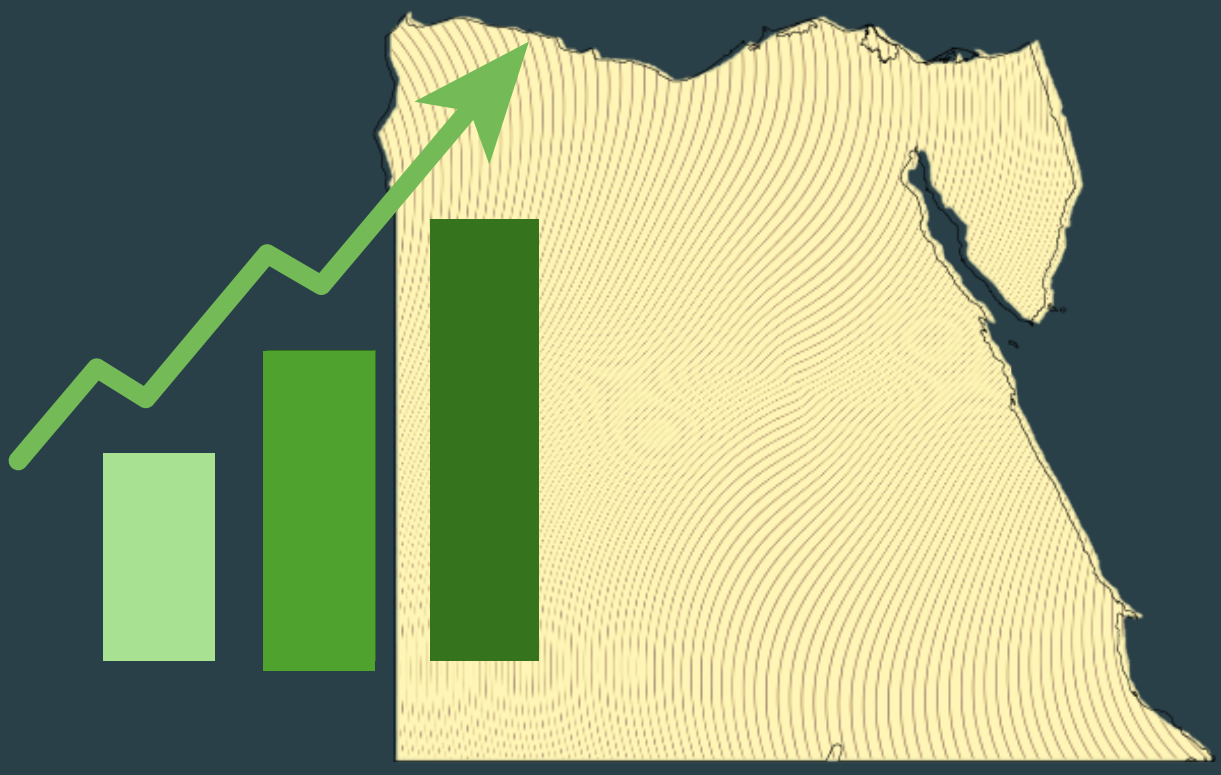
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& Sustainable Development

EGYPT IN GOVERNANCE INDICES



January 2021

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SUMMARY



Egypt's position and performance in international indices are often regarded as measures to determine the effectiveness of the ambitious reform programs that have been underway throughout the past few years. As such, it is crucial to track the changes in Egypt's position, as measured by those indices, to further strengthen its global competitiveness and sustain its growth. This report focuses on international, regional, and national indices released by 12 different organizations, which reflect the quality of Egypt's overall governance, or its performance in one of the main principles of governance. These indices are commonly used in the international community as a measure for a country's safety, stability, as well as its economic opportunities and regulatory environment.

Overall, Egypt best performance is in the area of safety and security as indicated by the Gallup Law and Order Index, as well as the subindex of the World Justice Project's Rule of Law Index. Additionally, Egypt appears to be improving in the areas of economic regulations and transformation, and government effectiveness. The Open Budget Survey results indicates that Egypt has made notable improvements in budget oversight. Additionally, the 2020 Doing Business report reveals that Egypt's rank moved up six places as a result of the recent reforms to the business sector carried out by the government. On the contrary, the areas in which Egypt has not yet witnessed significant improvements include voice and accountability, participation, rights and inclusion.

If Egypt's performance is examined by topic, the report notes some irregularities in the analysis. For example, despite several indices indicating that Egypt is improving in the area of rule of law, the World Justice Project's Rule of Law Index did not record any improvements throughout the past three editions, and Egypt's score remained steady throughout this period. This could be a result of the differences in sources of data and methodologies adopted by the examined indices. Moreover, some indices rely on data collected by non-governmental organizations (NGOs) regarding the perception of the public about the political system, which is often deemed as an unrepresentative and unindicative measure of reality. Additionally, due to the different methodologies followed by the examined indices, it becomes difficult to compare the scores in a fair manner. The main conclusion that the report draws is that coordinated efforts are needed to improve impressions and perceptions about Egypt's performance and the efforts exerted to boost government effectiveness in local and global contexts. These efforts by the government would not be successful unless they are undertaken in partnership and with the support of key stakeholders such as the media, the private sector, and the academic community.

Finally, this report also offers some insights into the efforts exerted by the Egyptian government to improve its performance in different areas of governance, as well as the challenges faced by Egypt, and recommendations that could help improve Egypt's performance in the examined indices.

AT A GLANCE

EGYPT'S PERFORMANCE IN GOVERNANCE INDICES

10 INDICES

IMPROVEMENT

Ease of Doing Business (World Bank)
e-Government Survey (United Nations)
Global Competitiveness Index (World Economic Forum)
Index of Economic Freedom (Heritage Foundation)
Open Budget Survey (International Budget Partnership)
Corruption Control and Prevention Index (Information and Decision Support Center)
Political Stability and Absence of Violence/Terrorism Indicator (World Bank)
Government Effectiveness Indicator (World Bank)
Regulatory Quality Indicator (World Bank)
Rule of Law Indicator (World Bank)

2 INDICES

NO CHANGE

Rule of Law Index (World Justice Project)
International Country Risk Guide (PRS Group)

6 INDICES

DETERIORATION

Law and Order Index (Gallup)
Corruption Perception Index (Transparency International)
Bertelsmann Transformation Index (Bertelsmann Stiftung)
Ibrahim Index for African Governance (Mo Ibrahim Foundation)
Voice and Accountability Indicator (World Bank)
Control of Corruption Indicator (World Bank)

WHAT CHANGED IN EGYPT'S PERFORMANCE IN GOVERNANCE INDICES?

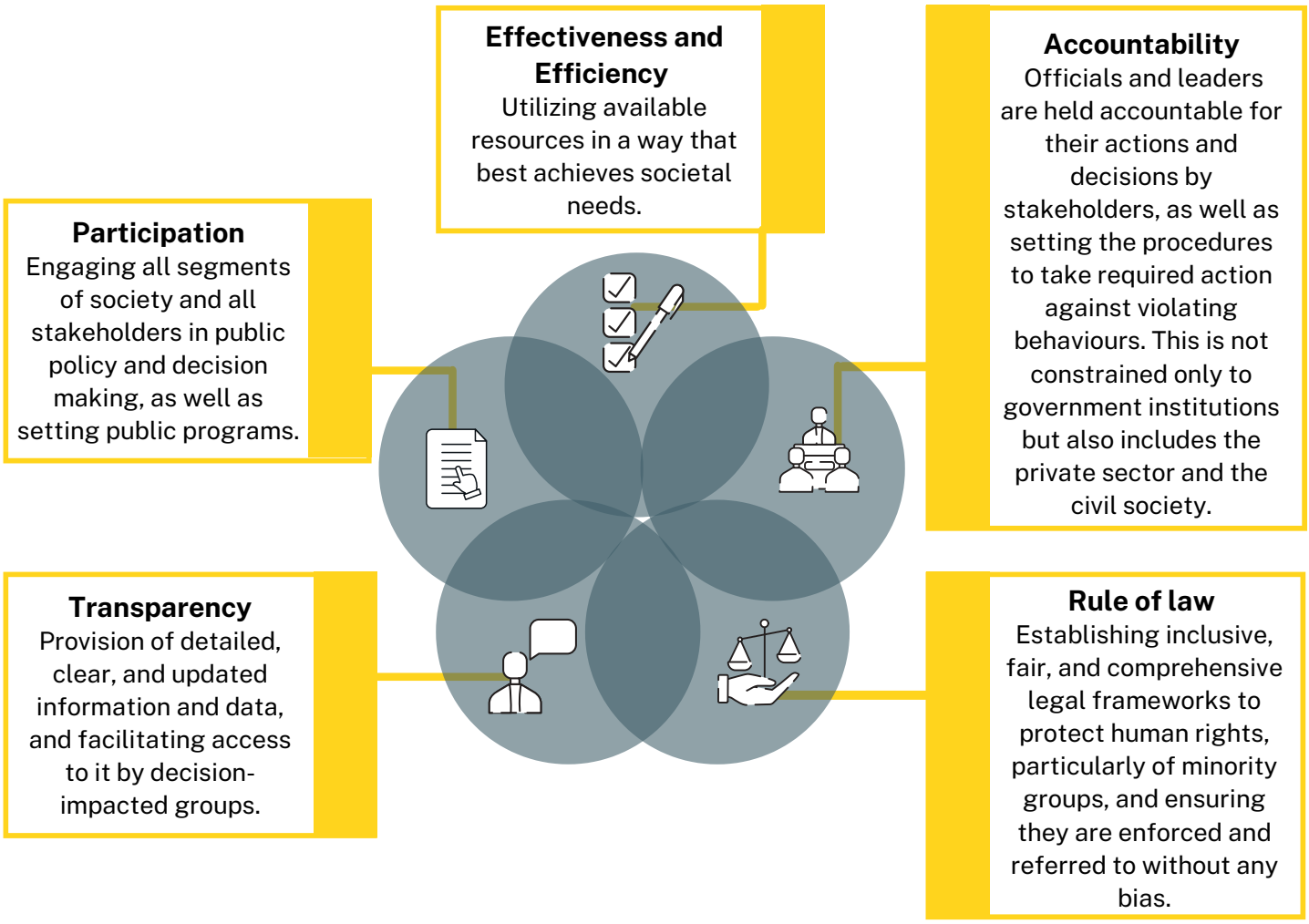
Index	Score		Rank
	in latest edition	compared to previous edition	Egypt's rank/No. of Countries
Worldwide Governance Indicators (2019)	Percentile Rank (0-100)		
Voice and Accountability	8.37	-4.39	-
Political Stability and Absence of Violence/Terrorism	12.86	+0.48	-
Government Effectiveness	36.54	+5.77	-
Regulatory Quality	18.75	+1.44	-
Rule of Law	37.98	+0.48	-
Control of Corruption	27.88	-3.85	-
	Score (0-100)		
Corruption Perception Index (2020)	33	-2	117/180
Ease of Doing Business (2020)	60.1	+1.54	114/190
Global Competitiveness Index (2019)	55	+1	93/141
Index of Economic Freedom (2020)	54	+1.5	142/186
Law and Order Index (2020)	89	-3	-
Open Budget Survey (2019)			
Transparency	43	+4	61/117
Public Participation	15	+4	-
Budget Oversight	50	+11	-
Ibrahim Index for African Governance (2020)	47.4	-1.5	30/54
Corruption Control and Prevention Index (2019)	43.5	+6.2	-
Bertelsmann Transformation Index (2020)	Score (0-10)		
Status Index	4.2	-0.08	104/137
Governance Index	3.86	-0.1	103/137
	Score (0-1)		
e-Government Survey(2020)	0.5527	+0.0647	111/193
Rule of Law Index (2020)	0.36	0	125/128
International Country Risk Guide (2018)	0.4445	0	-

GOVERNANCE: CONCEPTUAL FRAMEWORK

Broadly speaking, governance can be defined as a set of institutions, procedures, and traditions through which political, economic, and administrative power is exercised to administrate the country at various levels. This includes the following:

- The process by which governments are selected, monitored and replaced.
- The capacity of the government to effectively formulate and implement sound policies.
- The respect of citizens and the state for the institutions that govern economic and social interactions among them.
- Processes and institutions through which citizens and groups can express their interests, exercise their legal rights, uphold their obligations, and settle disputes.

Figure (1): Dimensions of Governance



On the other hand, **institutional governance**, in particular, is defined as the set of rules, laws, standards, and procedures according to which organizations are administered, and effectively monitored. Institutional governance is responsible for coordinating the interactions between parties within institutions and stakeholders, and it supports them to determine the organization's objectives and performance.

PUBLIC SECTOR GOVERNANCE

Public sector governance is defined as the set of legislations, policies, organizational structures, procedures, and controls that impact and shape the way a governmental body is directed and managed to achieve its objectives. Public sector governance ensures that governmental bodies act in a professional and ethical manner with integrity and transparency, and in line with monitoring and evaluation mechanisms and a strict system for accountability to ensure the effectiveness and efficiency of the performance, as well as the provision of fair and high-quality public services.

In other words, public sector governance is defined by the institutional framework, policies, and the main and supporting operations of the governmental agency that are used to achieve results and outputs that would benefit the community, with the underlying goal of preserving public money, as it is the state's means of providing and improving the quality of services provided to citizens and guarantee their rights, thus enhancing public welfare.

MEASURING THE QUALITY OF GOVERNANCE

Although the concept of governance is broad-ranging, it always encompasses certain dimensions such as government effectiveness, regulatory quality, voice and accountability, political stability, rule of law, and control of corruption. In order to achieve the desired objectives of "Good Governance", the applied standards and employed systems need to be measured and evaluated. Therefore, it is necessary to rely on available indices to measure the different dimensions of governance, whether in the public sector or on a country level, and to analyze the results to ascertain the areas of strength and weakness in the country's performance. There are numerous international organizations that publish indices that measure governance around the world, such as the World Bank, Transparency International, and the Mo Ibrahim Foundation in Africa. In the following sections, several international, regional and national indices will be examined, with a specific focus on Egypt's performance in them.

1 GLOBAL INDICES

WORLDWIDE GOVERNANCE INDICATORS (WGI)

BACKGROUND AND METHODOLOGY

The Worldwide Governance Indicators (WGIs) are a set of indicators that have been measuring the quality of governance since 1996 for more than 200 countries. These indicators are considered composite indicators, meaning that they rely on more than 30 opinion-based governance indices published by different international organizations, non-government organizations, private sector organizations or research tanks. The WGIs are composed of six indicators that represent six dimensions of governance, and they are:

Voice and Accountability
Captures the perceptions of the extent of citizens' freedom of expression, ability to form associations, their involvement in the process of choosing their government in addition to the media and press freedom, and freedom of information

Political Stability and Absence of Violence / Terrorism
Captures perceptions of the likelihood of political instability and/or politically-motivated violence including terrorism.

Government Effectiveness
Captures perceptions of the quality of government services, the quality of civil services and its independence of political pressures, the quality of the process of formulating and implementing public policies, and the credibility of the government in its commitment to such policies.

Regulatory Quality
Captures perceptions of the ability of government to formulate and implement sound policies that permit and promote private sector development.

Rule of Law
Captures perceptions of the extent to which citizens trust and abide the rules and laws of the country, and its enforcement particularly when it comes to contract enforcement, property rights, the effectiveness of police and courts, as well as the likelihood of crime or violence.

Control of Corruption
Captures perceptions of the extent to which public power is exercised for private gains, citizens trust in government employees and politicians, the prevalence of acts of corruption, and the availability of transparency and accountability mechanisms.

