antanarivo, September 2012

Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Swiss Agency for Development and Cooperation SDC

HELVETAS Swiss Intercooperation

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List of Abbreviations

OMM	Outcome Mapping Methodology
OM	Outcome Measurement
SAHA	Rural Development Program / Madagascar
SDC	Swiss Development Cooperation
YPO	Yearly Plan of Operations

Key features and learnings

- SAHA has developed and put into practice an almost unique OM methodology, based on a program planning with the outcome mapping tool and subsequently developing an outcome measurement tool that is built on this planning tool.
- To be able to operate the system SAHA has to be active in a network of different partners at various levels and covering its geographical outreach.
- The OM, focusing on a series of changes at partner level, achieves to monitor properly changes made at partners' levels through their own efforts as well as to monitor the support given by SAHA itself.
- It contains a mix of qualitative and quantitative indicators and relies strongly on the perception made by the partners themselves, but validated through mirroring; it is a good example of adjusting and breaking down governance indicators to the need of the program and its partners.
- The method needed considerable resources to be developed and applied inside SAHA; it has now the advantage of a mid-term experience (over two phases) in order to see its results.
- It has benefitted from a professional set-up of the system, training of specialists and broad communication to and training of its users
- It gets generally a very positive feed-back from its users (series of partners organizations of SAHA).
- Being focused on outcomes and partners the tool is less instrumental and less developed regarding the follow up of policies at national level.

- The OM has to count to a large extent on the commitment and understanding of its partners to run the system; being quite handy to use it has reasonable chances to be used without program support in the future.
- It can give some inputs to SDC's tool for country monitoring, but it could not be linked with a national system to monitor governance neither make a breakthrough with other donors in the country.
- It has the great merit to have been introduced in a very extensive and systematic way (also in the national language) and makes use of up-to-date communication tools (hard-back guidelines, short-videos, flyers).

Fact Sheet

Outcome Monitoring System (OMS), SAHA (Madagascar)	
Developed by	▪ National Coordination Unit of SAHA, with backstopping support of Helvetas Swiss Intercooperation and an international consultant (AGRIDEA, Switzerland) in the frame of the SDC financed rural development program 'SAHA' in Madagascar.
Applied in	▪ Phase III and IV of SAHA (2006 – 2012) on a large scale in six regions of Madagascar, and around 50 direct partners of the civil society and selected municipalities qualified as intermediary organisations.
Purpose	1) Monitoring of changes of (management) capacities, interactions and implementation of activities at the level of the direct partners. 2) Supporting and fostering the empowerment of the direct partners in view of fostering self-responsibility of the population for their social and economical development. 3) Linking actions and visions through participation, learning and exchange; adjusting practice, tools and visions.
Methodology	▪ Development of tools and guidelines and subsequently internal training of responsible and specialised national service providers to implement, document and adjust the cycle of outcome measurement activities: 1) Measure periodically (six-monthly) expected outcomes at partners' level (visioning, definition of expected outcomes, measuring according to progress markers, jointly decided adjustments and planning) according to the planned monitoring/evaluation cycle. 2) Periodical self-evaluation of its performance by the partner. 3) (annually) Joint evaluation of the performance of the partners with SAHA. 4) Mirroring by SAHA of the achieved outcomes by the partners and adjustments of support strategies as well as consolidation of the information for SAHA management. 5) Synthesis of information collected as per direct partner by SAHA comprising results given by progress markers, impact on the population and the environment, observed success factors and stumble blocks produced by the context factors.
Products	▪ For each of the 46 direct partners: a half yearly monitoring report ▪ A half-yearly synthesis report as per type (5) of direct partners for the SAHA Management and Steering Committee and the Donor according to : 1) commonly agreed progress markers; 2) selected information regarding the results at population level; 3) the key factors in the change process; 4) the support given by SAHA to influence the changes; 5) necessary adjustment (strategies) to introduce as per domain of intervention.
Dimensions / aspects addressed	▪ According to the project and partners' planning and building on a vision statement, 1) changes in the (organisational) behaviour of the direct partners regarding the expected outcomes; 2) monitoring of the implementation strategies of SAHA; 3) monitoring of relevant changes(at national and regional level) for SAHA. ▪ Effects on the population (social, economical, environmental) especially regarding poverty alleviation as well as on relevant regional and national development are monitored by a yearly survey.

Indicators	▪ Building on the expected outcomes as identified by a direct partner, SAHA attributes a series of time defined (short, mid and long-term) and complexity related (easy, not so complicated and difficult) progress markers to the partner.
Attribution	▪ The attributions gap is taken into consideration and is especially relevant at regional and national level; at the level of the direct partners success factors and stumbling blocks are directly addressed, at the level of the households measuring direct impacts is not practiced.
Conditions	▪ A performing team of specialists to develop and maintain the OMM running. ▪ Specific organisational and methodological capacities of the partners. ▪ At least a mid-term perspective (two phases) and a sequencing of the monitoring and evaluation to measure changes over time. ▪ Active involvement of the partners, openness in the communication, and ▪ Commitment of change agents towards the expected outcomes. ▪ Commitment of SAHA management and steering committee with regard to OMM ▪ Context allows for genuine activities of the civil society.
Remarks	▪ The OMM as developed by SAHA is a resource and time intensive monitoring and evaluation process and needed a quite time-consuming introduction. ▪ The detailed methodology and a certain complexity in the practice. ▪ If implemented in a professional way it allows for a high degree of participation, self-evaluation and decision-making of the partners while strengthening significantly their (organisational) capacities and advocacy power. ▪ As an innovative tool at program level, harmonisation and integration in a national system remains a big challenge.
Further Info and contact	SAHA, Coordination Nationale, Antananarivo / Madagascar; ong.saha@blueline.mg; www.intercooperation-mg.org

Introduction and Background

The project and its main outcomes

SAHA is an SDC funded rural development program in some specific regions of Madagascar, starting in 2000 and aimed to come to an end in 2012. It is implemented by Intercoooperation, now HELVETAS Swiss Intercooperation. The total contribution of SDC to phase IV of the program amounted to 9.8 Mio CHF (2010 – 2012).

As a rural development program in a social context of poverty, SAHA aims at the reduction of poverty by improving the conditions of livelihood in the six rural regions through attributing the lead over their economic and social development to the respective rural population. It supports 46 direct partners of different type and builds strategic alliances with around 100 partners at regional and national level; furthermore it contributes to a policy-dialogue through active membership in various platforms.

SAHA encloses three domains of intervention: local governance, local economic development and the transversal themes vulnerability, gender and HIV/SIDA. SAHA strengthens the capacities of its direct partners through mobilizing their resources and their good local governance, planning and implementation of local development processes, delivering quality services to the rural population with specific attention to vulnerable groups and women, finally by fostering the participation of citizens in local public affairs and strengthening of (civic) leadership.

SAHA focused its interventions in the last two phases on **the intermediary partner level**, by partnering with five specific types of intermediary organizations – from the civil society as well as from the decentralized state structure – (farmers' associations with economic goals, intermediary organizations of the rural civil society, inter-municipal associations, individual municipalities and municipal associations). Indirect cooperation with the private sector, the regional administration and deconcentrated technical ministries was envisaged.

SAHA participates also in (national) policy dialogues and strengthens the communication at the different state and actors' levels and, finally, capitalizes and disseminates its experience and knowledge.

The expected outcomes at the level of the intermediary organizations are: efficient internal organization, good corporate governance, quality service delivery to the members and advocacy to strengthen the frame conditions for development and sustainable management of natural resources.

And for the municipalities and its associations the expected outcomes are: coordinated steering of the local economic development and application of good governance principles in the management of (local) public affairs.

The Outcome Measurement Methodology

SAHA elaborated and uses since its phase III the 'outcome mapping' system as its system for monitoring and evaluation of its interventions, focusing on the measurement of changes at partners' levels, especially their way of observing, acting and exchanging with their social, institutional and natural environment.

An adaptation of the system, especially its procedures, mainly due to the different types of partners that SAHA is working with was needed. The starting point of the method is a definition of the vision, mission, the identification of progress markers, the development of strategies of interventions as well as tools and skills of organizational practice. The method is applied in sequences and in a joint way with the partners. The focus of the monitoring is laid on the level of progress toward the expected outcomes, practiced in different sequences over time and complemented by context and impact monitoring in a more classical way (reporting, surveys).

Context monitoring	Not specifically included in the OMM but done on an annual basis. Frames the formulation of changes at institutional, social and environmental level fostered and supported by SAHA in the form of a 'vision' statement
Impact monitoring	Based on a specific mission statement SAHA defines and monitors its contributions to achieve parts of the vision by its partners. It is jointly and specifically defined and monitored how SAHA supports its direct partners.
Outcome monitoring	Results in terms of changes in the behavior, the relations and actions of (groups of) partners with which SAHA is directly collaborating. SAHA supports changes but the partner (e.g. a municipality) is responsible for achieving the change.
Progress monitoring	Repeatedly, progress markers define the progress made in the expected various changes of the direct partners allowing to achieve the expected results; progress markers are defined differently according to the time (short, middle, long term) and complexity (easy, moderate, difficult) and according to the respective domain of intervention.

SAHA integrates these tools specifically in the strategy of the programme to support the different partners methodologically, capacity-wise and by co-financing in achieving the expected results (measured through the progress markers) at outcome level. This implies progress markers for necessary organizational development in terms of management of activities and the respective organization.

A repeated monitoring of the observed changes is organized by a common evaluation of SAHA and its direct partners on the partners' development. At the end of the phase SAHA conducts a quantitative evaluation of the changes at household level through a random survey at selected households and a specific impact survey in each of the 17 intervention zones.

