

St Kitts and Nevis

Monitoring and Evaluation Guidelines

**For the NCSA
Capacity Development Action Plan**

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Introduction

The Capacity Development Action Plan prepared under the National Capacity Self Assessment is intended to help St Kitts and Nevis meet its obligations under the United Nations Convention on Biological Diversity, the United Nations Framework Convention on Climate Change and the United Nations Convention to Combat Desertification. The Capacity Development Action Plan will address priority elements under the following broad categories:

- Conceptualisation and formulation of policies, legislation, strategies and programmes;
- Implementation of policies, legislations, strategies and programmes;
- Engagement and building of consensus among all stake-holders;
- Mobilisation of information and knowledge; and
- Monitoring, evaluation, reporting, and learning.

Monitoring and evaluation of implementation of the Capacity Development Action Plan (CDAP) is needed to record successes and share information with stakeholders, detect weaknesses and take corrective action, to determine the extent to which the objectives are being achieved, and to provide the basis for future initiatives in capacity development.

These guidelines are intended for the Ministry of Sustainable Development and the department or personnel that will have the lead responsibility for implementation of the CDAP. They can be adapted as appropriate to meet local needs and could serve as the framework for monitoring and evaluating other departmental project activities.

Definitions¹

The following definitions will help in clarifying the intent of the various components of a monitoring and evaluation exercise:

1. Monitoring - is a continuing function that aims primarily to provide the main stakeholders of an ongoing programme or project with early indications of progress or lack thereof in the achievement of programme or project objectives.
2. Reporting - is the systematic and timely provision of essential information used as a basis for decision-making at appropriate management levels. It is an integral part of the monitoring function.

¹ UNDP Programming Manual, Chap. 7 Monitoring Reporting and Evaluation. UNDP 2000.

3. Evaluation - is a time-bound exercise that attempts to assess systematically and objectively the relevance, performance and success of ongoing and completed programmes and projects.
4. Results – is a broad term used to refer to the effects of a programme or project. The terms outputs, outcomes and impact describe more precisely the different types of results.

Planning for Monitoring and Evaluation

For a programme or project to be effectively monitored and evaluated, the following tasks have to be completed during the formulation stage:

- Clarification of programme or project objectives;
- Recording the baseline conditions of the situation or capacity to be addressed;
- Establishing a set of indicators and benchmarks for monitoring and evaluating the programme or project results;
- Agreeing on what kind of data will be collected and how that data will be obtained and used;
- Specifying the reporting requirements (format, frequency and distribution), including the annual and final reports;
- Establishing the monitoring and evaluation responsibilities (coordination, data collection and reporting);
- Providing adequate human and material resources for monitoring and evaluation.

Criteria for Monitoring and Evaluation

The GEF Monitoring and Evaluation Unit specifies five criteria² which are:

- Impact: measures both the positive and negative, foreseen and unforeseen changes to and effects on society caused by the project(s) or program(s) under evaluation.
- Effectiveness: measures the extent to which the objective has been achieved or the likelihood that it will be achieved.
- Efficiency: assesses the outputs in relation to inputs, looking at costs, implementing time, and economic and financial results.

² Monitoring and Evaluation Policies and Procedures, the GEF, Washington D.C., 2002, Page 8

- Relevance: gauges the degree to which the project or program at a given time is justified within the global and national/local environment and development priorities.
- Sustainability: measures the extent to which benefits continue from a particular project or program after GEF assistance/external assistance has come to an end.

These criteria should be applied during the monitoring and evaluation of implementation of the CDAP. The CDAP is comprised of the following categories for action:

- National policy, legal and regulatory framework
- Monitoring and enforcement
- Awareness and exchange of information
- Institutional mandates, co-ordination and processes for interaction and co-operation:
- Institutional management and performance
- Individual skills and motivation
- Information management and reporting
- Mobilisation of science in support of decision-making
- Financial resources
- Incentive systems and market instruments

Procedures

The draft monitoring and evaluation plan must be documented and communicated to key national stakeholders for further discussion and finalization. A least one consultation should be held with the key stakeholders to discuss and agree on the details for the monitoring and evaluation of the CDAP.

The following elements are based on the actions and indicators outlined in the CDAP and will provide the framework for monitoring the implementation of the activities over the three-year period of the CDAP.

Objectives of the Capacity Development Action Plan

1. To improve on the policy framework for implementation of multilateral environmental agreements.
2. To enhance the ability of selected government departments to monitor the impacts of development projects and compliance with prescribed measures.
3. To raise the awareness of key sectors of society on the benefits of implementation of selected multilateral environmental agreements.
4. To establish an improved coordination mechanism for environmental matters.
5. To enable staff to improve their performance with respect to implementation of the environmental conventions.
6. To develop a system to assist in human resources management.