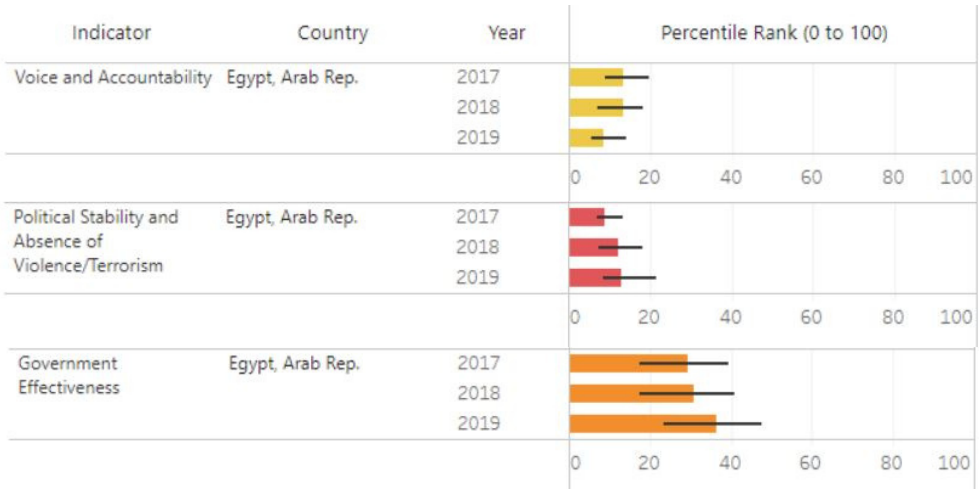
The WGIs use the indices provided by other organizations as their only source of data, therefore they aggregate the scores of each country in each dimension and reflect the opinions of experts, citizens, and businesses as reported by the sources.

Each indicator in the WGIs receives a score between −2.5 and 2.5, with a higher score indicating a higher level of governance. Percentile ranks are also calculated for each indicator for each country in the WGIs through calculating average scores from the country's scores in sources. A percentile rank is given on a scale of 0 (lowest score) to 100 (highest score). Unlike most indices, the WGIs country scores are accompanied by standard errors. This is to account for the possible differences in the numbers of sources for each country or discrepancies in scores from the sources. Therefore, a bigger standard error reflects the difficulty of measuring the quality of governance, given the difference in accuracy and number of sources for each country. Additionally, some of the WGIs sources are based on statistics while the rest is based on opinion surveys and perception surveys, which makes the evaluated score of some of these indices contingent to citizens' perceptions about the country.

EGYPT'S PERFORMANCE

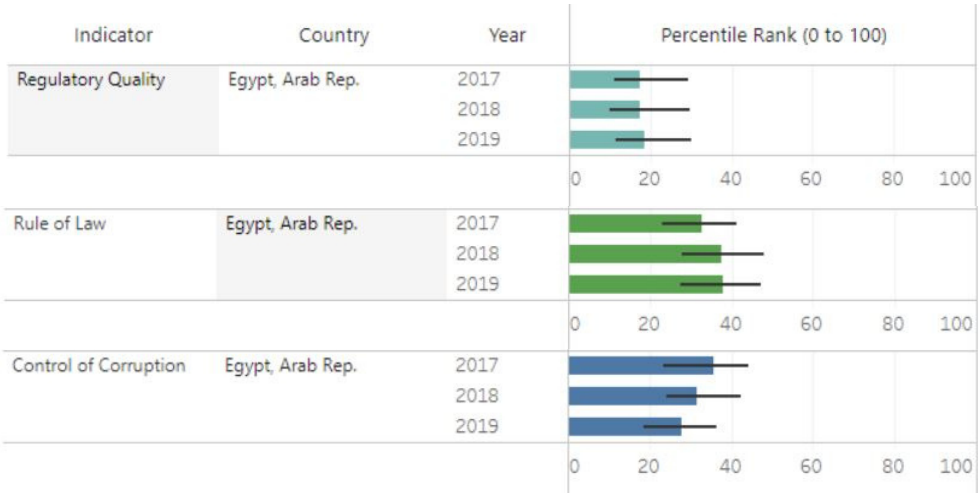
For the Voice and Accountability dimension, Egypt's percentile rank was 8.37 out of 100 in 2019, which is a decrease from the 2017 and 2018 scores of 13.3. There has been a positive trend in the Political Stability and Absence of Violence/Terrorism percentile rank between 2017 and 2019, as Egypt went up from 9.05 in 2017, to 12.38 in 2018, to 12.86 in 2019. Egypt also experienced a notable increase in the Government Effectiveness dimension, in which it scored 29.33 in 2017, 30.77 in 2018 and 36.54 in 2019. Egypt had a steady percentile rank of 17.31 in the Regulatory Quality dimension for 2017 and 2018, but there was a slight improvement in the 2019 score, which climbed to 18.75. Egypt managed to score highest for the Rule of Law dimension among the 6 dimensions, with a score of 37.98 in 2019. This score also reflects an increase from 32.69 in 2017 and 37.5 in 2018. Finally, Egypt witnessed a decline in the Control of Corruption dimension, as its score for 2019 was 27.88, down from 31.73 in 2018 and 35.58 in 2017.

Figure (2): Development of Egypt's Performance in the Worldwide Governance Indicators



Source: Worldwide Governance Indicators (2020)

Figure (2)- Continued: Development of Egypt's Performance in the Worldwide Governance Indicators



Source: Worldwide Governance Indicators (2020)

BERTELSMANN TRANSFORMATION INDEX (BTI)

BACKGROUND AND METHODOLOGY

The Bertelsmann Transformation Index (BTI) was first launched in 2006 with the aim of evaluating and analyzing the development and transformation of developing countries. The transformation process studied and quantified by experts is translated into two indices. The first is "The Status Index" and the second is "The Governance Index". The first covers two analytical dimensions, namely "Political Transformation" (measuring a country's path to democracy) and "Economic Transformation" (measuring a country's path to social market economy). The Governance Index measures the quality of political leadership and government that leads the process of transformation.

The BTI measures the performance of 137 developing countries against 17 criteria, with both quantitative and qualitative qualities. Each country's evaluation goes through a multi-step review by country experts, regional coordinators, the project team and the BTI board. Countries are given one score per index, each out of 10 points (10 being the best score) and are ranked among the 137 countries.

Figure (3): Bertelsmann Transformation Index Criteria

17 Criteria

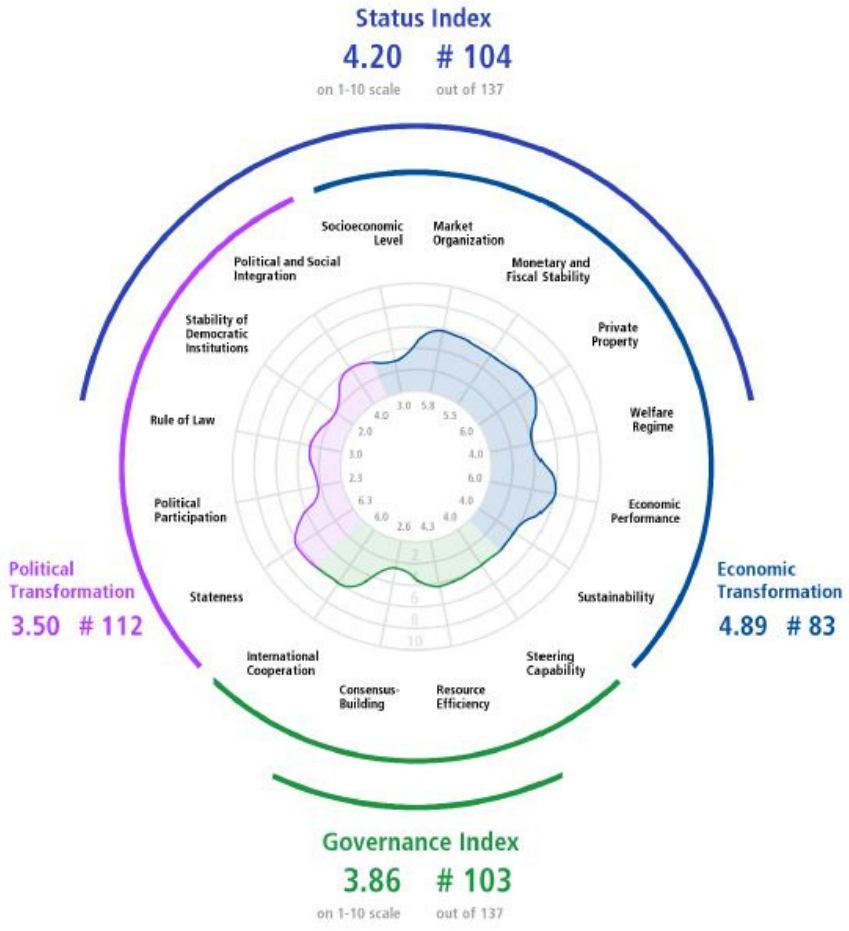
Political transformation – 5 Criteria	Economic transformation – 7 Criteria	Governance – 5 Criteria
Stateness	Level of socioeconomic development	Level of difficulty
Political participation	Organization of the market and competition	Steering capability
Rule of law	Monetary and fiscal stability	Resource efficiency
Stability of democratic institutions	Private property	Consensus-building
Political and social integration	Welfare regime	International cooperation
	Economic performance	
	Sustainability	

Source: Bertelsmann Transformation Index (2020)

EGYPT'S PERFORMANCE

In the 2020 report, Egypt scored 4.2 out of 10 for the Status Index, which placed it as the 104th country on the index scale. For the Governance Index, Egypt scored 3.86 out of 10, and was ranked 103rd on the scale. Notably, Egypt's score for the Political Transformation dimension is the lowest among all three dimensions at 3.5 out of 10. Compared to the previous report of 2018, Egypt's performance as measured by the BTI is slightly lower on both the Status Index and Governance Index.

Figure (4): Egypt's performance in the BTI



Source: Bertelsmann Transformation Index (2020)

CORRUPTION PERCEPTIONS INDEX (CPI)

BACKGROUND AND METHODOLOGY

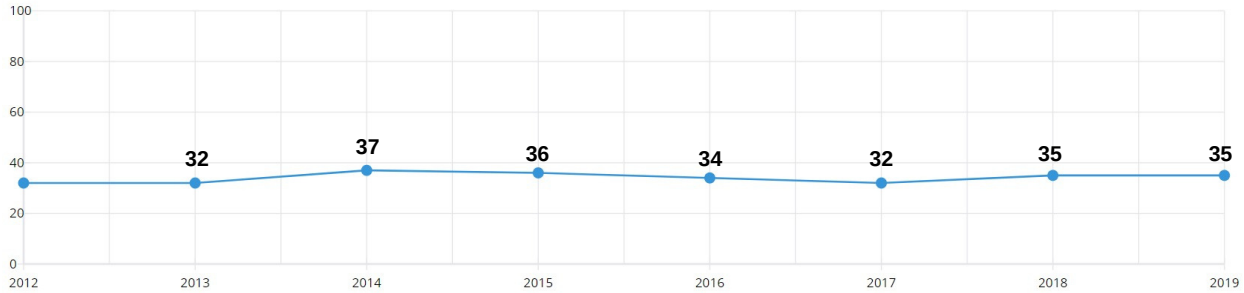
The Corruption Perception Index (CPI) is a composite index established by Transparency International, which measures the perceived level of corruption in the public sector through surveying experts and businesspeople. This index annually evaluates the perceived level of corruption of 177 to 182 countries, giving each country a score between 0 (highly corrupt) and 100 (very clean).

The index measures corruption through prevalence of specific behaviors such as bribery, embezzlement, abuse of power for personal interests, overpricing and favoritism in civil service. The index also examines the established anti-corruption mechanisms like mechanisms to hold corrupt leaders accountable, the government's ability to apply integrity measures, and the existence of adequate laws around financial disclosure and preventing conflicts of interest.

EGYPT'S PERFORMANCE

Monitoring Egypt's performance in the Corruption Perception Index over the years, it is apparent that Egypt's scores were consistently low. In the 2020 CPI report, Egypt scored 33 points out of 100, ranking it as the 117th country out of 180 countries included in this year's report. This is score is a deterioration compared to the 2019 score of 35 points, taking up the 106th place. However, following Egypt's performance in the CPI between 2012 and 2019, Egypt's score seems to be relatively stable over the past decade.

Figure (5): Development of Egypt's Performance in the Corruption Perception Index



Source: Corruption Perception Index (2020), Transparency International

EASE OF DOING BUSINESS

BACKGROUND AND METHODOLOGY

The Doing Business project was launched by the World Bank Group in 2002 and currently includes 190 countries in its analysis. The project examines the regulatory environment for small and medium-sized companies, measures the performance of different countries, concerning business regulations through a set of indicators, and then presents the outcome in an annual report. The report offers countries an assessment and comparison of their performance and includes a subnational study to show the performance of different regions within a country.

The index covers 10 topics, which are informed by 41 indicators. Each country gets a score (out of 100) and rank for each topic, and the 10 scores are aggregated to give the overall score.

Table (1): Doing Business Topics

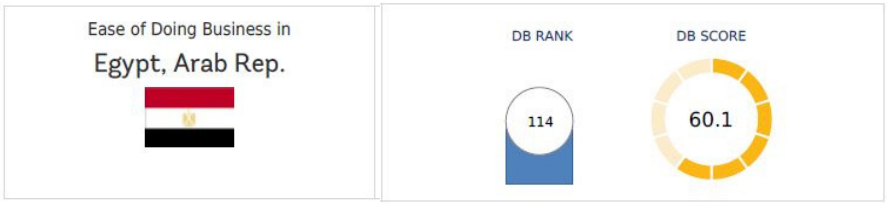
Starting a business	Procedures, time, cost and paid-in minimum capital to start a limited liability company
Dealing with construction permits	Procedures, time and cost to complete all formalities to build a warehouse and the quality control and safety mechanisms in the construction permitting system
Getting electricity	Procedures, time and cost to get connected to the electrical grid, and the reliability of the electricity supply and the transparency of tariffs
Registering property	Procedures, time and cost to transfer a property and the quality of the land administration system
Getting credit	Movable collateral laws and credit information systems
Protecting minority investors	Minority shareholders' rights in related-party transactions and in corporate governance
Paying taxes	Payments, time, total tax and contribution rate for a firm to comply with all tax regulations as well as postfiling processes
Trading across borders	Time and cost to export the product of comparative advantage and import auto parts
Enforcing contracts	Time and cost to resolve a commercial dispute and the quality of judicial processes
Resolving insolvency	Time, cost, outcome and recovery rate for a commercial insolvency and the strength of the legal framework for insolvency

Source: Chapter 6:Ease of Doing Business Score and Ease of Doing Business Ranking, Doing Business Report (2020)

EGYPT'S PERFORMANCE

Egypt's overall score in the 2020 report was 60.1 and was ranked 114th out of 190 countries. While countries' score is out of 100 points, it is important to note that the highest faring economy, namely New Zealand, has a score of only 86.8.

Figure (6): Egypt's performance in the Doing Business Report



Source: Country Profile: Egypt, Arab Rep., Doing Business Report (2020)

Egypt's position has improved compared to the previous report as it climbed six places, going from the 120th rank to 114th in 2020. The score also improved going up to 60.1 from 58.56 in 2019. Overall, Egypt was one of 42 economies to have improved across 3 or more topics, and according to the 2020 report. This was due to several regulatory steps that Egypt has taken along the year. Abolishing the requirement to obtain a certificate on non-confusion, improving its one-stop shop, and the new tax paying system are a few steps that made starting and operating a business much easier. Additionally, the business environment and protection of minorities are more regulated due to the improvements to the reliability of electricity supply and the requirement of shareholder approval when companies list new shares.

Figure (7): Egypt's scores and ranks in the Doing Business topics



Source: Country Profile: Egypt, Arab Rep., Doing Business Report (2020)

E-GOVERNMENT SURVEY

BACKGROUND AND METHODOLOGY

The E-Government Survey was launched by the United Nationals Department of Economic and Social Affairs (UN DESA) in 2001 and has been published every two years since then. The survey produces a comparative analysis of countries' performance rather than an absolute measure, so that countries can learn from each other.

The survey focuses on assessing the public services that can be attained using e-government, as well as assessing the growth of e-government and areas of improvement for all 193 United Nations Member States. The survey depends on three dimensions that evaluate how well people are able to benefit from the e-government services. These dimensions are the adequacy of telecommunication infrastructure, the ability of human resources to promote and use ICTs, and the availability of online services and content.

The Survey is able to quantify e-government performance on the national level via the United Nations E-Government Development Index (EDGI), which is a weighted average of three indices. The first is the Telecommunications Infrastructure Index (TII), the second is the Human Capital Index (HCI) and the third is the Online Service Index (OSI). The EDGI measures how prepared and capable national institutions are to use ICTs to deliver public services. The EDGI, as well as its three indices all have four score ranges: Low (0-0.25), Middle (0.25-0.5), High (0.5-0.75) and Very High (0.75-1).