Application of the Outcome Measurement methodology

Main purpose and link to baseline

The OM methodology was developed at the beginning of phase 3 (2006) by a specialised group of the SAHA team with the support of an external consultant. A continuous internal information flow and adequate decision making by the SAHA management and its steering committee allowed to introduce this methodology and its adaption to the specific SAHA partnerships. This introductory process was quite resource intensive and time consuming, backed by full commitment of the project management. From the beginning the OM methodology focused on developing the capacities of partners on the design and use of the methodology and to develop the methodology jointly. One of the reasons of the introduction was the strategic change to work in the future directly with intermediary partners and to stick to a clear function of facilitator whereas progress towards the goal should be made visible at the partners' level. This reorientation was initiated by an external evaluation.

At the start of phase III the key elements of the methodology, vision and mission statements, expected changes, progress markers, (operational) strategy and necessary organisational steps - were developed with each partner. The partners conducted a quick assessment of the initial situation regarding “good” governance of their organisation on which the planning was then built. During the planning process the dimensions of vulnerability and gender and diversity were also highlighted.

The main purpose to introduce and adjust the OM methodology to the SAHA program strategy is rooted in the results of the evaluation of the phase II (2006) and subsequently the changes made in the strategic orientation of SAHA for phase III. SAHA was quite successful in achieving impact at local level at phase II – and this with a considerable outreach; but at the same time SAHA had difficulties to anchor these local results at regional level and its organisations. A strategic choice was made to position SAHA as a programme to support different types of organizations (as mentioned before) and design interventions for change at the intermediary level - and the OMM methodology was identified as the best suited method to plan and monitor the expected outcomes – identified as changes at partner level.

At the beginning of phase III (during the first six months) trainings and specific planning workshops allowed to design the OM system in collaboration with each direct partner. During these initial workshops a kind of ‘baseline’ workshop was organized to identify the current level of capacity of the partner(s) to contribute to local development. Periodically (every six months) a monitoring-evaluation sequence is organised specifically at partner level – based on expected and contractually fixed results (changes at partner’s level) and the monitoring journal. This journal gives the respective information on the changes, the results at grassroots level and the “intervention areas”, as well as the specific successes or threats observed, the support given by SAHA and the necessary adjustments/re-orientations; its results are mirrored by a special SAHA team (regional or topical) and discussed with the partner; at the end of a phase a quantitative evaluation at regional and household level was organized.

The process and actors involved

	Steps and activities	**Who**
1	**Getting to know and using the method**	
1.1	Exchange learning through a study visit	SAHA
1.2	Internal information and training sessions	SAHA team, service providers, int. consultant
1.3	Adjustments to the local context and design of the tools (according to a real or value chain approach)	SAHA team
1.4	Elaboration of tool kits (context tool, strategic tool, implementation tool, organizational practice tool) and tailor-made trainings	SAHA team (programme, monitoring), local service providers
2	**Implementation of the OMM**	
2.1	Collection of existing strategic planning elements (partners’ visions); implementation through “pilot” partners	Direct partners, service providers
2.2	Elaboration of expected effects and progress markers, role repartition and action plan	(Selected) members of partner organisation
2.3.	Negotiation and signature of a common “action” plan	SAHA, direct partner
3	**Monitoring and evaluation of the implementation**	
3.1	Internal evaluation (Action plan vs. Realized outputs and outcomes)	Direct partner
3.2	Mixed evaluation (developing a common view on progress made by partner and necessary adjustments for next period)	SAHA, direct partner
3.3.	Mirroring the results of the monitoring (by different SAHA teams) for regions and types of partners	SAHA SAHA (programme and thematic staff)
3.4.	Annual reporting (consolidated information)	
3.5.	Annual programme planning	SAHA (Directorate and staff)
3.6	Annual programme steering	SAHA (steering committee)

Indicators

SAHA has elaborated a consistent and detailed chart of indicators which are specific for each domain of intervention and linked to a series of specific progress markers; they are scored according to five ascending success criteria (from not yet started to recognised and institutionalised). This chart is concretized by max. two key change indicators. The progress markers are linked to the programmes goals but adjusted to the specific types of partners. They include also transversal criteria and mention explicitly success factors and (internal and external) threats. These series of indicators are followed by mentioning the training and monitoring activities carried out by the SAHA team. Finally the required adjustments in the planning of activities are mentioned. All is documented in specific manuals and journals.

Resources required

The full-fledged implementation of the OM methodology – building on its specific design for SAHA – needs a specialised full-time staff of four persons at SAHA level. This group is complemented by the thematic team of SAHA that spends 3 – 4 weeks per year on the OMM and the operational team that spends 5 – 6 weeks per year on the OMM. The whole activity is supervised periodically by an international consultant and the national director of SAHA. Finally the persons responsible for the programme at Helvetas and SDC level give also their feed-back once a year. The direct budget line for OM amounts to 105'000 CHF/year.

Products

The concrete products that SAHA produced linked to the OMM are a handbook on the 'capitalisation of experiences of SAHA with the OMM' (in French), consisting of four booklets (1: rationale and context; 2: the changes; 3: implementation process; 4: beyond the method) and technical journals (context, global orientations, cooperation and organisational practice) as well as periodical summaries of the information collected in the OMM. On top of this SAHA has produced a specific video presenting the OMM.

Analysis and Main Lessons Learnt

The OM Methodology

a. Purpose(s) of the methodology

The OMM focuses first of all on social, economic, environmental changes and organizational practice at partners' level, which are in the case of SAHA quite diverse and numerous, but basically regionally based organizations – (associations) of municipalities in a decentralized state structure and farmers' associations. Outcome is measured against progress made in the bettering of livelihood and broader local development (and advocacy) in the geographical areas impacted by SAHA.

b. Which aspects can be measured with the methodology?

The OMM can measure a range of changes as defined in the expected effects, the progress markers and the scoring of achieved results according to the different domains of intervention. All these changes are focused and attributed to the direct partners of SAHA at regional level. These include various dimensions of 'good' governance (according to the five standard principles of good governance) as well as the internal organizational capacities to develop projects and to increase lobbying and advocacy activities of the partners and to overcome the observed external stumbling blocks.

Outcomes at (individual) household or livelihood level are in a random sample periodically measured at partners' level during the joint evaluation step, whereas SAHA is periodically carrying out surveys at household level to measure changes at this level. An overall "beneficiary assessment" led by the donor at the end of the phase complements these monitoring tools led by SAHA.

Context monitoring, including governance at national level and policy reforms, is not systematically included in the OMM, but dealt with in the annual reporting and SAHA influences and is informed about the national agenda through an active policy-dialogue with the national government and relevant donors.

As a specific activity, SAHA disseminates its monitoring approach periodically in a structured way (producing booklets, videos and participating in meetings and conferences) including the global OM network.

c. How does the OMM work in practice?

Building on the information collected in the different monitoring steps, starting from the partners' own assessments and own additional reports of SAHA, the OMM is crucial to measure changes in the partners' governance and performance (e.g. service delivery, financial autonomy, project management and communication) but is not yet sufficiently disseminated to allow for a broader outreach. The OMM fosters also through specific events the dialogue between its partners and the final beneficiaries, structures the actions of the partners; the OMM as designed by SAHA focuses less on power relations, changes in gender relations and unintended outcomes and hardly on cost-benefit issues – as it builds highly on expected results as mentioned by the partners.

The 'implementation chain' follows the above mentioned process of steps and activities; the sequence of six months for progress measurement is the key time line; to remain effective SAHA keeps a well structured documentation on the outcome measurement process. To keep the OM operational, the cooperation and work capacity of the team and above all of the specific service providers and the leaders of the direct partners is crucial.

Direct partners are key actors of the OMM as they are responsible for the specific evaluations (self-evaluation and mixed evaluation) and an institutional partner for the half yearly monitoring of changes. Nevertheless, aggregated results are not specifically communicated to the end-beneficiaries. The partners however are free to communicate with the end-beneficiaries.

The activities of the OMM allow for a comparison of the performance amongst the different partners, but the indicators of efficiency and effectiveness can be different, at the level of one partner it allows to compare the ex-ante situation with the progress made and fosters for learning exchanges and negotiations amongst partners..

SAHA does not intensively monitor context changes, but it keeps a 'context journal' for monitoring relevant changes in frame conditions at regional and national level (mainly on socio-political, economical and environmental data) and reports on it explicitly in the annual report.

d. Harmonization and integration

With regard to the life cycle of a monitoring system SAHA has successfully developed and systematically implemented an innovative outcome measurement system. While focusing on the strategy of implementing the OM inside its program, there were hardly resources available to harmonize with OM systems of other donors or national institutions (if ever in practice in Madagascar); interest for the OM methodology is growing as there is a growing visibility of demonstrated results at partners' level and SAHA is pro-actively developing strategies to keep the system vivid after the end of the project; building especially on the capacities of the service providers and the demand of the partners. Under favorable frame conditions a broader outreach might even be an option.

e. Conditions required and relevance of context

The OMM is first of all a performing methodology to measure project outcomes at partners' level. It has its utmost advantage in promoting exchange and learning amongst partners and installing a culture of planning activities built on a vision at the partners' level. The following elements and conditions are required:

- Attitude of learning amongst the partners and growing competence of managing the own organisation and its activities/projects;
- Building-up and strengthening the accountability of the partner for its own organisation and projects;
- Capacity-building leading to mutual responsibilities amongst a group of (local) partners and promoting a sense of planning and negotiation (including responsibility for tendering and budgeting).

Following contextual elements are important:

- Availability of a group of 'change agents' supporting methodologically the partners in their endeavour of change and addressing power changes (from top down to participatory decision-making) and power sharing;
- Institutional space must be developed allowing the partners to apply capacities of the OM method;
- Partners and members of the partners organisation shall learn to develop (realistic) visions and not only accomplish short-term actions;
- Civil society organisations and decentralised state institutions (municipalities) must play a pro-active role in local and regional development strategies and actions; it is of key advantage when "minimal" standards of good governance are practiced.