7. To improve the system for information management within key government agencies.
8. To mobilize science opinion in support of decision making.
9. To increase the level of trained and qualified staff in key government agencies.
10. To establish at least one economic incentive to encourage environmental sustainability.

Recording the baseline conditions

For each of the 10 objectives above, the baseline situation in the target departments should be recorded prior to the start of activities prescribed under each of the categories in the CDAP. Questionnaires could be developed to assist in the collection of information such as, the existence of specific policies, numbers of staff, levels of training and skills, awareness programmes and target groups, MEA coordination, existence of defined roles and Terms of References (TORs), performance measurement, organisation of in-house information, number and frequency of national and MEA reporting, levels of scientific inputs, number and type of economic incentives, etc.

Establishing a set of indicators and benchmarks

Most of these indicators are already outlined in the CDAP. During the documentation of the baseline conditions other indicators may emerge and these should also be added to the monitoring list.

Data collection

The actions prescribed in the CDAP give an indication of the kinds of data that need to be collected to determine implementation progress. Key data will include: number of TORs prepared, number of consultants recruited, report on consultations, final reports on specific activities, staff redeployment/recruitment, training activities, programmes or outputs developed, etc.

Reporting requirements

Progress reports should be prepared quarterly over the three year period. Quarterly reports should specify, the achievements during the project period, the challenges and constraints encountered, measures to alleviate these challenges/constraints, technical issues and budget expended. Annual reports may not be necessary for departmental purposes, but may be required by the donors. The annual report will summarise the quarterly reports for the period and give some indication of the extent to which the objectives have been achieved so far. A final report on implementation of the CDAP at the end of the project period will be required. It should also address the project's impact, effectiveness, efficiency, relevance and sustainability.

Monitoring and evaluation responsibilities

The responsibility for the monitoring and evaluation of the implementation of the CDAP will be the Ministry of Sustainable Development. Discussion among the senior staff will lead to a decision on which department will have the lead. Staff must be identified with clear responsibility for data collection and reporting.

Human and material resources

All human and material resources required for monitoring and evaluation must be identified and allocated by the lead or coordinating agency. It is not anticipated that monitoring activities should require more than about 5% of the time of selected staff.

Evaluation

There should be two evaluations, one at the mid-term of the implementation plan and the other, within three months of the end of the implementation period. The CDAP implementation period is three years. The purpose of the mid-term evaluation is to assess whether the project is being implemented as planned and to assess progress in meeting the objectives. The purpose of the end of project evaluation (summative evaluation) is to assess the project's success in meeting the stated objectives. The summative evaluation collects and analyses information on outcomes (including unanticipated outcomes) and related processes, strategies and activities that led to them. It should also provide a clear understanding of the project's impact, effectiveness, efficiency, relevance and sustainability.

Methodology

The evaluation should be conducted by an experienced party that is independent and impartial from the policy making process of the government, and from the management of the project. The Terms of Reference (TOR) for the conduct of the evaluation should have inputs from the key stakeholders of the CDAP to ensure that a range of interests are incorporated. The main elements of the TOR will be:

1. Introduction;
2. Objectives of the evaluation;
3. Scope of the evaluation;
4. Issues to be addressed by the evaluation;
5. Products expected from the evaluation;
6. Methodology or evaluation approach;
7. Composition and responsibilities of the evaluation team; and
8. Implementation arrangements.

The method to be employed should include:

- Analysis of existing data, project reports and other relevant information, gathered from desk reviews and field visits; and
- Interviews with key stakeholders, in particular project beneficiaries, community groups, NGOs and civil society organizations and the private sector.

Key questions that should be addressed during the end of project evaluation would include:

- What were the baseline conditions at the time the project was initiated, in the context of the capacity issues that the project was meant to address?
- What were the positive and negative, foreseen and unforeseen changes to and effects on the department/ministry/clients that resulted from the project? (**In this context, the specific capacities developed at the individual, institutional and systemic levels must also be identified and quantified**).
- To what extent were the objectives achieved or likelihood that they will be achieved? (**Include any challenges or obstacles encountered during implementation and measures to overcome these challenges**).
- What were the outputs in relation to inputs, looking at costs, implementing time, and economic and financial results?
- What was the relevance of the project to national environment and development priorities?
- To what extent will the benefits or activities continue from the project after external assistance/donor funding has come to an end?
- What were the lessons learnt or lessons that should be learnt that emerged from project implementation?

The draft report of the evaluation should be shared with key stakeholders who must be encouraged to review the document and offer comments to improve clarity and accuracy. The final report should then be placed in the public domain with due notification, to ensure accessibility by all interested parties.