EGYPT'S PERFORMANCE

Egypt has been newly added to the EDGI country group in 2020 and has attained a High EDGI status with a score of 0.5527 and was included among the top countries with e-government in Africa. It currently ranks 111th out of 193 countries, up from 114th in 2018, due to the increase in score from 0.488, which was the equivalent of a Middle EDGI status. Within the EDGI, Egypt was commended in the report for having a high OSI value at 0.5706, which was the result of impressive advancements in online service provision. While Egypt's HCI value was also high at 0.6192, its TII score still has a Middle status with a score of 0.4683. Nonetheless, Egypt's ICT 2030 Strategy was mentioned in the report, drawing attention to the provisions for the digital transformation of government services.

Figure (8): Egypt's performance in the E-Government Survey

Country	Group	Rank 2018	Rank 2020	EGDI 2020	Rank Change
Egypt	HEGDI	114	111	0.5527	+3

Sources: United Nations e-Government Knowledgebase (2020)

THE GLOBAL COMPETITIVENESS INDEX (GCI)

BACKGROUND AND METHODOLOGY

Since 1979, the World Economic Forum (WEF) has been studying the competitiveness of nations, and annual Global Competitiveness Reports have examined the factors enabling national economies to achieve sustained economic growth and long-term prosperity. It was in this context that in 2004 the World Economic Forum introduced the Global Competitiveness Index (GCI), a comprehensive index for measuring national competitiveness, taking into account the microeconomic and macroeconomic foundations of national competitiveness.

The newest edition of the index, GCI (4.0), was published in 2018. The following table shows the main four dimensions measured by the index.

Table (2): The Global Competitiveness Index Pillars

Enabling Environment	Markets
Pillar 1 Institutions	Pillar 7 Product market
Pillar 2 Infrastructure	Pillar 8 Labour market
Pillar 3 ICT adoption	Pillar 9 Financial system
Pillar 4 Macroeconomic stability	Pillar 10 Market size
Human Capital	**Innovation Ecosystem**
Pillar 5 Health	Pillar 11 Business dynamism
Pillar 6 Skills	Pillar 12 Innovation capability

Source: The Global Competitiveness Index Report, World Economic Forum (2019)

EGYPT'S PERFORMANCE

According to the 2019 Global Competitiveness Index report, Egypt ranked 93rd out 141 countries, with an overall score of 55 on a scale of 100 (100 being the best score). Egypt is currently placed within the low-middle income country group, and the Middle East and North Africa group. It is important to note that the number of countries included in the report varies from year to year, which in turn affects Egypt's position and rank. Additionally, Egypt has a score for each pillar out of 100 and a rank amongst other countries.

Compared to the 2018 report, Egypt's rank has improved by 1 place, going from 94th to 93rd, with the overall score increasing 1 point as well. Most notably, Egypt's performance improved for all pillars of the Enabling Environment dimension, except for the ICT Adoption pillar, as its score remained the same. Egypt's performance in the pillars of the Human Capital dimension deteriorated slightly in 2019. For the Markets dimension, Egypt improved across all four pillars, and it improved across both pillars of the Innovation Ecosystem dimension.

Table (3): Egypt's Performance in the GCI (2018-2019)

Area	Pillar	Score/100 (2019)	Rank/141 Countries (2019)	Score/100 (2018)	Rank/141 Countries (2018)
Enabling Environment	Institutions	51	82	48	102
	Infrastructure	73	52	70	56
	ICT Adoption	41	106	41	100
	Macroeconomic Stability	45	135	51	135
Human Capital	Health	65	104	69	99
	Skills	54	99	53	99
Markets	Product Market	51	100	48	121
	Labor Market	49	126	46	130
	Financial System	56	92	52	99
	Market size	74	23	73	24
Innovation Ecosystem	Business Dynamism	56	95	54	97
	Innovation Capability	40	61	38	64

Source: Global Competitiveness Index Report, World Economic Forum (2018 – 2019)

INDEX OF ECONOMIC FREEDOM

BACKGROUND AND METHODOLOGY

For twenty-six years, the Heritage Foundation has released the Index of Economic Freedom annually with the aim of providing clear and user-friendly information about economic freedom, prosperity and opportunities in 186 countries. The Index cross-examines the progress of economic freedom against other desirable social and economic goals such as human development, democracy, and the elimination of poverty.

The Index measures economic freedom through 12 factors that are grouped into four major categories as follows:

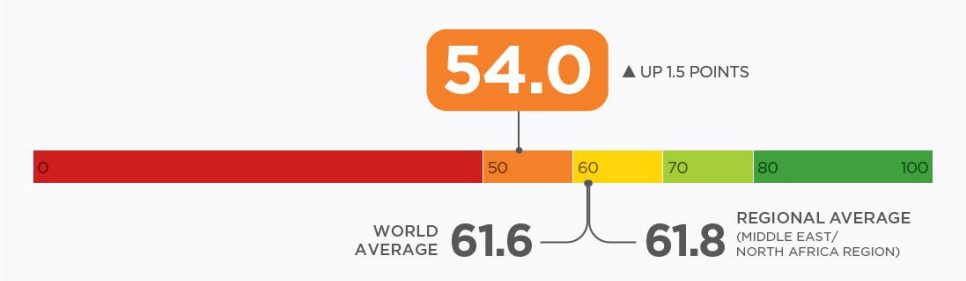
1. **Rule of Law** (property rights, government integrity, judicial effectiveness)
2. **Government Size** (government spending, tax burden, fiscal health)
3. **Regulatory Efficiency** (business freedom, labor freedom, monetary freedom)
4. **Open Markets** (trade freedom, investment freedom, financial freedom)

Each of the 12 factors is given a score between 0 (lowest score) and 100 (highest score), and the average of those scores gives the country's overall score.

EGYPT'S PERFORMANCE

Egypt's score in the 2020 report is 54 out of 100, which ranks its economy as the 142nd among the 186 countries in the report. This score is up 1.5 points from the score of the previous year, mainly due to the increase in the property rights score. Admittedly, Egypt is below the regional and global averages, and ranks 11th out of 14 country examined in the region. However, Egypt has a notably high score of 86.1 for the Tax Burden factor within the Government Size category; however, within the same category it has a score of 2.8 out of 100 for fiscal health.

Figure (9): Egypt's performance in the Index of Economic Freedom



Source: Egypt, Index of Economic Freedom, Heritage Foundation (2020)

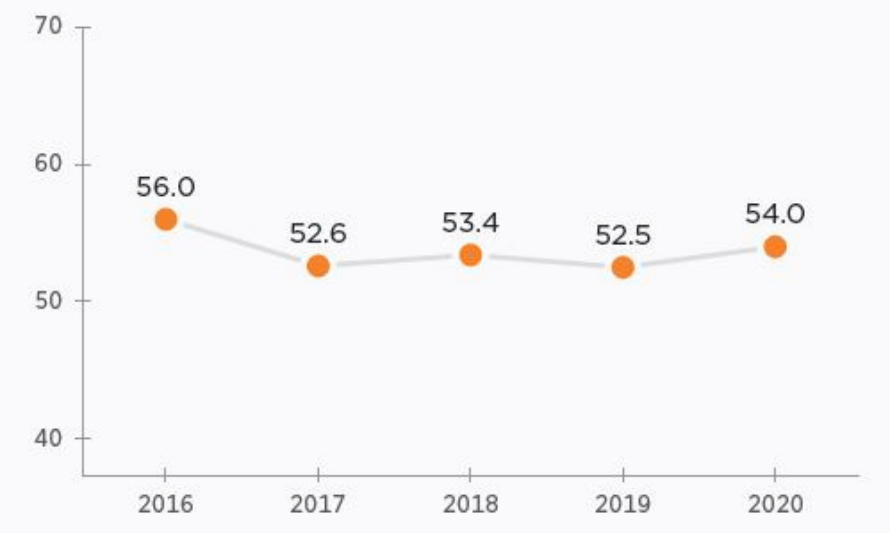
Table (4): Egypt's performance in the Index of Economic Freedom

OVERALL SCORE 54.0			WORLD RANK 142
RULE OF LAW		**GOVERNMENT SIZE**	
Property Rights	48.5 ↑	Tax Burden	86.1 ↑
Judicial Effectiveness	51.2 ↑	Government Spending	69.9 ↑
Government Integrity	34.0 ↑	Fiscal Health	2.8 ↑
REGULATORY EFFICIENCY		**OPEN MARKETS**	
Business Freedom	62.0 ↓	Trade Freedom	70.2 ↓
Labor Freedom	51.5 ↓	Investment Freedom	60.0 —
Monetary Freedom	61.3 ↓	Financial Freedom	50.0 —

Source: Egypt, Index of Economic Freedom, Heritage Foundation (2020)

The below figure shows the development of Egypt's performance since 2016 and it shows a relatively steady trend in Egypt's score in the index, with an average score of 53.7.

Figure (10): Development in Egypt's performance in the Index of Economic Freedom (2016-2020)



Source: Egypt, Index of Economic Freedom, Heritage Foundation (2020)

LAW AND ORDER INDEX

BACKGROUND AND METHODOLOGY

In line with Goal 16 of the Sustainable Development Goals (SDGs), promoting peaceful and inclusive societies for sustainable development, Gallup developed the Law and Order Index in 2005 to measure how safe citizens feel in their country. The Index currently covers 144 countries and each country is given a score out of 100 points and arranged in order of their scores.

The Index mainly relies on citizens' perception, which Gallup obtains through telephone and face-to-face interviews with 1000 adults (age 15 and up) from each country. This sample of people are asked to answer four question to gauge their sense of personal security and their experiences with law enforcement and crime in their city. These questions are:

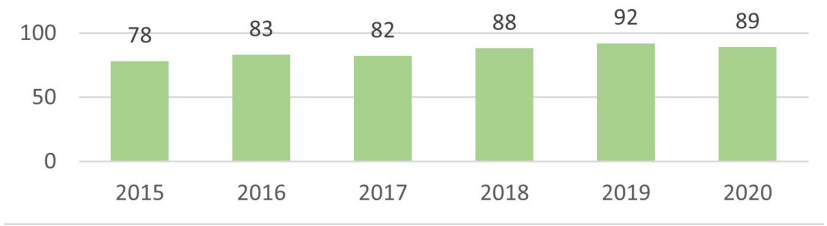
- In the city or area where you live, do you have confidence in the local police force?
- Do you feel safe walking alone at night in the city or area where you live?
- Within the last 12 months, have you had money or property stolen from you or another household member?
- Within the past 12 months, have you been assaulted or mugged?

EGYPT'S PERFORMANCE

In the 2020 report, Egypt had a score of 89, and it held the 18th place amongst the 144 countries in the Index. This score is a decrease from the 2019 score of 92, which knocked Egypt back ten places. However, Egypt is well above other countries in the region, with the only two countries above it being Kuwait and the United Arab Emirates. Egypt's score is also tied with Saudi Arabia and Indonesia.

The below figure shows that Egypt has been able to increase its score over the past five years and maintain a strong position in the index.

Figure (11): Development in Egypt's performance in the Law and Order Index (2015-2020)



Source: Gallup, Law and Order Index Report (2015 – 2020)

Table (5): Country scores in the Law and Order Index (2020)

COUNTRY/AREA	LAW AND ORDER INDEX
Singapore	97
Turkmenistan	97
China	94
Iceland	93
Kuwait	93
Austria	92
Norway	92
Switzerland	92
United Arab Emirates	92
Uzbekistan	92
Azerbaijan	91
Tajikistan	91
Denmark	90
Finland	90
Luxembourg	90
Slovenia	90
Taiwan, Province of China	90
Egypt	89
Indonesia	89
Saudi Arabia	89

Source: Gallup, Law and Order Index Report (2020)

RULE OF LAW INDEX

BACKGROUND AND METHODOLOGY

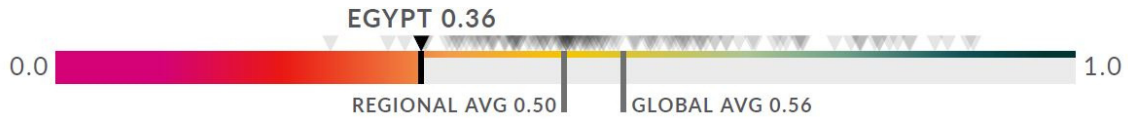
The Rule of Law Index was developed by the World Justice Project (WJP) and is released annually since 2008, to quantify and measure the implementation of the rule of law in countries around the world. The Rule of Law Index relies on two main data sources, namely the General Population Poll (GPP) and the Qualified Respondents Questionnaires (QRQs). The former is conducted by local polling companies using a representative sample of 1000 respondents in each country, while the latter consists of close-ended questions completed by in-country legal practitioners, experts, and academics in the various fields of law. The topics covered by these two methods are related to the adherence to the rule of law when it comes to policy implementation, civilian access to courts, crime control and other spects. Overall, the index emphasizes the experience and perception of the public as the main tool to access how effectively the rule of law is applied.

The WJP developed a conceptual framework for the Rule of Law Index, comprised of 8 factors and broken down into 44 sub-factors. The 2020 index report covers 128 countries in its analysis and each country is given a score on a scale of 0-1, with 1 indicating the strongest adherence to the rule of law. Countries are also ranked according to their performance.

EGYPT'S PERFORMANCE

In the 2020 report, Egypt was given a score of 0.36 and was ranked globally as 125th. It was ranked lowest amongst the 8 countries in the region that were included in the report*. Egypt's inclusion in the index is relatively recent, thus the data on Egypt only goes back to 2015. Looking at the trend of Egypt's performance throughout this period (2015 – 2020), Egypt's scores in 2016 and 2017 were lower than its score in 2015. However, between 2017 and 2020, Egypt's score has been steady at 0.36. The best score achieved by Egypt across the four factors was that of Order and Security (0.57), which is still lower than the regional and global averages of 0.72. Egypt achieved the lowest scores in the Open Government, Constraints on Government Power and Fundamental Rights factors with scores of 0.22, 0.27 and 0.28 respectively.

Figure (12): Egypt's performance in the Rule of Law Index (2020)



(Source: Rule of Law Index, World Justice Project (2020

*Countries (in order of rank in the Index): United Arab Emirates, Jordan, Tunisia, Morocco, Algeria, Lebanon, Iran, and Egypt.

Figure 13: Development in Egypt's performance in the Rule of Law Index (2015-2020)

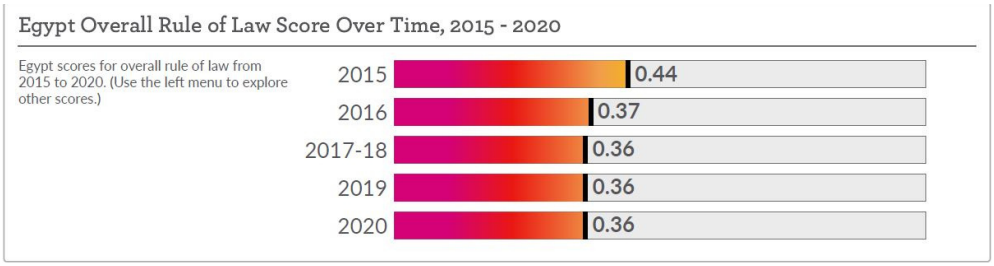
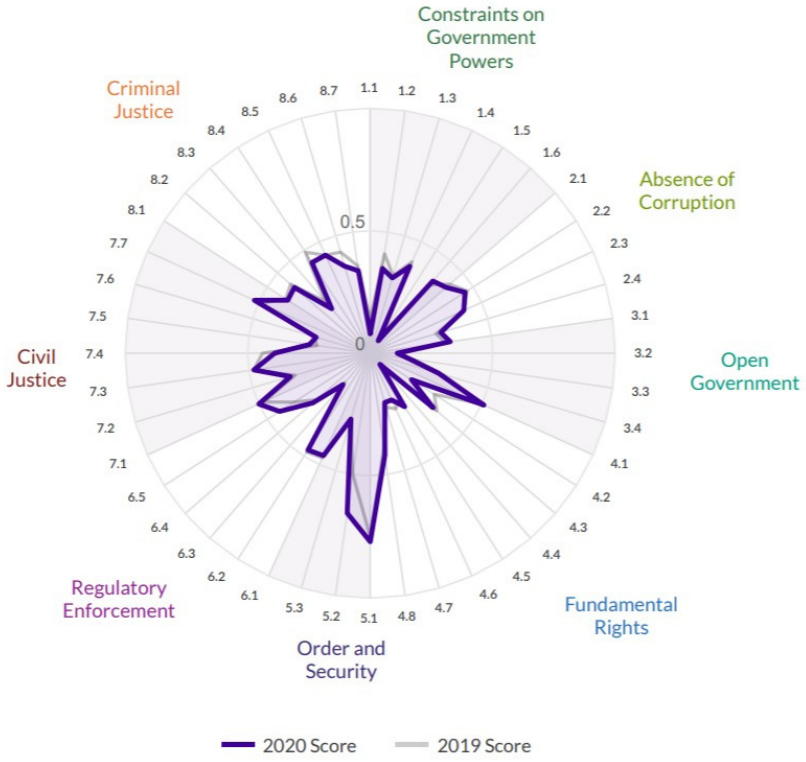


Figure (14): Egypt's Performance in the Rule of Law Index (2020)



Source: Rule of Law Index, World Justice Project (2020)

OPEN BUDGET SURVEY

BACKGROUND AND METHODOLOGY

The Open Budget Survey (OBS) is a fact-based research instrument that ranks and scores countries based on the transparency and accessibility of the central government's budget and budgetary decisions. This index was established by the International Budget Partnership and was first launched in 2006. The index compares countries' performance within 3 dimensions: Transparency, Public Participation and Budget Oversight. The performance of each country is assessed based on a survey of 228 questions that is answered by civil society organization researchers that are based in the surveyed country, and then reviewed by an independent expert and a government representative from the surveyed country.