Concluding Remarks

The OM methodology as applied by SAHA is a highly successful good practice for outcome measurement. The way SAHA adjusted the methodology is well suited for a partner-focused, quite large scale and area-based rural development program. SAHA engaged and remains committed for a quite resource-intense monitoring system with a longer term perspective, which is key for the success. Also the partners learned to develop highly probable visions and according actions. SAHA's OM is designed for the type of partners they work with. It would be difficult to apply it to (de)concentrated state institutions as well as to projects clearly planned in a Logframe perspective with no flexibility to merge the systems.

The application of the OM depends also on the capacities and availability of a group of specific service providers and of committed local change agents to act in the direction of the visions defined and to foster communication. It needs also an application and fine-tuning with a mid-term perspective of local development; realistic progress markers can eventually be improved. Furthermore it needs the strong long term commitment and back-up of the higher management of the programme to apply this methodology.

Being successful at programme level, this OM could unfortunately not make a breakthrough during the period applied in SAHA at donors' level and as 'good practice' at international level. To contribute to this is an additional challenge for SAHA in the near future and would allow to overcome a 'stand alone' situation where a richness of experience would not be fully used. But it will also need a clear statement of the donor and the international development community to develop a high commitment for this methodology.

References/Additional Information

SAHA has produced a series of four booklets (in French): Carthographie des incidences aus sein du Programme SAHA à Madagascar, SAHA, Antananarivo 2011 and a video on the OMM as developed by and introduced in SAHA.

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Learning Project
Outcome Measurement in Local Governance Programmes

Decentralization and Local Governance Network

OUTCOME MONITORING SYSTEM

PUBLIC SERVICE PROVISION IMPROVEMENT PROGRAMME IN AGRICULTURE AND RURAL DEVELOPMENT (PS-ARD)

Country: Vietnam

Key Informants: Dominic Smith, PS-ARD, HELVETAS Swiss Intercooperation, Vietnam
Place and Date, Bern/Hanoi, September 2012

Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Swiss Agency for Development and Cooperation SDC

HELVETAS Swiss Intercooperation

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List of Abbreviations

ARD	Agriculture and Rural Development
OM	Outcome Measurement
PS-ARD	Public Service Provision Improvement Programme in Agriculture and Rural Development
SDC	Swiss Agency for Development and Cooperation

1. Key Features and Learnings

- Example of an application of an end-beneficiaries' satisfaction survey on the quality of public services and on inclusion in local planning.
- The case of PS-ARD shows the usefulness of satisfaction surveys for including end-beneficiaries in the assessment of the results a project/programme and for outcome monitoring.
- "Attribution" remains an issue in the use of opinion surveys. The qualitative information extracted through the surveys needs to be complemented with factual information to help analyzing the project/programme contribution to "changing" levels of satisfaction.
- The organization of satisfaction surveys needs know-how for the design of the methodology and considerable time for collecting and analyzing the information.
- The PS-ARD case showed that the potential for alignment and for replication of a project/programme tool by national authorities needs to be analyzed at the start. It needs to be supported by a clear commitment of the partners and reflected in the design of the tool (the partner needs to have the capacities and interest to replicate it). In this respect, a trade-off between alignment and the reliability of the collected data needs to be considered.

2. Fact Sheet

	PS-ARD – End-Beneficiaires' satisfaction surveys
Developed by	▪ Public Service Provision Improvement Programme in Agriculture and Rural Development (PS-ARD) funded by the SDC, 2008 and 2011
Applied in	▪ Two provinces of Vietnam – 400 households (200 per province)
Purpose	1) Include citizens' feedbacks/perspectives as a way to measure project outcomes 2) Identify needs for planning purposes 3) Trigger a dialogue with partners 4) Develop and test a methodology to be replicated by national/local authorities as a way to promote results-based management
Methodology	▪ End-beneficiaries satisfaction survey on quality of public service delivery in the ARD sector and inclusion in local planning ▪ Data collected by provincial statistical offices in 400 randomly selected households identified as using one or more of the targeted public services (200 per province, in 6 communes pre-selected based on socio-economic factors) ▪ Scoring indicators on satisfaction (four grades from "very satisfied" to "very dissatisfied") ▪ OM system complemented by other sources (factual information, other reports)
Products	▪ End of the phase report ▪ Results published as a project report ▪ Key facts and learning published as a discussion paper
Dimensions / aspects addressed	▪ Focus on concrete improvements for citizens resulting from programme intervention and changes in attitudes of partners as perceived by end-beneficiaries ▪ Focus on improved effectiveness and efficiency in public services delivery and on inclusion in local planning. Other dimensions of good governance could easily be included ▪ Allows for data to be disaggregated and to obtain information on specific categories of the population (gender, vulnerable groups, etc.) ▪ Not designed to measure power relations and/or cost-benefit elements
Indicators	▪ Qualitative information expressed in quantitative terms (→ percentage of interviewed population "satisfied" with public services and local planning) ▪ Collected data need to be combined with quantitative indicators and other sources of information for analysis
Attribution	▪ Problematic – other sources of information necessary to analyse qualitative data extracted through the surveys ▪ Focus on a specific category of the population ensures citizens have an "informed opinion" ▪ Useful to use a control group (i.e. conduct the survey in an area not affected by project)
Conditions	▪ Need for in-house or external expertise when developing the methodology (formulation of questions, size of the samples, etc.) ▪ Importance of ex-ante analysis of end-beneficiaries' expectations in order to define the scoring system , "capture" change over time and obtain reliable data ▪ Need to rely on an "impartial" third party to collect the data ▪ Interviewees need to feel confident to speak freely ▪ Opinion/satisfaction surveys need to be combined with other sources of information in order to analyse results and programme/project contribution
Remarks	▪ The organization of citizens/beneficiaries' opinion surveys requires important human and financial resources ▪ Conditions for harmonization and alignment should be analysed at the very start. Strong interest and commitment of national/local authorities and political leadership as preconditions
Further Info and contact	HELVETAS Swiss Intercooperation Vietnam, Van Phuc Diplomatic Quarters,298F Kim Ma Street, Hanoi, Vietnam, dominic.smith@helvetas.org / helvetas.vietnam@helvetas.org

3. Introduction and Background

The project and its main outcomes

The Public Service Provision Improvement Programme in Agriculture and Rural Development (PS-ARD) (Phase 1) was implemented between January 2008 and April 2011. PS-ARD was funded by the Swiss Agency for Development and Cooperation (SDC) and implemented by the Government of Vietnam and relevant departments of the provinces of Hoa Binh and Cao Bang with technical assistance provided by HELVETAS Swiss Intercooperation. The total budget of the programme was 5.3 mio CHF.

Through the building up of efficient and effective decentralised public services delivery systems in agriculture and rural development (ARD), the overall goal of the programme was to contribute to improved livelihoods in the upland and ethnic minority populated provinces of Hoa Binh and Cao Bang in terms of food security, income and environmental sustainability. In particular, PS-ARD supported government organizations in the fields of agricultural extension, veterinary, plant protection and irrigation services in providing better services according to the demand of farmers. In order to ensure the demand oriented approach of service providers, PS-ARD further supported the inclusion of participatory procedures for local/communal development planning. Support was provided at different levels and comprised several stages such as organizational reforms, capacity building measures and the introduction of new methodologies and tools. HELVETAS Swiss Intercooperation provided technical assistance and played a facilitation role in the programme.

The programme formulated outcomes both for the national and provincial level. At the national level, outcomes to be achieved focused on analysing the reform needs of the ARD sector (OC 1.1), the introduction of new structures in the sector (OC 1.2) and the provision of capacity development systems (OC 1.3). At the provincial level, intended outcomes focused on improved quality of services delivery in the ARD sector (OC 2.1), improved inclusion of the population in socio-economic local planning (OC 2.2), improved capacities for financial management at the commune level (OC.2.3) and improved capacity-building systems (OC.2.4).

The Outcome Measurement methodology

The PS-ARD programme used a mix of quantitative and qualitative indicators to monitor its results at the outcome level. In particular, the programme organized satisfaction surveys with the target beneficiaries in order to measure improved quality in public services' provision and inclusion in local planning processes.

In order to understand whether the programme interventions changed services' provision from a farmer's perspective and whether they have become more accessible, effective and demand oriented, the PS-ARD programme conducted interviews with a representative sample of 400 households (200 households per province) in the partner districts. The survey was repeated two years after in order to assess changes in clients' satisfaction with four key services – extension, veterinary, plant protection and irrigation management. These beneficiaries' opinion surveys allowed obtaining a feedback on the quality of services provided as well as concerning inclusion in and transparency of communal planning.

The qualitative information extracted through these surveys was then analysed in the light of the mainly factual information gathered through other sources (other performance assessment studies organized by PS-ARD, government and provincial reports, etc.).

OM Methodology	Sources of information
Qualitative indicators:	End-beneficiaries surveys on quality of public services and inclusion in local planning
Quantitative indicators:	Reports from the central and provincial level and performance assessments conducted by PS-ARD.

4. Application of the Outcome Measurement methodology

Main purpose and link to baseline

This end-beneficiaries' satisfaction survey was designed by the project staff of PS-ARD and in particular by the technical adviser of the team, who was already familiar with the methodological requirements for organizing citizens based satisfaction surveys. The learning toolkit on "Improving local governance and service delivery – citizens' report card[1]" developed by the Asian Development Bank was used as a basis for developing the survey methodology (defining the samples, formulating the questions, etc.). The programme also held consultations with the service providers on the types and scopes of services provided. This helped formulate precise questions.