The 2019 report included 117 countries, with each having a score on a scale of 0 to 100 for each dimension. The Transparency component of the OBS is perceived as the Open Budget Index score, for which a country is assessed for the online availability, timeliness and comprehensiveness of eight key budget documents. A Transparency score of 61 or above indicates that enough material is made available by the government to support an informed public about the
budget.

EGYPT'S PERFORMANCE

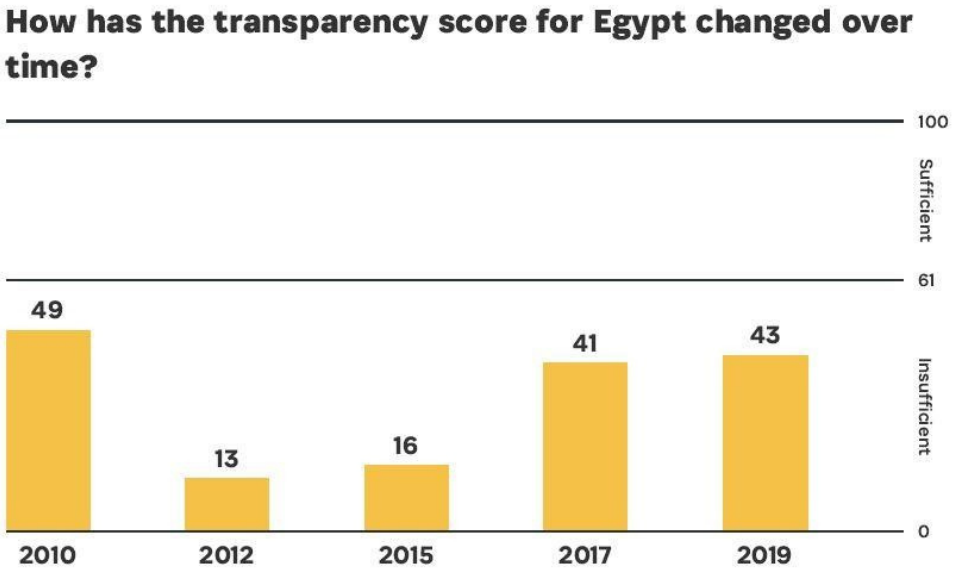
In the 2019 report, Egypt scored 43 on the Transparency scale, 15 on the Public Participation scale and 50 on the Budget Oversight scale. Egypt is slightly below the global average of 45 for the Transparency scale, and slightly above the global average of 14 for the Public Participation scale. Overall, the government's effort towards greater transparency were reflected in the drastic improvement of Transparency score since 2012. This improvement was attributed to the publishing of the Mid-Year Review and End-Year Review online in a timely manner. However, the same cannot be said for the Pre-Budget Statement and the Citizens budget.

Figure (15): Egypt's performance in the Open Budget Survey (2019)



Source: Open Budget Survey, Egypt Country Profile (2019)

Figure (16): Development in Egypt's Transparency score (2010-2019)



Source: Open Budget Survey, Egypt Country Profile (2019)

INTERNATIONAL COUNTRY RISK GUIDE

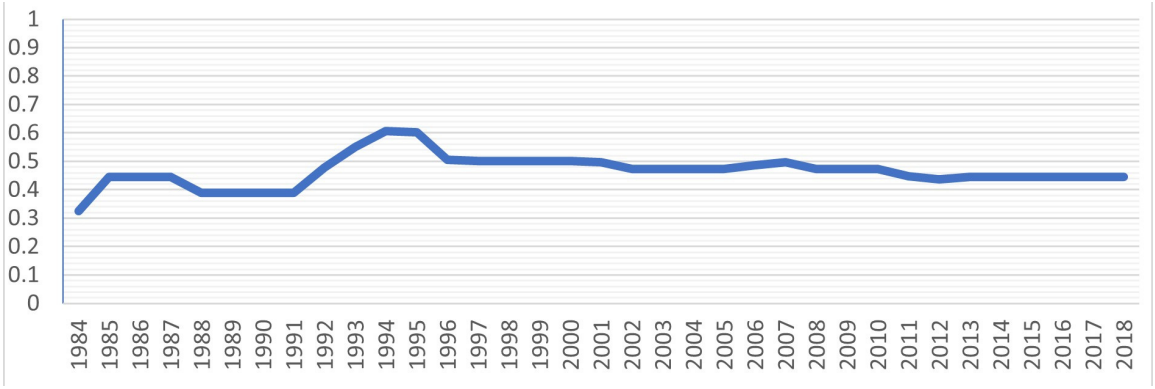
BACKGROUND AND METHODOLOGY

The International Country Risk Guide (ICRG) produces, forecasts and compares economic, political and financial risk ratings for 140 countries. The ICRG has been published annually by Political Risk Services organization since 1980. It is also one of a dozen sources from which Transparency International (TI) collects data on corruption scores that is used in the organization's annual Corruption Perceptions Index. The guide measures 3 variables which are Corruption, Law and Order, and Bureaucracy Quality, with each being scored on a scale of 0–1. The higher the score, the higher the quality of government.

EGYPT'S PERFORMANCE

As of 2018, Egypt's score for the ICRG was 0.4445, which has not changed since 2013. Over the past decade, Egypt's score declined between 2010 and 2012, before it increased and steadied in 2013 to remain at 0.4445. The diagram below shows the progression of Egypt's score between 1984 and 2018.

Figure (17): Development of Egypt's score in the International Country Risk Guide (1984-2018)



Source: Quality of Government (QoG) Dataset (2020).

2 REGIONAL INDICES

IBRAHIM INDEX OF AFRICAN GOVERNANCE

BACKGROUND AND METHODOLOGY

The Ibrahim Index of African Governance (IIAG) is concerned with measuring governance and control of corruption for African countries. The Mo Ibrahim foundation has been publishing this index since year 2000, where it evaluates the performance of each country in four main dimensions of governance and gives each country an overall score and a score for each dimension on a scale of 0 (lowest score) to 100 (highest score). The index has been recently updated in 2020 to include more sub-indices.

It is worth mentioning that the index is published annually, and each edition of the index analyzes a country's performance throughout the previous years, and as compared to other African countries as well. The following figure shows the main dimensions of the IIAG and the sub-indices that are encompassed by each dimension.

Figure (18): Components of the Ibrahim Index of African Governance



Source: Ibrahim Index of African Governance Report, Mo Ibrahim Foundation (2020)

EGYPT'S PERFORMANCE

Overall, Egypt's score in the latest release of the IIAG was 47.4 out of 100 points, ranking as the 30th out of the 54 African countries.

Figure (19): Egypt's performance in the Ibrahim Index of African Governance



Source: Ibrahim Index of African Governance Report, Mo Ibrahim Foundation (2020)

Examining Egypt's performance in the IIAG over the years, although Egypt's scores between 2010 and 2019 were relatively steady, there was a slight improvement as shown in the table below. This improvement is noticeable particularly post 2013, with some slight fluctuations. The dimensions that Egypt ranked and scored highest in – among the 54 African countries included in the index – are human development, foundations for economic opportunity, while Egypt's lowest ranks and scores were in the dimensions of security and rule of law, and participation, rights and inclusion.

Table (6): Egypt's performance in the components of the IIAG (2010-2019)

MEASURE	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	AT '10-'19
OVERALL GOVERNANCE	46.9	47.0	48.1	44.9	45.6	46.6	48.4	49.0	48.9	47.4	+0.5
SECURITY & RULE OF LAW	42.6	41.4	42.2	37.2	37.6	37.8	41.4	43.2	43.6	39.0	-3.6
PARTICIPATION, RIGHTS & INCLUSION	27.6	29.0	31.5	26.0	25.6	27.8	27.5	26.9	24.2	23.8	-3.8
FOUNDATIONS FOR ECONOMIC OPPORTUNITY	55.6	55.8	56.7	54.3	57.4	59.7	62.6	62.5	63.3	61.6	+6.0
HUMAN DEVELOPMENT	61.8	61.8	61.8	62.1	61.7	61.4	62.0	63.3	64.6	65.4	+3.6

Source: Ibrahim Index for African Governance, Mo Ibrahim Foundation (2020)

3 NATIONAL INDICES

CORRUPTION CONTROL AND PREVENTION INDEX

BACKGROUND AND METHODOLOGY

The Egyptian Cabinet's Information and Decision Support Center developed a national index that measures the perception of corruption control in Egyptian governorates through phone call surveys to citizens (18+ years), and the perceptions of experts and corporate officials.

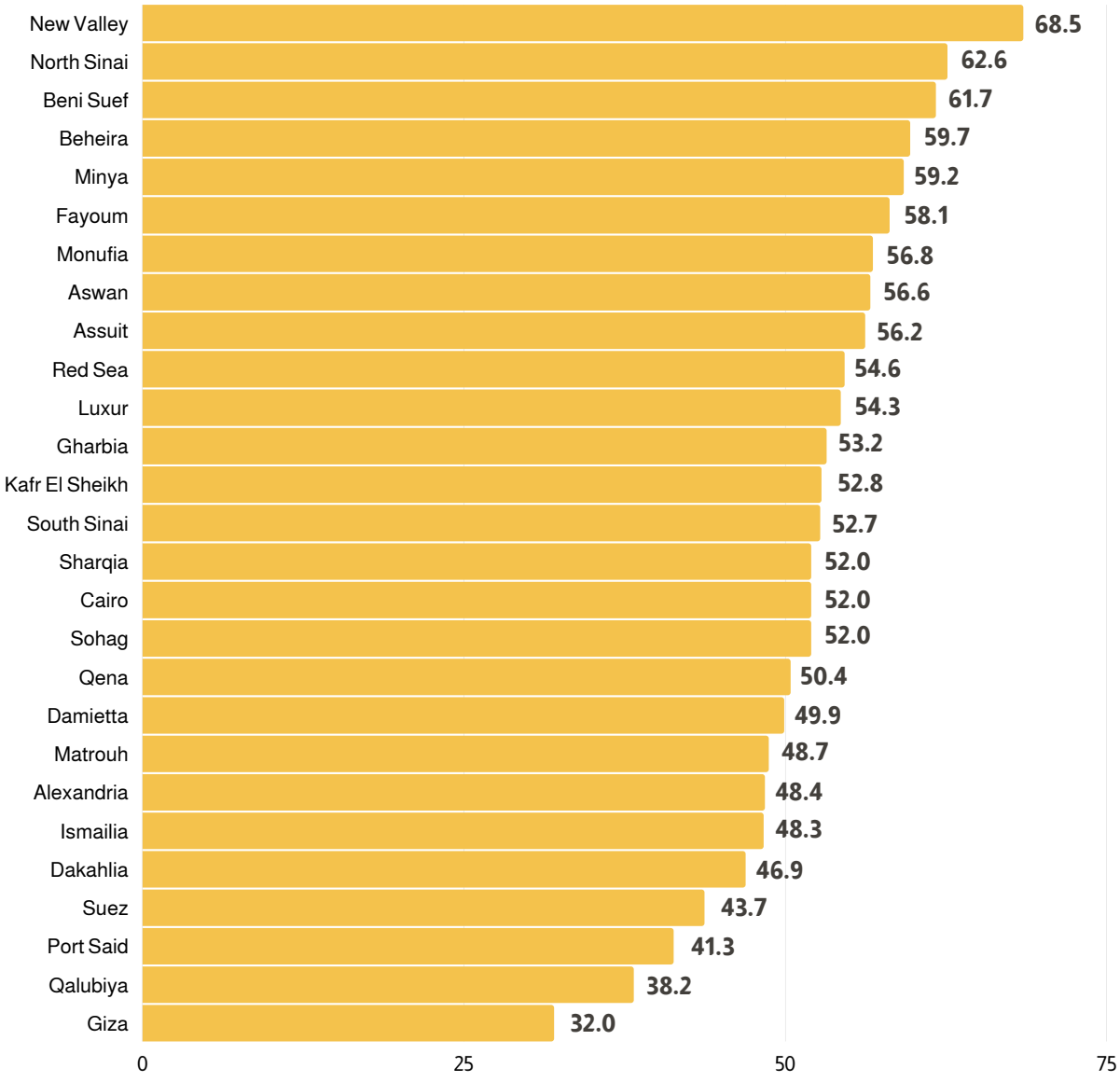
The Corruption Control and Prevention Index is an annual index that measures Egyptian citizens' perception about administrative corruption in Egypt, and its prevalence in public institutions and the government sectors (health – education – banks – roads and traffic…etc.). Additionally, the index assesses citizens' personal experiences in dealing with instances of corruption. The index is comprised of two sub-indices: the Administrative Corruption Perception Index and the Perception of Control and Prevention of Administrative Corruption Efforts. The index calculates a score for each governorate in Egypt and for Egypt as a whole, each on a scale of 0 (wide-spread corruption) and 100 (no instances of corruption).

EGYPT'S PERFORMANCE

The first edition of the index was published in 2007, in which Egypt had a score of 66 out of 100 points. In more recent years, Egypt scored 31.2 in 2016, which reflects the survey populations' negative perceptions, suggesting a high prevalence of corruption. In 2017, Egypt's score improved to 37.3, reflecting a slight improvement in opinions about corruption in Egypt. In the latest edition of the index in 2018, Egypt's score improved again to become 43.5.

According to the analysis of the survey results, experts have the best perception about the prevalence of corruption in Egypt, compared to citizens and corporate officials. Additionally, the data also implies that the higher the educational level of the surveyed citizen, the more they are aware about not only the prevalence of corruption, but also the existence of anti-corruption measures, due to their ability to access information more easily and their increased interaction with the administrative apparatus. Citizens' perception about corruption also changes with age, gender, and residential region, such that youth, males, and residents of urban areas are more likely to perceive corruption. The citizen survey also revealed that bribes, gifts, and gratuities are the most common manifestations of corruption, with courtesy of relative, nepotism, and abuse of influence coming in second place. Between governorates, New Valley, North Sinai, and Beni Suef are the most aware of anti-corruption efforts, while the citizens of Giza, Qalubiya, and Port Said are the least aware of the anti-corruption efforts.

Figure (20): Citizens' perception of corruption prevention measures by governorate for 2018



Source: Corruption Control and Prevention Index, Information and Decision Support Center (2019)

EGYPT'S EFFORTS TO ENHANCE THE QUALITY OF GOVERNANCE

The issue of governance is of great importance in Egypt. First and foremost, the Egyptian constitution stipulates the adherence of the economic system to measures of transparency and governance, in addition to citizens' rights to access information, data and official documentation. The Egyptian constitution also considers the rule of law as the main principle of governance, and as a necessity to support monetary, administrative, and economic decentralization of the state. To further emphasize the importance of this issue, Egypt included governance as one of the main goals of its sustainable development strategy – Egypt Vision 2030. This goal encompasses the state's desire to overcome the challenges that arise while applying governance. It seeks to achieve this mainly through developing new and existing legislations that support governance, as well as enforcing rule of law, emphasizing integrity, transparency, accountability, fighting corruption, participation, and social responsibility values. Additionally, it prioritizes the development of an effective, open, and efficient administrative apparatus, with the establishment of good monitoring and evaluation mechanisms.

In recent years, Egypt has also been reinforcing the importance of governance principles in the state's administrative apparatus to increase the efficiency of service provision, and to strengthen transparency, accountability, and the fight against corruption. This is done through the implementation of numerous reforms, and the application of a set of disciplined and stringent mechanisms to ensure preserving the rights of the state, namely:

1. Introducing the concept and practices of good governance in governmental institutions, and linking them with the concepts of administrative reform, and achieving integrity and transparency.
2. Supporting the main accountability mechanisms inside governmental institutions, through developing monitoring and evaluation units, and through establishing indicators to measure the performance of governmental institutions.
3. Supporting partnerships between government, private sector, and civil society organizations in areas of administrative reform and fighting corruption.
4. Providing consultancy services in the areas of good governance and anti-corruption mechanisms for the different governmental units.
5. Contributing to the training of government cadres which are capable of formulating policies and setting governance plans and strategies.
6. Providing technical support for ministerial units and the Sub-National Coordinating Committee for Preventing and Combating Corruption to achieve transparency and follow up on Egypt's commitments to realize the United Nations Convention against Corruption.

More details can be found in the following sections on the efforts made by Egypt to enhance the quality of governance in various fields.

Administrative Reform

- The Technical Secretariat of the Supreme Committee for Administrative Reform and its sub-committees were formed by the Minister of Planning and Economic Development Decree No. 1 of 2019, in continuation of the Prime Minister's Decree No. 1321 of 2017 to form the Supreme Committee for Administrative Reform.
- Civil Service Law No. 81 of 2016 and its executive regulations were issued, with the aim of reforming the state's administrative apparatus. The departments of personnel affairs have also been transformed into human resources departments that work on applying modern concepts in management.
- The Egypt Award for Government Excellence was launched to stimulate the spirit of competition and excellence at the level of government employees and institutions.
- The state is working on capacity building of government employees through several training programs within the framework of building and developing the capabilities of employees of the state's administrative apparatus.
- A new organizational structure has been introduced in the state's administrative apparatus, in accordance with the Prime Minister's Decree No. 1146 of 2018, which mandated the establishment of strategic planning and policy units, monitoring and evaluation units, internal auditing units, human resources units, legislative support units, and information systems and digital transformation units in all government offices at the central and local levels.

Digital Transformation and the Development of Monitoring and Evaluation Information Systems

- The Egyptian state has adopted a new government performance monitoring system, which is an electronic system that monitors the achievement of the government's work program, and the annual sustainable development plans emanating from it on a quarterly basis. This system is considered one of the tools that contributes to identifying and analyzing the risks and challenges facing government agencies in achieving their goals. This system relies on the methodology of the programs and performance plan in order to achieve the objectives of the government's work program, and it is also linked to the state's general budget to ensure efficient resource allocation.
- The establishment of the National Council for Payments in accordance with Presidential Decree No. 89/2017, and the establishment of the Supreme Council for the Digital Community, in accordance with Presidential Decree No. 501/2017, both of which support the government's transformation to digital systems.
- The unified automated system for digital transformation was created to achieve integration between databases and strive to provide automated services to citizens and various entities.
- The government electronic payments system was established.

- A law regulating contracts concluded by public agencies was issued by Law No. 182/2018, and a system of electronic government procurement and contracting was launched to simplify contracting procedures, and to enhance transparency between government agencies and the business community.
- Technology centers have been established in the governorates to facilitate the provision of public services to citizens. Also, the process of automating government services has contributed to enhancing the efficiency and effectiveness of the subsidy targeting process within the framework of social protection programs.
- The Ministry of Planning and Economic Development launched the first effective electronic tool in what is known as the National Monitoring and Evaluation System, to monitor the level of achievement accomplished in the implementation of the government action program (2018/19 –2021/22), and the annual sustainable development plans emanating from it, and to evaluate the government's performance on a quarterly basis.
- The Egyptian Cabinet's Information and Decision Support Center has other means and mechanisms to analyze and monitor the reality in society and provide correct information to decision-makers, such as field monitoring, opinion polls, the government complaints portal, the crisis and disaster management sector, and the Egyptian Family Status Monitor.
- The Ministry of Planning and Economic Development has designed a database of performance indicators at the governorate level. This comes within the framework of the Ministry of Planning's interest in developing the local planning system and activating data verification mechanisms to ensure that projects are implemented and activated in a way that directly improves the services provided for the citizens.
- Adopting a program to modernize the information infrastructure of the state's administrative apparatus, which includes developing health offices and automating central laboratories in the Ministry of Health and some hospitals.
- Adopting a program to link and integrate commercial registries' databases, which includes developing and automating a number of commercial registry offices.
- Automation of a number of judicial services, and the automation of a large number of courts located throughout Egypt.
- Continuously developing and updating the websites of government agencies.

Developing Public Services

- Adopting a program to develop security services provided to citizens, which includes: expanding the provision of electronic services to citizens, improving the level of services in the areas of passports, immigration and work permits, using automatic electronic monitoring of vehicles, smart monitoring and management of traffic, creating new sites for civil records and developing the existing ones.

- Adopting a program for citizens medical treatment at the expense of the state, which includes automating all providers of treatment services at the expense of the state and activating videoconferencing systems to assess patients within their governorates.
- Adopting a program to develop government services provided to citizens, which includes enhancing the use of service and data exchange platforms between government agencies. Additionally, a large number of government services are being provided on mobile applications, a number of traffic prosecution units have been automated, and new technology centers have been established.
- Adopting a program to develop judicial services provided to citizens, which includes adding 11 new partial courts to the law enforcement program and implementing a program to follow up on and publish cases that were circulated between courts and experts.
- Automation and development of services provided to Egyptians abroad, the automation of legalization services, and the launch of electronic visa.
- Adopting a program to develop the rationing services system, which includes increasing the number of government outlets (fixed and mobile) providing basic commodities, and outlets and chains of sale and distribution of food commodities.

Improving Economic Performance and the Business Climate

- Adopting a program to improve the efficiency of public spending, which includes automating the preparation and implementation of the public budget in all accounting units in the country, automating and tightening control over the state's employees' payroll systems to ensure calculations are accurate, and the collective procurement of supplies to standardize used items and tighten control over supply stocks.
- Directing more investments to strengthen the governance of the Egyptian tax system, by automating the inventory, examining and reviewing processes, and linking tax interests in various sectors. In addition, the state is simplifying procedures related to tax collection, and updating the tax legislative framework in line with modern principles.
- The state has adopted an integrated system for preparing and following up the investment plan, which aims to transform the preparation of investment plans from a paper-based system to an electronic one, to ensure that investment projects lead to the implementation of their developmental goals and to choose the optimal funding source for these projects. This system aims to raise the efficiency of the state's administrative apparatus and to enhance transparency and accountability.
- The Egyptian state adopted an intensive program to develop, support and raise the efficiency of infrastructure, roads, and bridges to facilitate transportation operations, which reflect on the business environment.

- The Egyptian Sovereign Fund was established in accordance with Prime Minister Decree No. 555 of 2019, to work to contribute to sustainable economic development through the management of the country's untapped assets and funds.
- Adopting a private industrial investment stimulus program, which includes simplifying industrial licensing procedures, by reducing the time it takes to start business from one month to one week (18/2019) and establishing five offices for the Industrial Development Authority.
- Adopting an institutional development program to support the business climate and attract investments, which includes automating and simplifying procedures for establishing companies, completing the procedures for incorporation and modification electronically, launching a comprehensive investment map, increasing the number of integrated operating free zones in governorates and establishing a logistical free zone at the outskirts of each governorate, implementing a number of free zones, and the creation of new investment zones.

Promoting transparency, rule of law and combating corruption

- The second edition of the Anti-Corruption Strategy (2019-2022) was issued to overcome the challenges that faced the implementation of the first version of the strategy.
- The House of Representatives approved the amendment of the Administrative Control Authority Law in accordance with Law 207 of 2017, which stipulated that the authority aims to prevent and combat corruption in all its forms and take the necessary measures to prevent it, in order to ensure the proper performance of the public office, and to preserve public money and other state-owned funds. In addition to this legal framework that supports transparency and combating corruption, the state is working to complete this framework by issuing the Freedom of Information Act, and issuing the executive regulations for the Law on Prohibition of Conflict of Interests of State Officials No. 106/2013, and making information and data available, especially those related to monitoring authorities' reports on the performance of the executive authority.
- The establishment of the National Anti-Corruption Academy which is affiliated to the Administrative Control Authority, through which members of law enforcement agencies will receive trainings to improve the performance of the state's administrative apparatus staff, as well as support cooperation with bodies and agencies concerned with combating corruption in other countries.
- Concerning the status of the legal framework governing transparency and anti-corruption; the Companies Law No. 159/1981 stipulates that companies operating in Egypt must adhere to transparency and disclosure.
- Government programs include the program to enhance the values of citizenship and responsibility, which include activating the role of youth in facing corruption, and the program for developing government and institutional performance and confronting corruption.
- The Occupational Code of Conduct was launched to promote the values of integrity and the prevention of corruption.

- The Code of Ethics and Professional Conduct for Private Sector Companies was issued by the Young Businessmen Association with the aim of unifying the understanding of the values and ethical principles that should characterize employees of private sector companies.
- The government plans to start activating internal audit units within the state's administrative apparatus, in a way that would contribute to curbing corruption practices. The regulatory authorities in the country are studying practical steps to start making their reports available, in accordance with the Egyptian constitution.
- The government is prioritizing the completion of the infrastructure and technology development of the judicial system, updating the information infrastructure of the regulatory agencies, and linking government databases with the databases of anti-corruption agencies.
- The government is working to implement a training plan to raise the efficiency of workers in the public sector, the private sectors and civil society with regard to transparency and combating corruption.
- The government is directing more funds to finance awareness campaigns, focusing on the seriousness of corruption in cooperation with media and religious institutions, and is working on including the seriousness of corruption problem in the educational curricula at different stages.
- Egypt joined the African Peer Review Mechanism, an African mechanism for reviewing and evaluating the performance and programs of African countries in four areas: democracy and political governance, economic governance and administration, corporate governance, and economic and social development. The mechanism aims to accelerate the adoption of policies, standards and practices through the exchange of experiences, promotion of best and most successful practices, detection of deficiencies, evaluation and requirements for capacity strengthening.

CHALLENGES

Despite Egypt's extensive efforts to enhance governance principles such as transparency, integrity, and combating corruption, there are still many challenges faced by the state that inhibit the progress made so far. Thus, these challenges must be tackled in order to reap the fruits of the state's efforts and boost Egypt's performance in international, regional and national indices. Some of these challenges in different areas of governance are listed below.

Accountability and Freedom of Access to Information

- Availability and accessibility of information remain difficult, which impedes the efficiency of the decision and policy making processes.
- Not publishing or issuing data in a timely and periodical manner, and the data is thus not analyzed by experts to benefit from it.
- Increased volume of required information, which is a burden faced by the statistical agency, as it is expected to produce a large volume of indicators. In addition, the statistical agency is hindered by the limited funding and weak human resources.

Monitoring and Evaluation Mechanisms

- Statistical legislation is outdated and not revised.
- The current laws do not reflect the new statistical considerations, or changes on the national, regional, and global levels.
- Some laws do not cover modern methods of obtaining data – especially big data – from the private sector.
- The lack of funds needed to conduct specialized surveys or to sustain the production of some indicators, and the lack of funding for preparing and designing national and local monitoring and evaluation systems.
- Weak informational infrastructure related to monitoring and collecting statistical data.
- Persistent lack of coordination and cooperation, especially in data linkage, between government agencies.
- Difficulty in dealing with big data using traditional data processing applications.
- Poor handling of geographical information systems, cloud computing, and the lack of standardized statistical definitions and methods of calculating indicators.
- Limited number of trained human cadres, whether in statistical systems or in monitoring and evaluation systems at the national and local levels.

- Non-disclosure of data and information (through the government apparatus or the private sector) as a result of a widespread culture of information concealment and the absence of the legal framework supporting the process of transparency and disclosure, represented by the Freedom of Information Act.
- The inadequate number of private sector companies that publish sustainability reports, that do not benefit from the guide on corporate governance, due to the weak human capabilities in those companies that can absorb and apply the principle of sustainability or governance, and also the lack of awareness on the importance of applying these principles in achieving a direct material and societal return for the company.

RECOMMENDATIONS

The results of different governance indicators included in this report show that Egypt has a good performance in the field of safety, security and rule of law. Moreover, Egypt's performance improved in the areas economic systems and transformation, government effectiveness, budget control, as well as the ease of doing business. On the contrary, some results indicate that Egypt has not achieved noticeable improvement or high ranks in the fields of transparency, freedom of expression, accountability, participation, and inclusiveness. In light of Egypt's efforts to promote governance and the challenges faced in this respect, this section highlights some recommendations that would support the implementation of good governance standards and practices, based on recommendations made by various international reports and organizations, which are expected to positively impact Egypt's position in global, regional and national governance indices.

With regards to enhancing participation, efforts need to direct towards issuing a law for the management of local government in order to support decentralization, activating the complaint mechanisms at subnational levels, and preparing an indicator to measure citizen satisfaction with government services. In addition, working on the Citizen's Plan should be resumed, as well as enhancing public participation in the state budget formulation process by the Ministry of Finance and giving priority to the following measures: a) launching beta-versions of mechanisms to monitor the implementation of the budget, which would allow the interaction of civil society organizations or citizens who wish to participate, b) effective communication with vulnerable and unrepresented communities, either directly or through civil society organizations, and c) Working on the participation of citizens and civil society organizations in Parliament sessions on the proposal of the budget before its approval and the audit report. In the context of enhancing public participation, the Accountability State Authority should activate formal mechanisms to enable the community to participate in the development of the audit program and related audit investigations. As for the private sector, the state must work on enhancing partnerships between the private and public sector to fund development projects, and enhancing social responsibility in the private sector.

Efficiency, effectiveness and transparency need to be prioritized primarily through issuing the state's general planning law, and the efficient use of unused state assets. In support of these values, the state needs encourage electronic payments, update the websites for the state's administrative apparatus, and continue the automation of government services, judicial services and services provided by the police and police units on the national and local levels. Concerning transparency in particular, the Freedom of Information Law needs to be issued, in addition to the publication of the

reports of the Accountability State Authority, and everything related to the budgeting process, such as: the pre-budget statement, the citizen's budget, and the audit report on the internet in a timely manner. This is in addition to adding macroeconomic information and details of actual results of payments to the year-end report and increasing the comprehensiveness of the mid-year review report, by providing updated implementation data and revised estimates for the remainder of the fiscal year.

To promote accountability, the government should establish and activate monitoring and evaluation units in ministries and governorates offices, while concurrently developing the electronic system for follow-up and evaluation at the national and local levels and continuing the renovations of the institutional structures of the state's administrative apparatus. From a different angle, the government needs to complete the shift towards program and performance-based budgeting, and needs to provide Parliament with an opportunity to discuss budget policy before submitting the Executive's budget proposal and approving recommendations for the next budget. Moreover, the budget analysis reports of the Planning and Budget Committee in the Egyptian Parliament that studies the Executive Authority's proposal for the budget needs to be published, in addition to forming a legislative committee to study the implementation of the budget during the year and publishing its reports on the internet. Finally, another committee should be formed to study the review report and the results of the study should be published on the Internet.

As for supporting the rule of law and fighting corruption, the government should work to maintain initiatives with the private sector, trade unions and federations to fight corruption, and activate internal audit units in ministries and governorate offices. In addition, capacity building for employees of the state's administrative apparatus on governance and corruption-related issues is needed. Other measures that need to be taken include issuing the law on protection of witnesses and whistleblowers to encourage reporting instances of corruption in any sector. In addition, the government should activate consumer protection mechanisms, which include: supplying all governorates with branches of the Consumer Protection Agency, and increasing the number of organizations licensed to practice consumer protection activities.