The main purpose of conducting these satisfaction surveys was first to create a feedback mechanism on the quality of services and to use (changes in) the level of satisfaction of service users as a criterion to evaluate the results of PS-ARD and report to the donor. The idea was also to use this tool to identify gaps in terms of ARD services provision and thus to use it for planning purposes. Gathering end-beneficiaries' opinions on the programme contribution was also meant as a way to promote dialogue with the partners for programme steering and planning reforms of public services.

An additional key objective of PS-ARD was to develop and test a monitoring mechanism that could then be used by the government of Vietnam. The idea was to provide the central level and service providing agencies with an example and ready-made methodology to conduct clients' satisfaction surveys and thereby to support the inclusion of citizens' feedbacks in planning reforms in public administration and public services delivery.

The survey was first conducted in 2008 in order to construct a baseline. The same methodology and questions were asked at the end of 2010 in order to evaluate the results.

The process and actors involved

In practice, the collection of data and the organisation of the interviews were outsourced to the provincial statistical offices. This offered important advantages as the provincial statistical offices were familiar with the local conditions, population features and could count on qualified enumerators that knew the local languages.

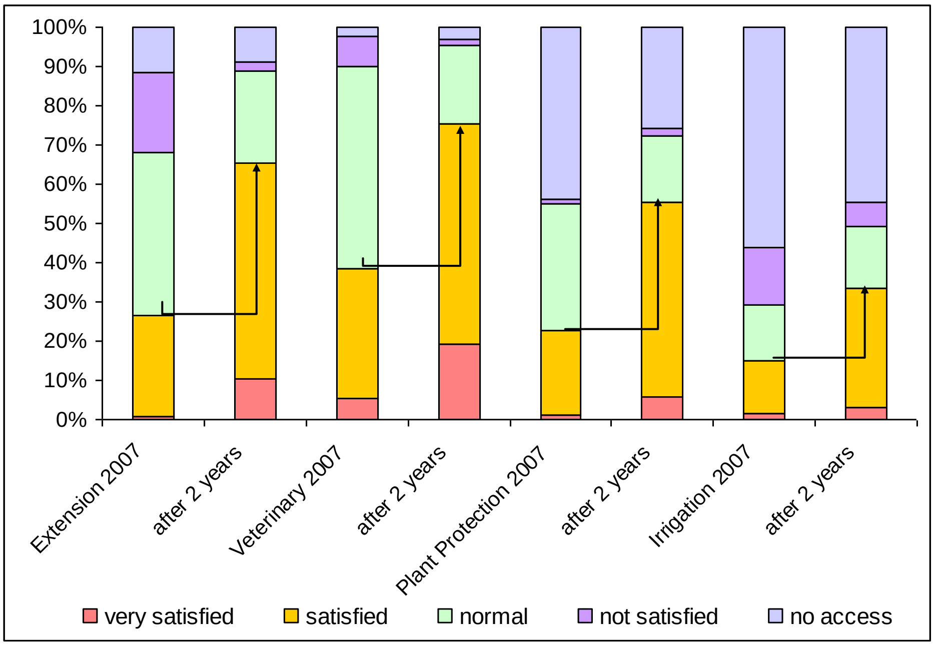
The basic unit of the survey were households that were identified as direct users of one or more of the four services on which PS-ARD interventions focused. The survey was conducted in 200 households per province. In order for the samples to be representative and for the survey to include the perspective of all categories of the population covered by the programme, six communes reflecting specific sociological features (poverty rate, ethnicity, agro-ecological conditions, uplands

[1] Improving Local Governance in Service Delivery – Citizens' Report Card, Asian Development Bank, 2007: available at: http://www.citizenreportcard.com/crc/pdf/manual.pdf

vs. lowland) were selected for each province. The households to be interviewed were then randomly selected across these pre-selected communes. Data were collected through face-to-face interviews (with an average length of 2 hours, 3 to 4 hours were necessary for interviews conducted with ethnic minorities as a result of translation). In order to identify the contribution of the programme to changes in levels of satisfaction, the 2010 survey was also conducted in communes that were not affected by the programme.

The provincial statistical offices were in charge of compiling the information gathered, which was then analysed by a project officer of PS-ARD.

Satisfaction with key services in agriculture and rural development



Indicators

The client-based opinion survey was a central source of information to monitor the overall success of the PS-ARD programme and specific outcomes. The tool provided qualitative information (expressed in quantitative terms) to measure outcomes relating to improved service delivery in the ARD sector and inclusive local planning[2]. Information extracted from opinion surveys however only addressed end-beneficiaries' perspectives. In order to be able to contrast and understand these qualitative data, PS-ARD also relied on quantitative indicators[3] for which information was extracted from government and provincial reports and PS-ARD reports and observations from the field.

Resources required

The design of the survey methodology required about 20 days of work from the project team bearing in mind that the technical adviser was already familiar with the methodology for organising surveys. The preparation of the survey and the analysis of the results then required about 30 days of work for one member of the project team. As explained in the above, the collection of data and the organisation of the interviews were outsourced to provincial statistical offices. For every survey, this

[2] For instance: percentage of farmers (m/f) satisfied with extension services at village level, percentage of men and women who state that they are satisfied with the new participatory planning procedures and that related public services are more demand oriented, etc.
[3] For instance: new regulations for participatory local planning at commune and district level are deepened and approved, effective monitoring systems (on local planning) are in place, etc.

required the work of about 3 to 4 persons for a month and the work of several teams of enumerators for the collection of data in the field. The overall costs of sub-contracting the organisation of the surveys amount to 12 000 US$ per survey.

Products

The results of the survey were primarily used for the programme end of phase report. The results were also presented to the partners as a way to initiate a dialogue on the objectives of the next phase of the programme. Finally, the results have been published as a separate report[4] and as a discussion paper on “supporting grassroots democracy”[5].

5. Analysis and Main Lessons Learnt

a. The OM methodology

Organising beneficiaries based satisfaction surveys allows to obtain a feedback from end-users of the services to be improved through programme interventions and thus to include their perspective in the evaluation of results. The use of randomly selected samples is further meant to reduce/avoid possible bias in the assessment. The organisation of two surveys (one at the beginning of the programme and one at the end) allows to compare change over time and to see how beneficiaries assess it. The methodology also displays a high potential for identifying needs of the targeted populations and for planning purposes.

The organization of public opinion surveys however remains a challenging task and requires important investment and know-how for the results to be reliable and for the contribution of the programme to be analysed. This applies in particular to the definition of the methodology and to its adaptation to the local conditions.

As concerns **reliability**, the focus of the PS-ARD survey on a specific category of the population allowed to formulate specific questions on which the target beneficiaries would have “an informed opinion”. However, the high scores obtained on the occasion of the baseline survey of 2009 - reflecting already high levels of satisfaction before the start of the programme - underline the need to devote time in understanding the expectations of the target beneficiaries in order to design a questionnaire that will allow capturing change and needs. Furthermore, the experience of PS-ARD shows that the need for reliable data may enter in conflict with the objective of alignment. The choice of PS-ARD to rely on provincial statistical offices and enumerators to conduct the survey displayed significant advantages in terms of expertise and in order to support future replication of the tool by national institutions and promote sustainability. However, the fact that government institutions interviewed citizens about the quality of work of their own administration had negative consequences on the sincerity of answers and thus on the reliability of the collected data.

Finally, a main challenge for using opinion polls for project monitoring refers to “**attribution**”. While the tool allows including end-beneficiaries’ perspectives into project evaluation and steering, the tool is less suitable to understand the exact contribution of a project to changing levels of satisfaction

[4] Satisfaction with Public Services Delivery in the Agriculture and Rural Development, Local Planning and Financial Management at the Commune Level 2007&2009, Swiss Agency for Development and Cooperation, Vietnam Ministry of Agriculture and Rural Development, Helvetas Swiss Intercooperation, 2010, available at: http://www3.helvetas.ch/Vietnam/wEnglish/Documents/Satisfaction_Survey_Report_PSARD_2010.PDF

[5] See: Supporting grassroots democracy in improving public services: available at: http://www.swiss-cooperation.admin.ch/mekong//ressources/resource_en_213636.pdf

(this difficulty of analysing a project contribution increases with the number of other projects present in the region and in the case of political instabilities). In this respect, the use of satisfaction surveys for OM requires additional mechanisms and analysis. Public opinion surveys cannot be used as the sole source of information. As in the case of the PS-ARD, the OM methodology needs to combine qualitative and quantitative indicators. Information on beneficiaries' perspectives about the quality of service delivery and their inclusion in local planning needs to be combined with factual information against which end-beneficiaries' perspectives can be analysed and understood. Conducting the surveys with populations that are not affected by the programme interventions (control groups) should also allow obtaining a clearer understanding of the programme contribution in changed perceptions.

b. Purpose(s) of the methodology

As implied in the above, the organization of public opinion surveys is a useful method to include end-beneficiaries perspectives in the assessment. The collection of a baseline at the start of the programme allows comparing change over time. The application of the same methodologies in different communes and provinces further allows comparing performance between partners and benchmarking. PS-ARD primarily used this information for reporting purposes.

Conducting face-to-face interviews with target beneficiaries of a programme also has a high potential for planning purposes as it may help identify additional needs and possible (future) fields of intervention. This was however not the case in Vietnam given the quality of the information extracted. As surveys displayed a very high level of farmers' satisfaction across all main public services, it was not possible to clearly identify intervention gaps and new priorities.

The tool also has a high potential to promote learning among the partners and dialogue between stakeholders on results achieved. The results of the surveys were presented to the partners who received them without further discussion. Practice showed however that additional external mechanisms or support might be necessary to use the results as a way to better involve partners into programme steering.

c. Which aspects can be measured with the methodology?

The opinion/satisfaction surveys as conducted by PS-ARD could measure different aspects. A key contribution of the tool is to assess changes in the attitudes of services providers / partners as perceived by the users of services. It concentrated on measuring perceptions and perceived changes of satisfaction as concerns effectiveness and efficiency in public services delivery and regarding improved inclusion in local planning. End-beneficiaries' perspectives on other dimensions of governance could easily be added in the questionnaire.