When it comes to the improving the investment climate and economic sustainability, the state should work on integrating the informal sector into the formal economy, and working to increase the tax collection capacity. Furthermore, more efforts need to be redirected towards labor-intensive sectors to generate jobs opportunities and improve productivity. Focusing on fiscal sustainability, the government should work to increase the efficiency of existing subsidy programs to better target the most deserving groups and launch new effective subsidy programs. Concurrently, the government should go forward with the scheduled cuts in subsidies and continue in monetary reforms such reforming the pension system as decided in 2019, to improve Egypt's public debt position. To improve the business climate, the government push for more policies that supports

doing business. That could include: activating the bankruptcy law, reducing time to obtain roadwork permits (such as work permits, environmental permits, or traffic permits, if applicable), improving the competitiveness of the industrial sector by increasing the number of standard specifications that are compatible with international environmental standards, developing the accreditation and quality system, and training a number of factories annually to qualify them to obtain quality certificates.

To improve Egypt's performance in governance indices, the state should communicate with international organizations and bodies that issue various governance indicators to discuss the data sources they depend on, and to cooperate and coordinate with various local civil society organizations and think tanks in this regard. Simultaneously, he state needs to work on improving the perception and image about the Egyptian state in country and abroad, which will be reflected in improving Egypt's position in the perception-based governance indices, as well as competitiveness and combating corruption indices. Other approaches can include joining indicators used as sources by global governance indicators, and in which Egypt is not included as a member, namely: the World Bank Country Policy and Institutional Assessment, and the World Competitiveness Yearbook issued by the Institute for Management and Development.

In order to enhance the quality of governance research in Egypt, efforts should be made to reintroduce and develop the Governance Center to be a hub and a main center for governance, provided that it works on preparing cooperation protocols with international and Egyptian research centers. Adding to this point, establishing a national governance index in cooperation with a number of research centers and civil society organizations would be a crucial step to enhancing Egypt's adherence to good governance standards. To complement this index, a it is recommended to develop a website (Egypt's Governance Watch) to monitor the development of governance indicators and associated reforms in Egypt, that would also reflect the efforts made by the Governance Center and issue an annual report on governance. The final suggestion would be to establish an advisory board at the Governance Center that includes governance experts and stakeholder representatives, to be consulted when it comes to major projects and proposals.

SOURCES

- Worldwide Governance Indicators, World Bank
  https://info.worldbank.org/governance/wgi/
- Bertelsmann Transformation Index, Bertelsmann Stiftung
  https://www.bti-project.org/en/home.html?&cb=00000
- Transparency International
  https://www.transparency.org/en/
- The Doing Business Project, World Bank
  https://www.doingbusiness.org/en/doingbusiness
- United Nation e-Government Knowledge Base (UNeGovKB)
  https://publicadministration.un.org/egovkb/en-us/
- World Economic Forum
  https://www.weforum.org/
- Heritage Foundation
  https://www.heritage.org/index/
- Gallup
  https://www.gallup.com/home.aspx
- World Justice Project
  https://worldjusticeproject.org/
- International Budget Partnership
  https://www.internationalbudget.org/
- Political Risk Services
  https://www.prsgroup.com/
- Quality of Government Institute (QoG)
  https://www.gu.se/en/quality-government/qog-data
- Mo Ibrahim Foundation
  https://mo.ibrahim.foundation/
- Information and Decision Support Center, The Egyptian Cabinet
  https://www.idsc.gov.eg/IDSC/Default.aspx

DANISH DEMINING GROUP



IMPACT MONITORING REPORT WRITING GUIDE

Table of contents

1. **Introduction**
   a. The use of impact monitoring reports

2. **Tips and tricks for report writing**
   a. Writing effectively
   b. Text
   c. Pictures
   d. Tables
   e. Case stories

3. **The new report format**
   a. What to write where

4. **Annexes**
   a. How to develop a case story

Introduction

The use of impact monitoring reports

The new impact monitoring report serves a number of purposes. The new format gives our reports a recognisable image in an easy to read format. It helps us focus on the most important aspects of our impact when we report – indicators!

You use it every time you send an impact monitoring report to DDG HQ.

You use it every time you have to send an impact monitoring report to your donor, if the donor does not provide you with their own format.

The format is designed for impact assessment reporting, but it may be used for baseline reporting as well.

When you use the report format for impact assessment reporting, and you have already produced a baseline report, then you should not rewrite the methodology used for the baseline data collection *unless* it differs from the impact assessment data collection. However, you do need to give detailed information on who and how many were interviewed at baseline, and when the baseline was conducted.

Whenever you write an impact monitoring report make sure you send it to the impact monitoring advisor in HQ or NBO for comments before you send it to the donor or other external stakeholders.

Copenhagen, December 2011

Tips and tricks for report writing

Writing effectively

- Keep in mind the purpose of the report: our intention is to report on the impact of our interventions.
- Keep the receiver in mind when writing – think of what the reader knows and does not know. What does the reader need to know in order to understand our findings?
- Be concise and focused. Keep it simple at all times. Clear and precise language.
- Use formal language. Avoid personal comments and opinions. Always write from the view point of the organisation you represent, DDG.
- Avoid long and complicated sentences. As a rule of thumb: one point per sentence and an average of 15 words per sentence.
- Avoid superfluous phrases.
- Avoid self-made expressions. Standard 'donor terms' should be used.
- Be careful when using abbreviations – don't take for granted that your reader knows them.
- To increase reader accessibility, open chapters and sections with topic sentences and end them with a sum-up and/or conclusion. Use the introduction and sum-up/conclusion to ensure coherence.
- Avoid excessive use of effects (bold, italics, underline etc.). In the new report format avoid bold altogether.
- Remember that the purpose of using tables and figures is to give your reader a better overview (tables and figures do not speak for themselves – always deal with tables and figures in the main text).
- To avoid misinterpretation and to improve transparency it is recommended when we have smaller samples (e.g. below 50 households or individuals) not to use percentages to describe results, but instead to use numbers (e.g. *12 out of 23 report not having access to …*)
- Be objective and transparent – always reflect both the positive and the negative. If different views are present, make sure to state them.
- Base findings on data and be clear about which – avoid guesstimations.
- Reporting is not just about presenting facts and figures – it is also about analysing, describing, explaining, drawing conclusions, recommending and, importantly, helping your reader decide on action. See table number one below for terms that are useful when writing an impact assessment report.
- Finally, it is important to get a colleague to review and comment on the report to ensure valid argumentation and readability.

1 USEFUL TERMS FOR IMPACT MONITORING REPORT WRITING
It is likely… … indicates that … … suggests that … … is consistent with… … were surprised to find… It appears that … What we observed is consistent with **…**

Text

When writing your report you should insert your text directly into the impact monitoring report format. Try to use the format and standards presented in the document.

The report format uses Arial as standard font and a fixed set of sizes and colors for headings as shown below.

Chapter headings are in Arial 16 bold and orange color

Sections headings are Arial 12 bold and orange color

Paragraphs headings are Arial 9 Bold

Body text is Arial 9

Footnotes are placed at the bottom of the page in Arial 7

If you want to highlight a part of your text we use underline and not **bold**.

- We use bullets instead of numbers
- If you want to list certain key findings or
- recommendations

See the standard page layout at the end of this guide, page 19.

Pictures

In the new report format you can insert pictures on the front page and in an annex as part of a case story.

DG has a large photo database covering all our country programs. To access it contact your program manager or the impact monitoring advisor in Copenhagen.

On www.flickr.com you can find the Danish refugee council's photo stream which has a number of quality photos from our programs. The Login is: *drc.international@yahoo.com* and the password you should use is *borgergade10.*

When you use pictures make sure the image is linked to the impact of our intervention. Avoid using pictures showing DDG staff doing impact monitoring and instead focus on the beneficiaries and the changes that have happened in their lives.

At the end of the guide in the section 'standard image placement' it is shown how to best insert a picture into the text.

Tables

As a rule of thumb only use tables if they help the reader understanding an important finding. Do not use tables to show the gender balance of the beneficiaries. If you are in doubt whether a table is relevant it is very likely the reader will not find it relevant either.

See the standard table layout at the end of the impact monitoring report writing guide.

And remember to always comment on the table in text.

Case stories

Case stories are placed in the annex to the report.
If you do include a case story remember to reference it in the text of the main report.

For tips and tricks on how to develop a good case story see the 'DDG case story writing guide' in annex a to this guide.

The new report format

What to write where

In the following sections we will go through what to write in the different sections of the report. All directional comments will be written in light blue.

Table of contents

Executive summery

1. **Introduction**
   a. DDG program in the country
   b. Description of the project referred to in the report
   c. Brief description of working context

2. **Methodology**
   a. Data collection methods
   b. Sampling and characteristics of respondents
   c. Data handling and analysis
   d. Challenges with data collection

3. **Findings**
   a. Overall objective or immediate I
      i. Indicator
      ii. Indicator
      iii. Indicator
   b. Immediate objective II
      i. Indicator

4. **Conclusions**
   a. Progress towards objectives
   b. Recommendations and lessons learned

5. **Annexes**
   a. Map of the target area
   b. Feeling safe again: the story of Mr. and Mrs. Maymana
   c. List of secondary data sources

Concerning the table of contents you should follow the general outline given above. The number of indicators and objectives may change as well as the number of annexes (in the above example a map of the target area, a case story and a list of secondary data are included in the annex).

The best way to make changes to the table of contents is to copy and paste. Copy part of the prewritten text and paste it at the end of the section to make a new line. After that you can rewrite the text if needed.

Executive summary

Keep it short and simple. Focus on the progress towards the project objectives and changes in relation to the key indicators. If major challenges were faced that an effect on the outcome and impact of the project you should mention it here.

The executive summary is optional. If your report is sufficiently short and to the point you might not need an executive summary. If you don't include an executive summary remember to change the table of contents.

Introduction (This chapter should not exceed two pages).

DDG programme in the country

Nature of DDG's work in country
Give a brief introduction to DDG's work in the country: how long have we worked in country, what sectors are we active in?

Description of the project referred to in the report

Give a brief introduction to the specific project which is related to this report.

Our projects can be defined by a target group we want to assist with clearance, mine risk education or armed violence reduction, and sometimes also by a specific target area. When we carry out impact monitoring, we want to find out if whether or not the target group is benefiting from our project. In other words we want to find out which positive and/or negative impacts our project is having.

In order for the reader to assess the validity of our claims about impact, the reader needs to be informed of what the project set out to achieve. What we planned to achieve is written into the project's logical framework as overall and immediate objectives. This section should give an overview of the project logic and goals. Go through the sections below and fill in the information.

Overall and immediate objectives
List the main objectives of the project. The objectives we state come from donor contracts, written into the logical framework (e.g. LFA), and can have different labels. Some donors may use 'goal or development objective' instead of 'overall objective'. For 'immediate objective' donors sometimes use 'specific objective' or 'purpose'. If you have difficulties in locating a relevant logical framework you may use the objectives set out in your program's strategic planning document (e.g. SPD). For the difference between overall and immediate objectives, see the impact monitoring manual.

Main activities and outputs
List the most important activities and outputs. Activities are the things we do e.g. trainings and clearance. Outputs are specific products created by the project's activities e.g. trainings, workshops and items removed, land released etc. We can budget for outputs. It is the number of people trained, the square meters of land cleared, the number of items removed etc. Some of this data might also be relevant when reporting on indicators in the 'findings' section.

Implementation period
Project implementation period. Year and month e.g. from January 2010 to December 2011.

Donor(s)
Mention the donor(s) supporting the project. Use the official name for the donor e.g. SIDA, AusAID, Danida etc.

Brief description of working context

This section gives a brief introduction to the working context following the topics listed below.

Targeted areas, districts and communities
Where are we working? Write the names of the region, district and communities, if relevant. You can link to a Google map or place a map of the area in an annex and refer to it in the text.

Socio-economic characteristics of the area
What characterises the area we are working in? Try to give the reading an understanding of why we are working in this area. Compared to the rest of the country is it a poor or an affluent region? You can use official data on income if it is accessible. How is the safety and security situation in the area? Is it a stable area or a conflict prone area? Is the population mixed or homogenous e.g. numerous ethnicities and/or tribes?

Number and characteristics of beneficiaries
In relation to the above characteristics of the area, provide a description of beneficiaries. Are they predominantly women, men and/or children; what are the main age groups; what is their ethnicity(ies); What makes up most people's livelihoods in the area e.g. are they predominately farmers, manual labourers? How many are we targeting?

Changes to the working context since start of operation
If there have been any major changes in the country, region or area that we work in since baseline data was collected, which have an effect on the project's overall and immediate objectives then you should briefly describe them here. It might be draughts or new conflicts that made it impossible to implement core activities or access target areas. Use the chapter on 'findings' in the report to give more detailed explanations of the consequences for the intervention.

Methodology (This chapter should not exceed two pages).

Data collection methods

Give a brief description of which methods were used where and when e.g. questionnaires were used with local farmers of Maymana area; key informant interviews were conducted with Mr. Agricultural Specialist, Mrs. Water Specialist and Mr. Safety Specialist on the 31, 30 and 29 of November 2010; focus group discussions were held with women of each of the target areas using open interview guides; secondary data on average land holdings and average farm sizes was collected from the Ministry of Agriculture prior to the conduction of interviews (see the list of secondary data used in annex c); the safety behavior of respondents was observed and recorded during visits to the target areas.

If you are writing an impact assessment report and have already produced a baseline report, you should refer to the baseline report e.g. by writing baseline data was collected 5 to 8.11.2011, see the baseline report for Iraq project dated 11.11.2011. If there are larger differences in the methods used or number of beneficiaries interviewed from the baseline data collection to the impact data collection, briefly describe them here and why they may have occurred.

Sampling and characteristics of respondents

Give a description of how respondents for interviews, questionnaire surveys and focus groups were chosen. Reflect on the sampling method chosen. Is it random sampling or is it non-random/purposive sampling? Please refer to the impact monitoring manual if you are in doubt.

Write how many, of which sex, age and occupation that were chosen for each of the data collection methods used. Comment on why they were chosen e.g. *to get the view point of women on safety concerns, to get a general picture of land-use changes in the community*.

Data handling and analysis

State how you have handled the data since its collection. Were the interviews transcribed? How were the questionnaires stored? Were they analysed using SPSS or written into an Excel spreadsheet?

How did you handle the qualitative data? Did you code it or fill it in to data sheets?

How did you triangulate the data? We normally do this by looking at the evidence of each of the types of data we collected in relation to each of the indicators e.g. what do our focus group discussions tell us about the impact of land clearance? And what about the questionnaires? Does this correspond with our own observations from field visits, and maybe the observations from others, as reported in the secondary data we have used? Refer to the impact monitoring manual if you are in doubt as to which data handling methods we recommend in DDG.

Challenges with data collection

If you faced any challenges during data collection, this is the place to voice your concerns. Only mention issues that are crucial to the interpretation of findings e.g. *we were not able to interview the women of a certain community therefore our findings are gender biased*, or, *our data collection took place before the harvest season and therefore we were not able to directly assess the impact of land-use on consumption and income of the beneficiaries*. If you have the felling that the opinions your are getting from interview respondents are biased or maybe contradicting other information you have then you should consider the motives the respondents might have for not telling what other might perceive to be 'the truth'. Rather than mentioning it as a problem with data collection you should describe it under the findings chapter and try to discuss why the differences in opinions occur.

Findings (Short is good. When writing up your findings try to limit it to four pages).

This is the most important chapter of the report. In this chapter you review the situation of the target population in relation to the indicators chosen.

At impact assessment you compare the baseline data (e.g. the situation before the project started) to the impact assessment data (e.g. the situation after implementation of the project) to see if any changes have occurred in relation to the indicators set.

We may report on impact indicators (e.g. overall objective level indicators) and / or outcome indicators (immediate objective level indicators) and sometimes output indicators (output level indicators). For the definitions of the different types of indicators see the impact monitoring manual.

The indicators should always refer to an objective which is stated in either the logical framework of the project or in the program strategic planning document (SPD).

Sometimes the logical framework only has one or two indicators listed at the immediate objective level. In that case, try to develop some more indicators when you do your baseline data collection. As a rule of thumb we should have three to five indicators per objective. Only use more if relevant.

Either prior to project start, or when planning your baseline data collection, and together with your program manager and the impact monitoring advisor at HQ, you should decide on which indicators are the most relevant to report on.