As long as the methodology used for conducting the surveys remains the same, the tool allows for easy comparison of the performance of partners (and possibly with non-partners).

The tool is also particularly useful to provide information and data about particular categories of the populations, vulnerable groups or gender. As samples are to be representatives of the local population, data can easily be disaggregated to have information about a particular group. In this respect, this can be a useful instrument to monitor social dynamics and changes.

In the case of Vietnam, there was no attempt to use this tool to measure power relations, but a broad public opinion survey could be considered as a useful instrument to gain an understanding about power relations in a certain context and on their development over time. Particular questions would need to be integrated, adjusted to the local context.

d. Harmonization and integration

The development and implementation of these public opinion surveys was meant to test a tool that could then be replicated by the government of Vietnam in order to monitor performance in public services provision. The government and service providers were consulted and included in the development of the tool. The involvement of provincial statistical offices in the collection of the data was also meant as a way to favour replication of the tool. The government of Vietnam has however shown limited interest in replicating this tool so far and public institutions are wary of using citizens/users' feedback for evaluating their performance in public services. Furthermore, the application of the tool remains time-consuming.

The above remarks show that it remains difficult to promote alignment and to work "on-system" in the field of monitoring. It is difficult for single projects to develop/promote methodologies to be transferred to national/local institutions. A strong demand from national authorities and political leadership should be a minimum pre-condition. Furthermore, the PS-ARD example shows that alignment may enter in conflict with the requirement of obtaining reliable data.

e. Conditions required and relevance of context

Organising citizens/clients' satisfaction survey is a useful method to include end-beneficiaries in the assessment of the results of a project/programme. Interviewing randomly selected intended beneficiaries of an intervention further allows for a more "objective" assessment of its contribution. Choosing such a methodology logically implies that the programme/project will have concrete implications for citizens/end-beneficiaries before the end of the programme/project. It however remains a difficult and time-consuming exercise and the following elements need to be kept in mind when designing and implementing it:

- In-house or external expertise is necessary to design the tool at the start in order to ensure that information gathered will be reliable and allow for comparison over time.
- Citizens / End-beneficiaries perspectives need to be analysed and understood at the time of the design of the survey and its questions. The notion of change as perceived by intended beneficiaries needs to be analysed in order to design a tool that will "capture" change. In this respect, the usefulness of the tool should be re-examined in the light of the results of the baseline.
- In case of "outsourcing" of parts of the survey, it is important to rely on a "neutral" third party. In this respect, the possible trade-off between "alignment" and "reliability of data" needs to be considered.
- Opinion surveys cannot be used as the unique source of information for monitoring project/programme results. The OM methodology needs to combine qualitative indicators with quantitative ones.
- Even if sources of information are varied, "attribution" remains problematic in the case of satisfaction surveys. This increases when the project interviews "randomly" chosen beneficiaries.
- The organization of opinion surveys is generally costly and it needs important time for designing the methodology and analysing the information collected.

In addition, the following <u>contextual elements</u> are important:

- Citizens interviewed need to feel confident they can express freely their opinion. The project/programme organising the survey needs to ensure that it places the interviewees in the best conditions.
- As there are many elements that can influence citizens' perceptions, reliability of collected data will be negatively influenced by political instabilities.

- Problems relating to “attribution” increase with the number of project/programmes and other initiatives present in the intervention area.
- Conditions for harmonizing a monitoring tool with the one of a partner or for alignment need to be analysed at the very start. A strong interest and commitment of national/local authorities is a must for possible replication. The more costly a system, the more difficult its replication

6. Concluding Remarks

The organisation of satisfaction surveys is a useful mechanism to include intended beneficiaries of a programme into the assessment of its results. It appeared especially relevant in the context of PS-ARD which supported the implementation of demand-driven reforms of public services and that aimed at strengthening the inclusion of citizens in local planning. Interviewing randomly selected households was furthermore a way used by PS-ARD to minimise “bias”. The tool should further allow the identification of possible gaps and additional needs for programme steering and planning.

While the case has shown the usefulness of satisfaction surveys for monitoring outcomes, the PS-ARD case has furthermore shown that it remains a complex task which needs important time investment for obtaining reliable data. It needs expertise for the design of the methodology and for its implementation in order to ensure the quality of the collected information.
The case has furthermore shown that “attribution” remains an issue and underlined the importance of balancing qualitative indicators with quantitative ones. The additional collection of factual information through other sources allows complementary analysis of the opinion surveys.

Finally, the conditions and potential for “alignment” need to be analysed at the very start. Efforts to work “on system” and to integrate national/local institutions in the application of the tool may (temporarily) affect the reliability of collected data.

7. References/Additional Information

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Swiss Agency for Development and Cooperation – Mekong Region: http://www.swiss-cooperation.admin.ch/mekong/

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Swiss Agency for Development and Cooperation, HELVETAS Swiss Intercooperation, *Supporting grassroots democracy in improving public services*: available at: http://www.swiss-cooperation.admin.ch/mekong//ressources/resource_en_213636.pdf

8. Annex: PS-ARD: Programme Outcomes

PS-ARD Logical Framework: Outcome Level

PS-ARD Logical Framework 1: Component 1: ODP/MARD

Outcome 1.1: The organisational system of the ARD sector is analysed and reform needs are identified

Outcome 1.2: New structure in the ARD sector is piloted and mainstreamed

Outcome 1.3: Capacity development systems in the ARD sector are improved

PS-ARD Logical Framework 2: Component 2 (Hoa Binh) and 3 (Cao Bang)

Outcome 2.1: Service delivery in agriculture and rural development is improved

Outcome 2.2: New, participatory SEDP procedures at the local level are established

Outcome 2.3: Systems and capacities for financial management at commune level are built up

Outcome 2.4: Provincial capacity building systems are strengthened

PS-ARD Logical Framework 3: Component 4: PMSU

Outcome 3.1: Programme implementation is coached and technically supported, and Component 1 is properly managed

Outcome 3.2: Programme is monitored, controlled and results are centrally disseminated

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OUTCOME MONITORING SYSTEM

PROGRAM CONCERTAR (GOVERNANCE FOR SUSTAINABLE REGIONAL DEVELOPMENT)

MEMBER OF PROGRAM GESTOR, (COORDINATED REGIONAL NATURAL RESOURCES MANAGEMENT)

Country: Bolivia

Key Informants: Martin del Castillo and Bruno Poitevin, Concertar, La Paz/Bolivia

La Paz/Bern, September 2012

Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Swiss Agency for Development
and Cooperation SDC

HELVETAS
Swiss Intercooperation

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List of Abbreviations

GESTOR	Coordinated Regional Management of Natural Resources
MCM	Mancomunidad/Intermunicipal Association
NR(M)	Natural Ressources (Management)
SAC	Clients' Satisfaction
SDC	Swiss Development Cooperation
(S)ME	Monitoring & Evaluation (System)

1. Key Features and Learnings

- The specific, tailor-made SME of CONCERTAR allows for close monitoring of the main program outcomes, based on the current phase planning according to Logframe
- The methodology was developed in a highly professional way, building on a base-line study, computerized data calculation, editing a methodological guideline and publishing 'periodical' monitoring reports as well as reporting to the management
- While the main indicators reflect strongly the intermediary level of interventions of the program and its NR-related interventions, a specific (local) governance index system is used
- The overall SME is complemented by an innovative clients' satisfaction tool (SAC) used by the partners in the framework of inter-municipal projects
- The diversified group of program partners makes it difficult to adjust indicators and progress to each partner; the system has also the merit to have developed some gender-specific indicators
- The current tailor-made system is resource and time intensive. It is currently in its first round of full implementation and might need some adjustment for further practice
- In order to be instrumental for timely adjustment it might need to be scaled down/streamlined
- It is highly important that the core group of the program remains stable to run the system and that it is in use for more than one project phase
- The SME of CONCERTAR demands a high commitment and openness from its partners as well as a good understanding of the system; it can be further developed by a web-based platform responding to specific partners' demands
- It gives inputs to SDC's country monitoring system, but is not linked to a national (or other donor's) monitoring system on governance and NRM

2. Fact Sheet

<table>
<tr><th colspan="2">Monitoring & Evaluation System (SME), CONCERTAR Bolivia</th></tr>
<tr><td>Developed by</td><td>▪ CONCERTAR, with support of Helvetas Swiss Intercooperation Bolivia in the frame of the SDC financed programme GESTOR and with technical support from nat. consultants</td></tr>
<tr><td>Applied in</td><td>▪ 18 'mancomunidades' (intermunicipal associations), comprising 150 municipalities</td></tr>
<tr><td>Purpose</td><td>1) Guarantee the effective management of the program by its members
2) Monitor progress at the level of the results by each component of the program
3) Monitor and validate the changes at context level that could influence the development of GESTOR
4) Provide adequate inputs to the Coordination Committee and the programme members in order to allow for decision-making regarding the steering of GESTOR
5) Contribute to the knowledge-management and communication of the programme
6) Give inputs to the monitoring system of SDC in Bolivia</td></tr>
<tr><td>Methodology</td><td>▪ Core element: base line study with a comprehensive, complex and detailed system of indicators and sub-indicators at the levels of impact, outcomes and outputs.
▪ (bi-) annual (focus) group meetings with main programme partners and stakeholders along the defined results and effects indicators, based on the specific CONCERTAR methodology.
▪ IT-based index system including governance indicators, each indicator scored (0-5) by focus group, external moderation
▪ Annual reporting on progress made at output level of the different components, supported by outcome and context monitoring, and mentioning difficulties and challenges
▪ Complemented by other reports/resources/surveys, tools of knowledge-management
▪ (in addition) Specific monitoring of the projects of the program members (component 1) by the Clients Satisfaction Methodology (SAC), based on the target group
▪ Monitoring cost-effectiveness of Concertar at the end of the phase</td></tr>
<tr><td>Products</td><td>▪ Base line study
▪ Methodological guide and tools with detailed description of indicators
▪ (bi-) annual monitoring & evaluation reports
▪ Summary with tables for the overall objective and the specific objectives, divided into a series of specific indicators and per indicator into a group of sub-indicators
▪ Reports are structured along the program components with a mix of narrative/qualitative statements and quantitative statements, linked to the index system, these tools are specified for each component and for each program member, which have different profiles , comparison amongst members and with earlier periods are shown
▪ At the level of the <u>projects of the program</u>, monitoring clients' satisfaction (SAC) with the progress of the projects and using specific KM-tools</td></tr>
<tr><td>Dimensions / aspects addressed</td><td>▪ Linked to the overall and the specific projects goals. Dimensions are not specifically focused on the five 'core' governance criteria, but comprise
- local economic development, based on NRM
- concertation, coordination, linkages amongst intermediary partners
- capacity-building measures
- project development and implementation through program members
- knowledge-management at policy level (advocacy, water policies in NR)
▪ In some components and indicators, gender-specific aspects are monitored
▪ Project specific results are addressed in the various projects of the members
▪ Not yet fully designed to measure power relations and/or cost-benefit elements.</td></tr>
<tr><td>Indicators</td><td>▪ Mix of quantitative and qualitative indicators; quantitative indicators are either in absolute numbers or integrated in an index system
▪ Results and effects are also monitored by a quite detailed ranking/scoring through the members
▪ Members projects develop their specific indicators, often not directly governance related
▪ Gender specific indicators are partly developed</td></tr>
<tr><td>Attribution</td><td>▪ Considered, as the SME is directly linked to the defined project outcomes/effects.
▪ The SME allows to make reference to project related activities and support</td></tr>
<tr><td>Conditions</td><td>▪ Regular repetition of the IT-based monitoring, at least annually to identify progress and changes
▪ Partners' involvement in the different stages, external moderation, the core group of the</td></tr>
</table>

	resource persons involved should not change ▪ Basic spirit of openness and self-reflection and -criticism among the partners, sharing of the same visions and mission ▪ Considerable chance for rule of law ▪ Support and commitment of the institutional leadership of the different partners/members ▪ Certain level of understanding and capacities among partners ▪ Mid- to long term commitment from project/donor side and professional core team
Remarks	▪ The SME must be designed early during the project planning/inception stage; extensive resources and time have to be considered ▪ The project driven SME can only be run successfully by timely activities and a specific (expert) know-how and experience and with considerable resources ▪ It has to count on the commitment of its partners, leadership and specialists ▪ In order to deliver meaningful results it has to be run over a longer period (min 2 phases) ▪ At SAC level, the system should be linked to project/partners' planning cycle and schedule ▪ Harmonization with national system difficult, as it is project focused, but inputs to SDC's system are made
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3. Introduction and Background

The project and its main outcomes

CONCERTAR is an SDC funded programme (in its second phase 2010-2013, budget 4.8 Mio CHF) under the roof of GESTOR, with the aim to foster the levels of coordination, complementarities and necessary concertation but also competition amongst regional institutions, actors and members of GESTOR in order to foster the quality of life of the rural population in a situation of poverty.

The main goals of the programme are to contribute to public policies in the field of natural resources management, specifically water resources and improved agricultural production with elements of institutional strengthening in a context of inter-municipal (mancomunidades) territorial management and people's participation.

The specific objectives that CONCERTAR has defined are local economic development, specifically food security and adaptation to climate change, consolidating existing practices of participation, concertation, coordination, local co-financing, competition and co-responsibility amongst public and private actors at different levels; building on actors' capacities to develop and implement technical, normative, organizational and managerial proposals.

The key operating strategy are inter-municipal projects, based on sustainable management of water resources and managed by recognized regional institutions, based on regional development plans and focusing on sustainable resources management and including actions for capacity development and complemented by coordinated and joint actions of regional actors and contributing to public policies.

CONCERTAR as a partner of GESTOR operates currently with 18 mancomunidades (comprising 150 municipalities) and a wider number of allied partners as well as 30'000 families as target group.

CONCERTAR – building on successful experiences made in former SDC/IC projects in the country, which are strengthening the inter-municipal level (including platforms) - is working with participatory and capacity-building methodologies, co-financing of (municipal) projects, project implementation by (municipal) partners and focusing on an integrated natural resources management. CONCERTAR defined and regularly monitors at the level of context, impacts/outcomes (1 project goal + 3 outcomes), and products (5 specific results/outputs):

> **CONCERTAR** proposes to foster a better areal management taking into consideration the inter-municipal level and focuses on the links between five actions lines.
>
> 1. Coordinated and simultaneous inter-municipal projects
> 2. Capacity-building
> 3. Processes and tools for concertation
> 4. Links between different state levels
> 5. Public policies focused on areal development
>
> Capacity development, linked with inter-municipal projects are driving this proposal and are complemented by concertation amongst actors and favorable public policies

1) **Project overall goal**: Outcomes are formulated along the specific program goals, i.e. 1) local economic development, based on an integrated natural resources management; 2) concertation and coordination amongst public and private actors at various levels and 3) capacity-building of public and private actors in the field of planning of technical, political, organizational projects.

2) **Specific results of the project components/products**: Contributing to the specific program objectives, five specific results are defined: 1) inter-municipal projects, combining local economic development with natural resources management are executed by local actors 2) capacity-building of partners 3) platforms for coordination at inter-municipal level in the field of natural re-

sources management, 4) coordination between different state levels again focused on NRM 5) elaboration of policy proposals by local actors in the field of NRM.

Further outcomes are related to a transparent and accountable service provision; improved local management and financial capacities to manage development and attract external funds and investments; inter-municipal and regional cooperation.

Based on previous experiences, CONCERTAR fosters and monitors initiatives of co-funding projects and feasibility studies, based on an economically interesting NRM

Finally, but not taken further into account in the frame of this case study: there are various knowledge management activities and tools to be shared with partners at various levels.

The Outcome Measurement methodology

CONCERTAR has developed and works basically with three types of monitoring tools:

1) monitoring project outputs, outcomes and impact as defined in the Logframe and according to (technical) sources of verification (information then gathered mainly through meetings with the programme partners and managed through an IT based index system – see below) and

2) monitoring clients' satisfaction (SAC) based on the views of the local actors with regard to the inter-municipal projects

3) specific knowledge-management tools (not covered in this case study).

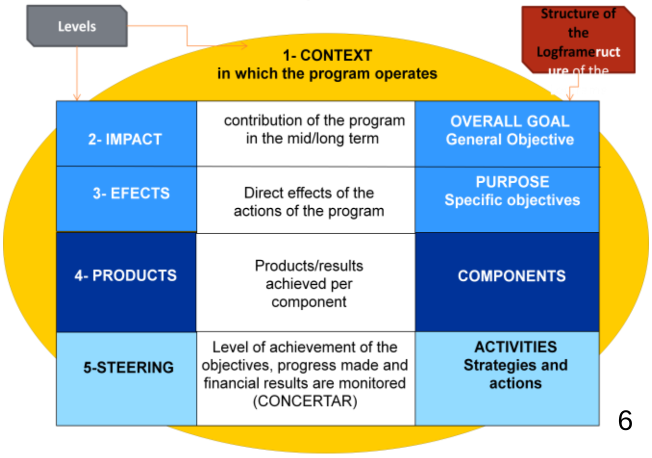
Clients' satisfaction measurement (SAC) fosters the dialogue between the target group (beneficiaries or users) of (inter-municipal) projects and the service providers or project implementers itself. They are implemented by the (inter-municipal) projects themselves and allow for a timely detection of problems in the planning and implementation of the project and to propose solutions rapidly. The SAC tools bring project users and implementers together. The implementer prepares (ex-ante and ex-post) reports, mentioning amongst others successful/satisfying or not performing/deviant elements. Compromises shall be reached so that the project results will reach the clients' satisfaction. Indicators are specific to each (inter-municipal) project, but reflect the specific objectives of CONCERTAR.

The basic idea of this tool is – according to good governance principles – that decision-making shall be accountable, participatory and with shared responsibilities. Currently the SAC tool is not yet applied by all members of CONCERTAR to monitor their project results but is still in a starting phase. It also focuses up to now more on empowerment of the partners and outputs of the projects then on outcomes but shall be extended to the other levels.

The core elements of the SAC are the partners' assemblies where the relevant information project progress is dispatched and discussed and adjustments decided. The information reported in the overall monitoring system is influencing the next yearly plan of operation. Information is given according to the principles of accountability, transparency and participation, but the concrete indicators may vary from project to project.

The four other specific objectives are monitored in a more classical way (see below, regular meeting with programme partners) and are not directly related to CONCERTAR, but to the overall program GESTOR as a whole. Nevertheless, specific action lines and their contribution to the goals are defined for CONCERTAR with a specific focus on the regional management of water resources cooperating with inter-municipal/regional actors.

Definition of the levels of monitoring linked to the Logframe



Context monitoring	Economical, political, social, environmental levels and international cooperation
Impact/outcomes monitoring	Monitoring of impacts/effects at program and family level acc. to general objectives
Outputs monitoring	Monitoring of results / products according to the five specific objectives
Progress monitoring	Direct project achievements per year, with reference to the quantitative targets which are defined in the phase plan and the YPO , linked to the Logframe

4. Application of the Outcome Measurement methodology

Main purpose and link to baseline

The monitoring and evaluation system of GESTOR, of which CONCERTAR is a part, was developed in a tailor made way by the CONCERTAR team for the current program phase. As the program set up and the objectives of the current phase were newly defined, the M&E system had to be conceived from scratch but could partly build on previous phases and is in its logic following the content of the program logframe. It is basically constructed in two levels and steps: 1) an in-depth, multidimensional base line study at household and inter-municipal level and 2) periodical monitoring of program results and effects again at family and various institutional levels. The main project partners were also involved in defining the indicators and the index system.