Avoid excessive use of tables. Use only tables to highlight data on key findings.

Overall / immediate objective 1

In this paragraph you write the overall objective of the project or the first immediate objective of the project. You only write the overall objective if you have set indicators referring to this objective. If you don't have indicators at overall objective level (which most projects do not have), use the first immediate objective. You can get ideas for indicators in the DDG indicators reference list which you can find on our website.

Example: To improve safety in targeted communities through enhanced information sharing and immediate reduction of the threat posed by explosive remnants of war (ERW).

Indicator I

Describe the indicator
Here you describe the indicator.

Example: *Changes in the behavior of children and adults towards ERW.*

Describe the situation at baseline
In this paragraph you describe how the situation is at baseline.

Example*: In the project area there are multiple indications of unsafe behavior with regards to ERW from both children and adults. Observations from the project area show that the population is using areas known to be contaminated. Within the last two years there have been one fatal and two near fatal accidents with ERW, all of them involving children. 65% of respondents in a questionnaire survey explained that they would handle the removal of ERW from their land themselves (55 out of 85 respondents), and only 22% would go to an authority (e.g. national mine action authority or the police) to get the item removed (19 out of 85 respondents).*

Describe the changes in the situation (impact assessment)
Example*: Our findings suggest that the targeted population is adopting safe behavior with regards to ERW. The change seems to be most predominant amongst children while some adults are still found to take risks in using land known to be contaminated.*

Describe the evidence
In this paragraph you describe how and why you, based on your data, have reached the conclusions above. Use as many data sources as possible.

Example: *According to key informants and participants in community meetings there have been no ERW related accidents within the last year. Furthermore, the level of knowledge of how to safely address newfound ERW seems to have improved. 16% of questionnaire survey respondents explained that they would handle the removal of ERW themselves (18 out of 112 respondents) while 44% would go to an authority to get support for the removal of the item (49 out of 112 respondents). Observations from field visits, however, show that areas suspected to be contaminated (to be cleared next year) are still being used by the adult population for grazing goats. This was confirmed in focus group interviews with men. Focus group interviews with children show a higher degree of awareness of the danger of tampering with ERW, though it is unclear whether this is also reflected in safer behavior, even though the number of accidents seems to suggest it.*

Indicator II

Describe the indicator
Here you describe the next indicator still related to the overall or immediate objective 1.

Example*: Changes in knowledge regarding ERW affected sites among target communities.*

Describe the situation at baseline (if baseline)
Continue as above.

Describe the changes in the situation (impact assessment)
Continue as above.

Describe the evidence
Continue as above.

Immediate objective 2

If the project has more than one immediate objective you describe it in this section.

Indicator I

Describe the indicator
This indicator relates to the immediate objective 2.

The section then continues as above.

Conclusions (Short is still good. No more than one page).

Progress towards objectives

In this section try to:

Give a brief overview of the situation in the target group in relation to the indicators you have chosen. Do not introduce new analyses or findings, simply sum up the main conclusions from the findings chapter. When doing an impact assessment report try to answer the question: are we reaching our objectives? Review the changes in relation to the indicators that you have documented. Do they indicate that we are reaching our immediate objective(s)?

If the impact assessment has highlighted negative impact of our intervention (e.g. land conflicts that have occurred as a result of released land) you should mention it here. Again, remember that what you write in this section has to be mentioned and described in more detail in the findings chapter.

Recommendations and lessons learned

In this section try answer the following questions:

What can we learn about the socio-economic impact of our interventions from this project? Sum up the findings from your data collection that you think give DDG (and maybe also other organisations) the opportunity to learn what works and what does not work well in our interventions.

Are there ways we can improve our socio-economic impact? If there are feasible ways to support the communities in improving their livelihoods and safety after our project has ended try to write it here. It might be that farmers need someone to support them with input to re-cultivate land that has lain barren for many years due to contamination and conflict. Or it might be that local communities need support to manage conflicts over resettlement and land.

Ex. List of data and literature

Only list data sources or reports and articles that you have referred to in the text. Always use the standard table formats when inserting tables into the text. And remember to comment on the table in the main text.

2 ARTICLES AND REPORTS
• Beck, T (2006) Evaluating Humanitarian Action Using the OECD-DAC Criteria: An ALNAP guide for Humanitarian Agencies. London: ODI. Available at: http:// www.alnap.org/publications/eha_dac/ index.htm (accessed 26 May 2009). • Survey Action Center (2009) Landmine Impact Survey Sudan

3 KEY INFORMANT INTERVIEWS
• Mrs. Land-use specialist. Interview 12.12.2011 in SAC office, Basra. • Mr. District development officer. Interview 13.12.2011 in target community Maymana • Mrs. Head of local women council. Interview 14.12.2011 in target community Maymana

Ex. Standard page layout (01 Heading - section only)

02 Heading

03 Heading

04 Body text – volor sam volorum quas maximinias aute dolorro omnistia ea quas expercius, aspiene voluptaque minihit et explias dem acil inistecum dem quatem delesti aeriatur sae venda preriatur, conet vel ium aute officiis con por reres ent ut elia vel molorrum doluptiusdam ipienis suntota tistior mo et accae dolorrum hillabo. Me exces Que venim accus acessed quatur re, occus, tet ipid everovidus, con pliqui dolorest, doluptasse perias idus es ullis venihil ma nati blaccab ipicimp oriorum fugit, quatatem endae conest, nim qui cuptatis ea que reiur? Qui voluptatus, el int earum facit officie nihicae coremoluptam in pel ius. Aximust utatque periae qui des ius.

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[1] Tem lit quiatur? Anisquam quo esto beaque erum enditae. Liciatet latiore lam, coreria spicit eossita temolor autestio deliqui cus aut aceaquam facerio

Ex. Standard image placement

You can place a picture on the front of the report or as a part of a case story in an annex to the report. When you use pictures for your case story remember to add photo text using the standard shown below.



20 Caption txt – Nam aut hilique quidi venem re, sa nonseque occusam hicidis quunt audamustrum am quoditatiam corentia conse nis quunt volutem. Musdaecea simaxim est re duntio. Nam repratu ribusdam nos aut denda sante dest qui illatem doles iumetus, con conempo reicien daestor emporem re vollenit, ut fugiatem fugita volorep tioriae. Namus, conseque ipis velitatin nat ut qui ant.

Ex. Standard table layout

Always use the standard table formats when inserting tables into the text. And remember to comment on the table in the main text.

11 TABLE HEADING NEG		
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Annex a: how to develop a case story

Things to remember when developing your case story:

- Be clear on why you have chosen your specific case story. The way we normally go about selecting our case story is to select a story that we think is good: the person we are interviewing tells an interesting story that highlights the impact of project. However we can develop better case stories by being more precise on: what specific part of our project intervention impact does this case illustrate? This is important because impact will be seen and felt differently amongst men, women and children, even within the same household.

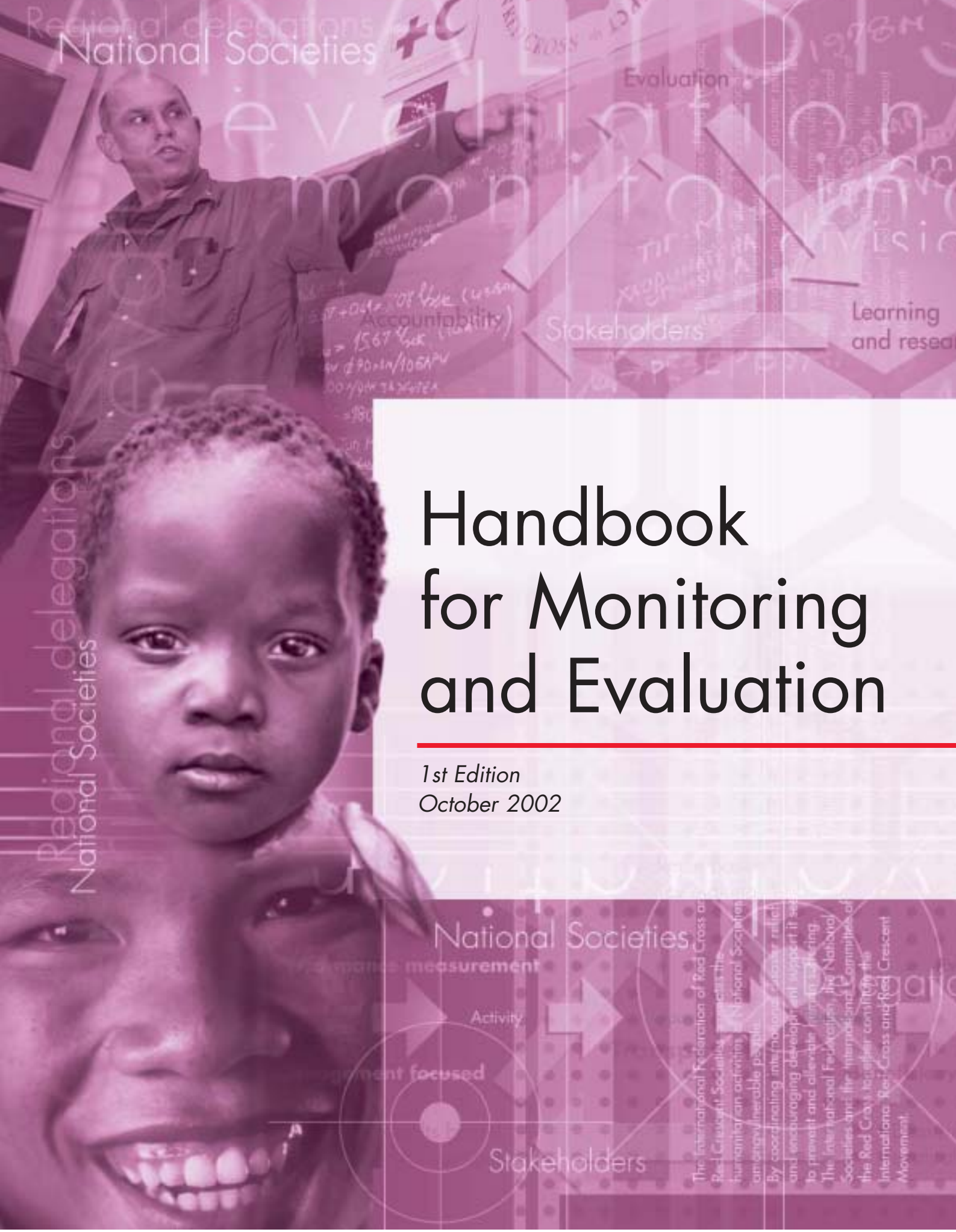
- How does the case story relate to our intervention and to the context? E.g. is your case story out of the ordinary or is it a common way to experience the impact of the project?

- Can you identify typical social processes, coping strategies, behavioral changes etc. amongst the beneficiaries, and are these processes represented in the story?

- Your baseline data is a good starting point when developing a case story. There you have a lot of information that can assist you in formulating a precise case and you can also use the baseline data to choose a person to interview.

- Always use more than one data source. Use triangulation to test the interview data you have collected. If you have the opportunity it is recommended to revisit the person or household and get them to confirm the story ones it is developed.

- There is no right or wrong way to go about developing a case story. The important thing is that we make conscious, reflective decisions when deciding on how to develop our case study and what it should be about – this will help us explain to the donor, partner organization or media, why we have chosen this case story instead of the hundred others we could have developed to demonstrate the positive or negative impact of the project.



Handbook for Monitoring and Evaluation

1st Edition
October 2002

International Federation
of Red Cross and Red Crescent Societies

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2002

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Foreword

I am hoping that all stakeholders throughout the Federation will receive this first edition of the Monitoring and Evaluation handbook warmly. The ever-changing development landscape accompanied by the increased challenges of accountability, performance, quality standards and learning make this a timely publication for the Monitoring and Evaluation Division. It is a toolkit…a collection of tools each of which is designed to support the monitoring and evaluation function. As a management responsibility, monitoring activity provides the basic building blocks of decision-making, for strategic planning and resource mobilisation. It is a key measurement activity in our efforts at achieving organisational effectiveness. If we cannot measure…we cannot manage. Although it is primarily aimed at stakeholders in the field, it is nonetheless an interesting useful resource for all practitioners that share the common goal of effectively serving the most vulnerable in our world.

It is an evolving initiative and this first edition deserves critical appraisal. The variety of tools available for use in this handbook are offered and presented in an interesting, simple and readable format. Its harmonised terminology facilitates use alongside the Project Planning Process (PPP) and Better Programming Initiative (BPI). The 2nd edition of the handbook will be available in Spanish, French and Arabic. As a vehicle for organisational shared learning, we look forward to receiving your helpful input to make the 2nd edition an even more relevant and effective contribution to the achievement of the International Federation's goals and objectives.

Ibrahim Osman
Monitoring and Evaluation Division
October 2002

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Introduction

The Monitoring and Evaluation Division is pleased to share this handbook as part of our efforts to enhance Monitoring and Evaluation (M&E) by all stakeholders. While this handbook has been drafted for use by all stakeholders it is particular mindful of the role of M&E from a National Society perspective. The handbook contains useful M&E tools and is supported by some theoretical background.

It is intended that this handbook will be complemented by a series of training and information sessions either as a stand-alone module, or incorporated into existing programmes like the leadership development programme or the Project Planning Process (PPP). It can be used alongside other relevant documents such as the Better Programming Initiatives (BPI), PPP manual and the Evaluation Operational Framework. It is a document that will develop and evolve as we use it in our joint efforts at achieving organisational shared learning.

Clarifying and demystifying the M&E function as a performance instrument to strengthen BPI and PPP has been demanded by all stakeholders. This M&E handbook codifies a more rigorous search for improved methods of assessing whether organisations are both “doing things right” and “doing the right things”.

This handbook is designed in modules to facilitate easy reading and a logical pathway through M&E. It provides the reader with opportunity to reflect and refresh by addressing a number of key questions following each module.

The International Federation already has in place the BPI. In many post conflict countries, tensions continue long after the general restoration of peace and high levels of social violence continues to disrupt livelihoods. With explicit programming, National Societies can strengthen relationships within and between divided communities. The BPI emphasises the importance of analysing the context of situations, describing the programme actions, identifying the impacts and searching for alternative options in a strong analytical framework. Such initiatives have been tried in several countries including Colombia and Nigeria. The outcome in Colombia emphasised the need for increasing the coordination between different Colombian Red Cross departments, especially when planning programmes for internally displaced people. In Nigeria such BPI analysis help Nigerian Red Cross staff identify a number of ways of improving the implementation of water and sanitation programmes. This M&E handbook will help BPI initiatives by clearly raising questions that have to be asked about programme design.

In a similar way this handbook links to PPP. The PPP is a new practical management tool to help improve National Society and Federation planning and reporting to an internationally accepted standard. The PPP handbook, like this handbook, allows users to quickly and easily develop tools that are compatible with major donor requirements for project identification, appraisal, implementation and evaluation. The PPP handbook is tailored to the needs of the Red Cross and Red Crescent and applicable to both relief and development operations like this handbook.

As a result of this M&E initiative, it is expected that:

- programme/project managers will have the knowledge and tools to apply the M&E approach;
- the quality of programme/project proposals and their implementation and reporting will improve;
- planning standards and common terminology will be established;
- planning training will be tailored to the Federation's National Societies' and donors' needs and requirements;
- the Federation's planning system will be harmonised with that of its different partners and donors; and

- in the long term, and after a certain period of training and implementing the M&E, National Societies will improve their income generation and fund-raising, the quality of their programmes/projects and their reporting.

National Societies are increasingly putting emphasis on Vulnerability and Capacity Assessment (VCA). VCA is a new dynamic method of analysis promoted by the International Federation that complements the needs-based approach. VCA can be used as an institutional capacity assessment diagnostic tools and a programmatic tool to evaluation the effectiveness and impact of current programmes. The traditional needs-based assessment is important to verify that emergency preparedness, response and rehabilitation phases have fulfilled the basic requirements of people affected by a crisis episode. The Nepal Red Cross has conducted two pilot VCAs using participatory rural appraisal techniques, which showed vulnerability interrelated into seasonal migration, landlessness and literacy and allowed a ranking of areas most at risk. M&E can allow progress in response to VCA analysis to be overseen.