The purpose of the M&E system is to present information, data and evaluation of the baseline study, to measure every indicator of impacts and effects according to the planned action lines and specific objectives of CONCERTAR as well as per partner, based on quantitative and qualitative rating and scoring of the indicators. Specific attention was given to the gender issue.

The process and actors involved

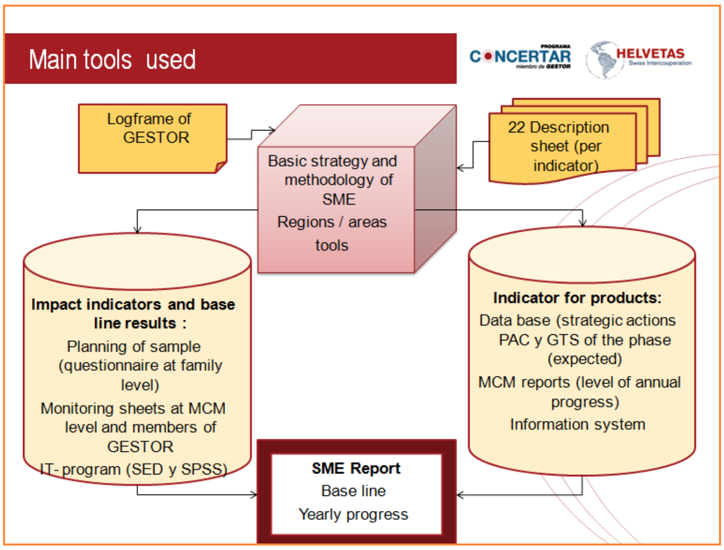
The CONCERTAR coordination team was responsible for the design and quality control of the process. External consultants supported the methodology, information collection and gave inputs for the draft reports. The project partners and beneficiaries acted as key informants (data collection, reports at micro-level). The main steps used for applying the M&E system in CONCERTAR are described below:

	Activity	Who
1	Definition of the specific outcome indicators at the 3 levels (goal, specific objectives, cross cutting topics) and definition of the index system[1]. Planning and data collection for the base line study according to family categories and all inter-municipal associations, municipalities and communities	CONCERTAR, consultant
2	Quality control of collected information and establishment of an IT-based database	CONCERTAR, consultant
3	Editing of the baseline study, including especially indicators on governance and regional NRM, based on an e-database, followed by sub-indicators and their ranking and scoring; development of the M&E system according to the program logframe	Consultant, CONCERTAR
4	Establishment of half-yearly and yearly M&E reports, including ranking and scoring of	CONCERTAR,

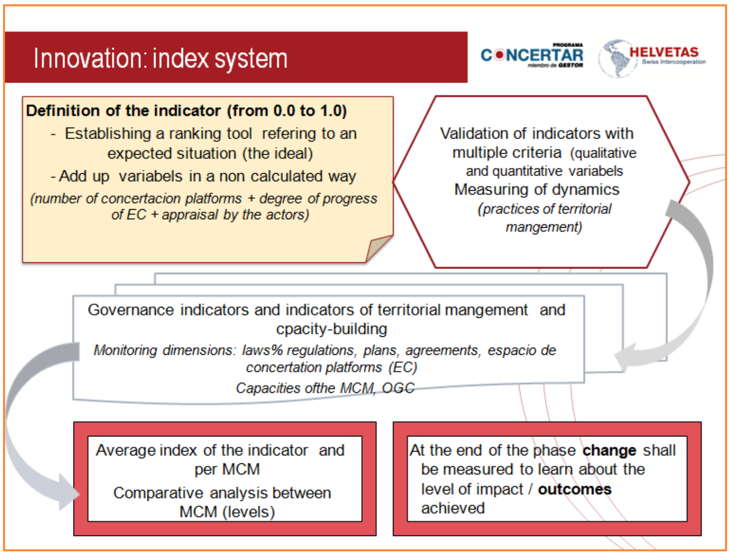
[1] For each governance indicator six different achievement levels have been defined considering the current situation in municipalities and expected change at the end of the Phase. Level 1 (mark 0) refers to situation where the programme partners have taken no actions nor they are interested to change attitude and working approaches. Level 6 (mark 5) is the level where the municipalities have taken initiative and independently apply new approaches and methodologies outside of programme activities

	progress made by the mancomunidades and specific data-collection (mainly through focus group discussions).	consultants and mancomunidades
5	Inclusion of the main lessons learnt for the next yearly work plan	CONCERTAR

Tools



Index system



Indicators

The M&E system includes a limited, but detailed number of indicators linked to the general and specific program objectives. Each indicator is again split into a limited number of sub-indicators (in general 5 to 9 sub-indicators). The system includes different fields of observations with a focus on NRM and also comprises specific indicators on governance and gender issues.

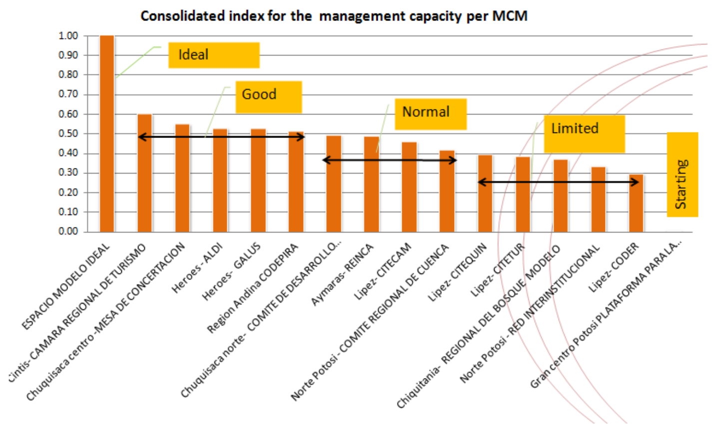
Context monitoring takes place according to selected fields of observation (economical, political, social, environmental conditions and international cooperation, specific sub-themes linked to this area and respective changes (high, middle, negative).

According to the planned specific objectives, indicators of impact and effects are literally defined, a base line (quantitative indicator is defined) and a qualitative index system per indicator is established. This system contains normally four to five levels (from very good, regular, limited, weak and not existing).

We have further on the detailed figures for each CP with its index and scoring system.

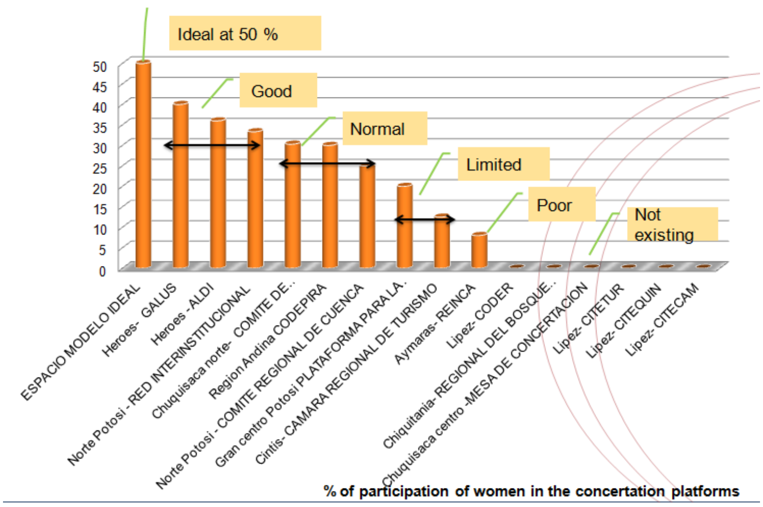
The index calculation is based on three criteria with a different weight for each criteria: institutional (20 %), performance and capacity management (20 %) and facilitation of concrete actions (60%).

This index gives for each CP its level and an average for all CP is calculated. It is used as reference for base line.



Gender Analysis

This analysis was done based on the regular participation of women in each CP.



Specific governance indicators

With specific relevance to (local/regional) governance, the following indicators of impacts and outcome were developed.

Impact indicator: in 20 inter-municipal areas tools and practices of NRM are institutionalized

And linked to this impact indicator are the following **outcome indicators**:

- In 20 inter-municipal areas, public and private actors implement NRM plans
- 10 agreements regarding NRM amongst actors at different state level in at least 3 regions are implemented
- Six inter-institutional platforms on NRM are consolidated and active
- 20 inter-municipal areas of concertation are active and have been institutionally legitimated
- 20 laws/regulations of decentralization and NRM at national, regional and municipal level are implemented and have generated investments for areas of concertation and regional actors

- 30 technical, organizational, established in a coordinated way with relevant actors are implemented in the frame of a regional NRM
- At least 18 program partners (inter-municipal and watershed associations) have developed their institutional capacities in NRM, with focus on water resources.

A chart summarizes and compares the results of the base line study with the progress made. It is built according to the general and specific objectives, a set of respective indicators and their ranking and scoring.

See for illustration of the indicators and scoring system at outcome level (called by CONCERTAR impact and effects) annex 1.

Resources required

The time necessary for the baseline study and report writing was more than six months. Currently at partners' level specific tasks for data collection and processing are assigned as well as to the CONCERTAR specific technical team and specialised consultants. Partners participated and contributed in group discussions, the scoring exercise, presentation and discussion of results.

Products

The main product of the M&E system was the base line study, the methodological guide of the M&E system and the first progress report (2011), including an overview of progress made per specific objective and a final chapter on conclusions and future perspectives, mentioning especially difficulties, challenges and first experiences with the M&E system.

5. Analysis and Main Lessons Learnt

a. The OM methodology

The outcome (or impact and effect) measurement is an efficient and effective tool to measure changes (and progress) at outcome level related to the specific project objectives of CONCERTAR. By a series of ranking and scoring tools and systematic dialogue with the programme partners, it allows for adjustments in the frame of the rigid hierarchical cause-effect system of project planning (such as the logframe), taking into account that outcomes are mainly changes at partners' level. These are often linked to different measures that cannot be directly attributed to the programme only and cannot be measured easily. Partners and beneficiaries were – with different commitment - actively involved during the main steps (design and implementation of the baseline, first reporting, analysis and discussion).

Time and resources invested are considerable but seem adequate for a multi-million programme. The tools applied were rather classical (no specific e-based communication, videos), but such tools e.g. web-based platform) will be developed and integrated in the methodology.

b. Purpose(s) of the methodology

The outcome monitoring is integrated in a wider system of planning, monitoring and validation of effects; this IT-based system has been designed at the beginning of the current phase (2011) and is now operational, starting from a base line survey followed by periodical collection and validation of a complex series of indicators. It covers basically the four key dimensions of monitoring and evaluation: 1) context, 2) impact (linked to the overall objective and effects (linked to the specific objectives, 3) results (linked to the annual planning, 4) coordination (linked to the partner organisations).

c. Which aspects can be measured with the methodology?

Gender equality is first mentioned as one of a series of “strategic principles” guiding the execution of the programme together with governance and cultural diversity. Gender shall be looked at as a transversal topic, integrated in the various project proposals of the members of the programme. In the baseline study already gender equality is one of the dimensions observed and broken down to the degree of representation in the “mancomunidad” and the “intermunicipal producer associations” and the watershed associations, split into overall membership and participation in a technical team of a MCM and then ranked and scored (very good, good, regular, limited). Finally, as part of the results, capacity-development measures specially focused on women have been monitored and a more precise database shall be established with regard to gender issues.

As designed by CONCERTAR the outcome measurement is integrated in the program specific, broader monitoring and evaluation system, but expected outcomes are directly attributed to the specific objectives of the program components, whereas impact is measured at the overall program level. Systematically a series of indicators is defined and measured (by introducing different degrees of success) and periodically compared. This method ends up in a complex system of a limited number of main and sub-indicators and their measurement, treated in an electronic way. After collecting specific reports from the members, eventually completed by case studies, the results are reported (bi-) annually to the respective management levels where they are assessed and corrective measures taken. CONCERTAR yields in this way a detailed picture of its progress and conditions in the context it works. It also allows identifying and disseminating specific good practices. Regarding the aspects of ‘governance’ the first round of (yearly) monitoring allowed for learning of the system and making adjustments.

The monitoring and evaluation system requires a good understanding by its partners of the system and their active involvement in collecting, processing and validation the data. Only then the system can be efficient and the program management can make informed adjustments. It seems that the program was struggling with these requirements in the first year of implementation and keeping the engagement and the capacity of the members remains a challenge.

Looking from outside one gets only the impressions that the key dimensions of ‘governance’ are all addressed correctly as strategic principles and elements of the five components building the programme – but at the level of specific indicators and sub-indicators linked to these components others, more technical indicators partly prevail. As CONCERTAR is focusing on one specific component of governance - the one of NRM – and focusing on inter-municipal organisations this focus can well be justified.

d. Harmonisation and integration

At country strategy level, SDC has in the last years put an emphasis on harmonizing a series of projects that are part of the country programme, operating with the same visions and objectives. That is why a group of projects has been created in the field of regional “governance” and NRM, of which CONCERTAR is part. This group is in the process of designing a common planning, monitoring and evaluation system and makes it first experiences with it since 2011.

At least at country programme level and in coordination with the relevant national actors at different levels (national, regional, local level) completed by relevant associations as program partners– under the umbrella of one donor- GESTOR operates now with a coordinated monitoring & evaluation system.

e. Conditions required and relevance of context

CONCERTAR’s integrated M&E system is a very instrumental methodology to measure programme outcomes at partners’ level. The following elements and conditions are required:

- The monitoring system must be designed early during the programme design stage, right after planning;
- The time and qualified resources required for a comprehensive base line study as part of the system shall not be underestimated;
- The indicators and the scoring system must be properly defined and instrumental for monitoring the project objective during the project life-span system;
- The number of indicators (and sub-indicators) shall remain limited (for management reasons) but relevant (for adjustments and decision-making);
- Partners' involvement in the different stages is crucial, to ensure consideration of context and partners' needs and challenges, as well as their ownership;
- The monitoring must be repeated on a regular basis, best annually. This allows identifying changes and progress made as well as observing changes at income level;
- The core group of the persons responsible as well as the methodology should not change, to ensure consistency and continuation (important for scoring exercise);
- The (annual) monitoring results should be linked to the project/partners' planning cycle and schedule to ensure that learnings are translated into actions;
- External moderation is highly advised to prevent bias by the involved persons, as the system is to a considerable extend based on a self-appraisal of the partners. This is particularly relevant for the scoring exercise, where the moderator has an important task to ensure objectivity;
- Cross-checking of certain monitoring results should be done through complementary tools (citizens' surveys, hard data, other stakeholders' interviews) or specific mirroring exercises by a competent program team.

Following <u>contextual elements</u> are important:

- Support and commitment of the high-level leadership of the partners; only this will ensure accuracy of the results and an adequate follow up;
- Capacity of the different program partners to strive for the same visions and results;
- Basic spirit of openness and self-reflection among the partners and the persons directly involved in the monitoring exercises; if there is a situation of pressure, fear or mistrust, it will be difficult to get accurate results;
- Minimum political stability or at least rules of law; if the situation is unstable, short term interests of partners, change in leadership and staff turnover might jeopardize the system;
- A certain number and level of relevant laws and (development and environmental) plans in the frame of which the program can develop;
- A certain level of understanding and capacities among partners; including analytical capacities to draw the right conclusions out of the OMS monitoring results;
- Mid- to long term commitment from project/donor side; as the quite complex M&E system makes only sense if it is regularly conducted over several years.

6. Concluding Remarks

The monitoring and evaluation system of CONCERTAR, including a specific dimension on outcome measurements (named impact and effects) is a precise methodology to measure changes at outcome level related to that specific project and its partners. It gives a precise picture of its results and effects linked to the planned objectives and activities and cover a wealth of information for the project management and the partners.

From the partners' side, it requires systematic capacities for data collection and adjustments from the involved team and a basic commitment of the leadership together with the program's technical team to make full use of the results of the system. Operating in a complex institutional set-up it needs a quite high quality of coordination and striving for common visions. The system is enriched by a specific understanding and use of the 'SAC' by the users at the level of the projects of the programs partners. Being a rather complex system, whose design and operation need rather specific capacities and resources it can be questioned if it will be fully maintained operational without a specific project support. It also has the merit to operate in a broader monitoring system that is harmonized inside the SDC's country strategy for Bolivia.

7. References/Additional Information

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8. Annex 1: Overview of indicators of impact and effects (outcomes) (relating to governance)

Overall objective	Indicators Impact	*Unit*
Improve the sustainable management of Natural Resources (mainly water resources) in the frame of an intermunicipal regional management in order to contribute to a better well-being of the population (quality of life)	IOG 1 At least 20'000 families achieve 15 % higher income by a good management of their natural resources of which men and women benefit	**family**
	IOG 2 At least 15'000 families in 10 watersheds have improved the availability of and access to water resources	**family**
	IOG 3 In 20 intermunicipal areas tools and practice of sustainable regional development have been institutionalized	**MCM**
	IOG 4 The outreach of projects supported by GESTOR is at least 30'000 families in around 20 intermunicipal areas (which include around 150 municipalities) of around 150'000 hectars	**family**
Specific objective 1: Local Economic Development	**Effects (Outcomes)**	
Strengthen local economic development, based on integrated management of Natural Resources, mainly water	ISO 1 At least 25'000 (farmer) families have increased their agricultural production by 20 %	**family**
	ISO 2 In 10 intermunicipal areas quality services related to agricultural production, economic promotion or integrated natural resources management exist	**MCM**
	ISO 3 In 20 intermunicipal areas, public and private actors implement integrated natural resources management plans	**MCM**
Specific objective 2: Concertation and Linkages	**Effects (outcomes)**	
Consolidate institutional and social practices of	ISO 1 Public and private actors implement integrated NRM plans in 20 intermunicipal areas	**Agreements**

participation, concertation, linkages, competition and co-responsibility amongst public and private actors at different levels	ISO 2 Six interinstitutional platforms linked to the management of NR are consolidated and operational	**Platforms**
	ISO 3 20 intermunicipal platforms of concertation are operational and recognized by the local actors	**MCM**
	ISO 4 Fund-raising of at least 3 Mio $ with allied partners or beneficiaries for the implementation of intermunicipal projects in the field of NR	**Mio $**
Specific objective 3: Capacity-building and influencing public policies	**Effects (outcomes)**	
Count on institutional public and private actors and the civil society, able to develop and implement technical, normative, organizational/management proposals	ISO 1 20 rules and regulations if decentralization and Natural Resources at national, district and municipal level are implemented and have received inputs for areas of coordination and/or regional actors	**Rules & Regulations**
	ISO 2 At least 18 members of the program (intermunicipal associations and watershed associations) have strengthened their institutional, regional development and natural resources management capacities with a focus on water resources	**Members**
	ISO 3 Out of the 30'000 families with whom projects are implemented, at least 10'000 women have improved their capacities for the use of integrated water resources, agricultural production and organizational development	**Women**
	ISO 4 30 technical, organizational and management proposals, coordinated with various actors are implemented in the frame of an intermunicipal regional development management	**Proposals**