This M&E handbook together with other tools of the International Federation programming and planning framework - BPI, PPP and VCA - form an essential toolkit for National Societies that addresses their own management information needs as well as the needs of donors and stakeholders. All tools in the toolkit can be used for a range of tasks but all tools require creative use.

"A federation-wide evaluation system that includes self-evaluation and peer review will be established to measure progress in all core areas and incorporate learning into future programme development" Strategy 2010.

1. OVERVIEW

1.1 Objective of the Guidelines

The objective of the Guidelines is ***to provide International Federation, staff of National Red Cross Societies and implementing partners with the necessary information to be able to design, manage and support a results-oriented monitoring and evaluation system for emergency and development operations***.

1.2 What is in the Guidelines?

The Guidelines provide a structured pathway through monitoring and evaluation design within International Federation and National Societies.

Modules	Module Contents
1. Overview This module provides the necessary grounding in results-based monitoring and evaluation concepts within International Federation and National Societies.	• Objective of the guidelines • What is in the Guidelines? • What principles and definitions should you be aware of? • What is the framework for monitoring and evaluation?
2. Monitoring and Evaluation This module provides generic guidance for designing a monitoring and evaluation system. Further detail specific to the different types of International Federation and National Societies operations is provided in subsequent modules.	• How to design a monitoring and evaluation system • Checking operation design • Assessing capacity for monitoring and evaluation • Planning for data collection and analysis • Preparing the monitoring and evaluation plan and budget • Planning for reporting and feedback
3. Monitoring and Reporting National Society Programmes Building on the generic guidance provided in Module 2, this module provides guidance on monitoring and reporting specific to country level programmes.	• How to design a monitoring and evaluation system for national society programmes • Checking the national society programme and activity design • Assessing capacity for monitoring and evaluation of national level programmes • Planning for data collection and analysis for national level programmes • Preparing the monitoring and evaluation plan and budget • Planning for reporting and feedback
4. Monitoring and Reporting Building on the generic guidance provided in Module 2, this module provides guidance on monitoring.	• What is particular about monitoring and evaluating? • How to design a monitoring and evaluation system • Checking operation design • Assessing capacity for monitoring and evaluation • Planning for data collection and analysis • Preparing the monitoring and evaluation plan and budget • Planning for reporting and feedback

5. Evaluation

This module provides generic guidance on designing and conducting an evaluation. Specific guidance is also provided for self-evaluation and for evaluating Co-operation Agreement Strategies.

- Introduction
- A framework for evaluation
- Types of evaluation
- Evaluation standards and principles
- Is there an framework to capture criteria
- Asking questions about the context of the evaluation
- Asking questions about the planning of humanitarian assistance
- Planning a self-evaluation
- Part of the monitoring process is national society self-assessment

6. Steps in Planning and Managing an Evaluation

The module details on how to go about implementing an evaluation with confidence.

- Step 1 - Clarifying/agreeing on the need for an evaluation
- Step 2 - Planning an evaluation
- Step 3 - Preparing the evaluation terms of reference
- Step 4 - Selecting the evaluation team
- Step 5 - The desk review (pre-mission)
- Step 6 - Conduct of the evaluation mission
- Step 7 - Preparing the evaluation report
- Step 8 - Report dissemination
- Step 9 - Using the results and learning from the evaluation
- Enhancing the effectiveness of the evaluation process

7. Baseline Studies

Building on the generic guidance provided in Module 2, this module provides guidance on designing and conducting a baseline study for an operation or programme. Relevant links to Module 8 are provided where further detail is provided on specific data collection methods.

- What is a baseline study?
- Baseline studies for different types of situations
- Planning and managing a baseline study
- How to analyse and report the data
- Next steps - follow-up surveys for monitoring and evaluation

8. Tools for Data Collection

This module provides details of relevant data collection tools that can be used for monitoring and evaluation.

- Concepts and definitions
- Data collection tools
- Using secondary data
- Links to other technical guidance material

9. M&E Glossary

This glossary provides definitions and explanations for all terms currently used within the context of monitoring and evaluation in International Federation and National Societies.

1.3 What Principles and Definitions Should You Be Aware Of?

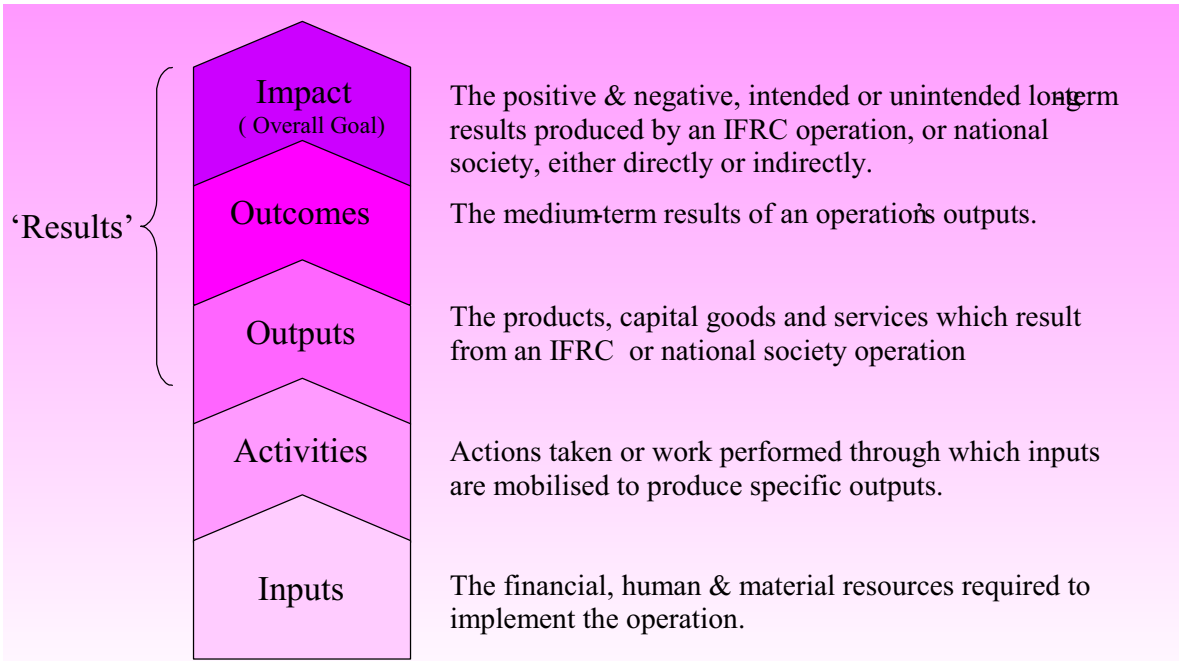
1.3.1 Results-Based Management

International Federation and National Societies are is committed to pursue results-based management (RBM). RBM strives to improve management effectiveness and accountability by:

- Defining realistic expected results
- Monitoring progress towards achievement of expected results
- Using results for management decisions and
- Reporting on performance.

Central to RBM is the 'results chain' – the causal sequence for an operation that stipulates the necessary sequence to achieve desired objectives – beginning with inputs, moving through activities and outputs, and culminating in outcomes and Impact (overall Goal)s. This provides the framework for the identification of indicators for monitoring and evaluation. The terminology and definitions used for the results chain are set out in Figure 1.1.

Figure 1.1: The Results Chain



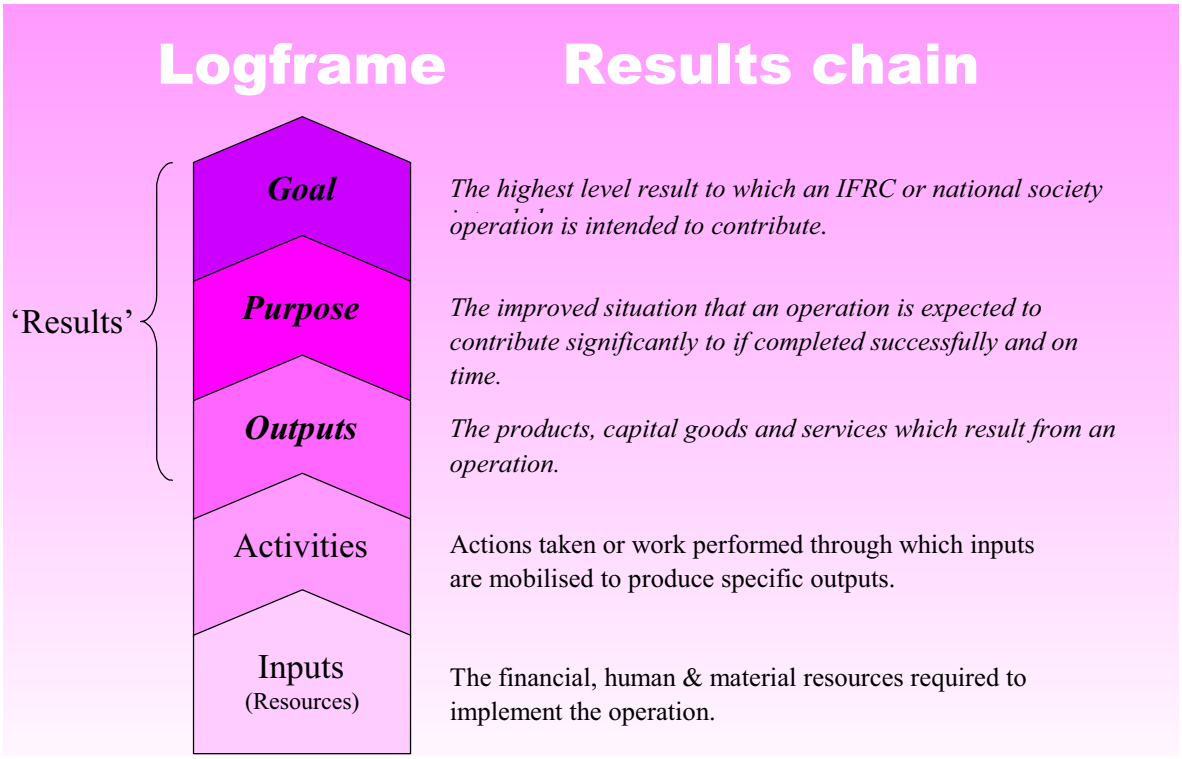
What does RBM mean for International Federation and National Societies?

- Expands the scope of monitoring and evaluation along the results chain;
- Ensures that outcomes and Impact (overall Goal) are included in the plans to measure progress and performance;
- Implies a shift away from inputs and activities;
- Shifts emphasis towards the measurement of changes in the behaviour and livelihoods of beneficiaries.

1.3.2 Linking monitoring and evaluation to a logical framework

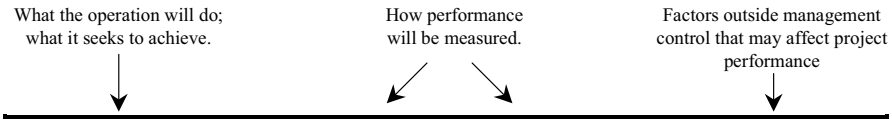
The main output of a logical approach to project design is a logframe matrix or logical framework (Figure 1.2). International Federation and National Societies share an approach to logical framework planning that is summaries in the Project Planning Process (PPP) Manual

Figure 1.2: Relating the logframe to the results chain



The logframe is a summary table of no more than 2-3 pages, and usually accompanies the operation's design document (Figure 1.3).

Figure 1.3: The logframe matrix



Logframe hierarchy	Performance indicators	Means of verification	Assumptions & risks
Goal Higher objective to which this operation, along with others, is intended to contribute.	**(Impact)** Indicators (increasingly standardised) to measure programme performance.	The programme evaluation system	**(Goal-to-Super-Goal)** Risks regarding strategic impact.
Purpose The outcome of an operation. The change in beneficiary behaviour, systems or institutional performance because of the combined output strategy and key assumptions.	**(Outcomes)** Measures that describe the accomplishment of the Purpose. The value, benefit and return on the investment.	People, events, processes, sources of data for organising the operation's evaluation system.	**(Purpose-to-Goal)** Risk regarding programme level impact
Outputs The actual deliverables. What the operation can be held accountable for producing.	Output indicators that measure the goods & services finally delivered by the operation.	People, events, processes, sources of data – supervision & monitoring system for validating the operation's design.	**(Output-to-Purpose)** Risks regarding design effectiveness.
Activities The main activity clusters that must be undertaken in order to accomplish the Outputs.	**Inputs/Resources** Budget by activity. Monetary, physical & human resources required to produce the outputs.	People, events, processes, sources of data –monitoring system for validating implementation progress.	**(Activity-to-Output)** Risks regarding implementation & efficiency.

1.3.3 What is monitoring?

Monitoring is the day-to-day management task of collecting and reviewing information that reveals how an operation is proceeding and what aspects of it, if any, need correcting.

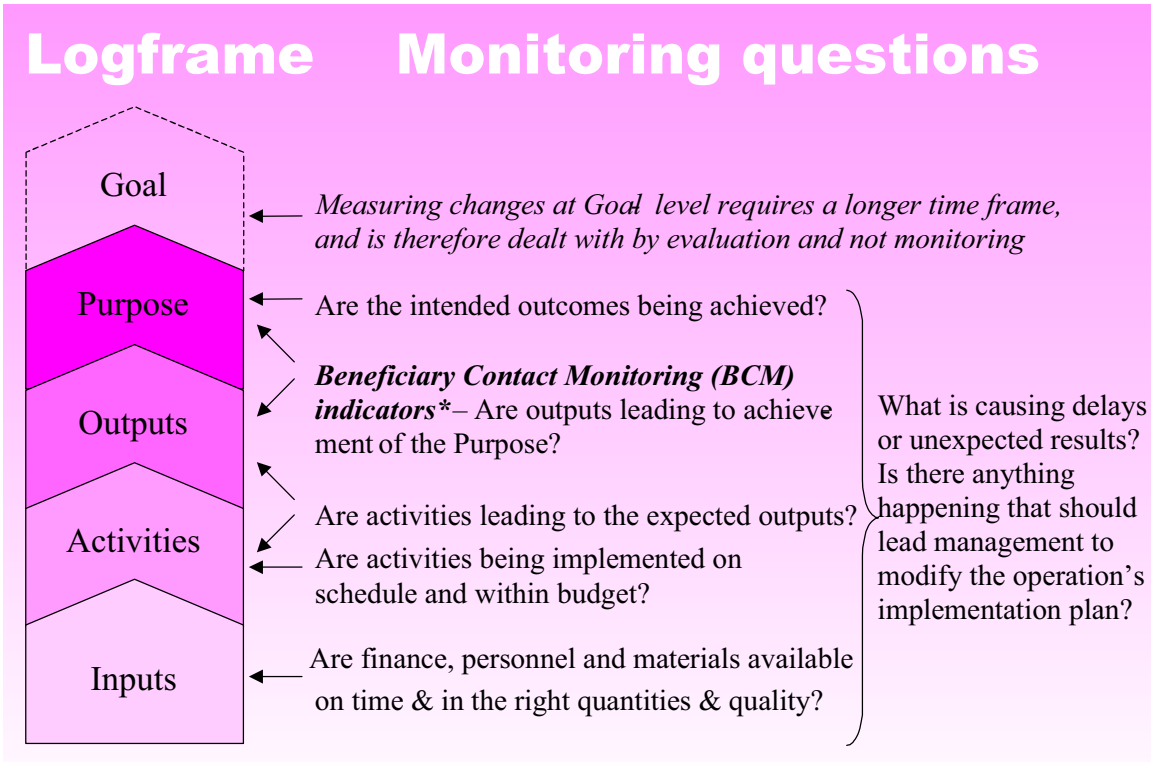
> Monitoring is ***a continuing function that uses the systematic collection of data on specified indicators to inform management and the main stakeholders of an ongoing International Federation or national society operation of the extent of progress and achievement of results in the use of allocated funds.***

Reporting is an integral part of monitoring. Monitoring information is:

- Compiled in standard and *ad hoc* reports;
- Shared with implementing partners, donors and beneficiaries;
- Used to draw conclusions in evaluations.

Figure 1.4 sets out key questions at each stage of the logframe to which monitoring should pay particular attention. Managers will need to be updated regularly on the answers to the questions in order that they can respond in a timely and constructive manner to keep the operation on track towards achieving its objectives.

Figure 1.4: Monitoring questions and the logframe



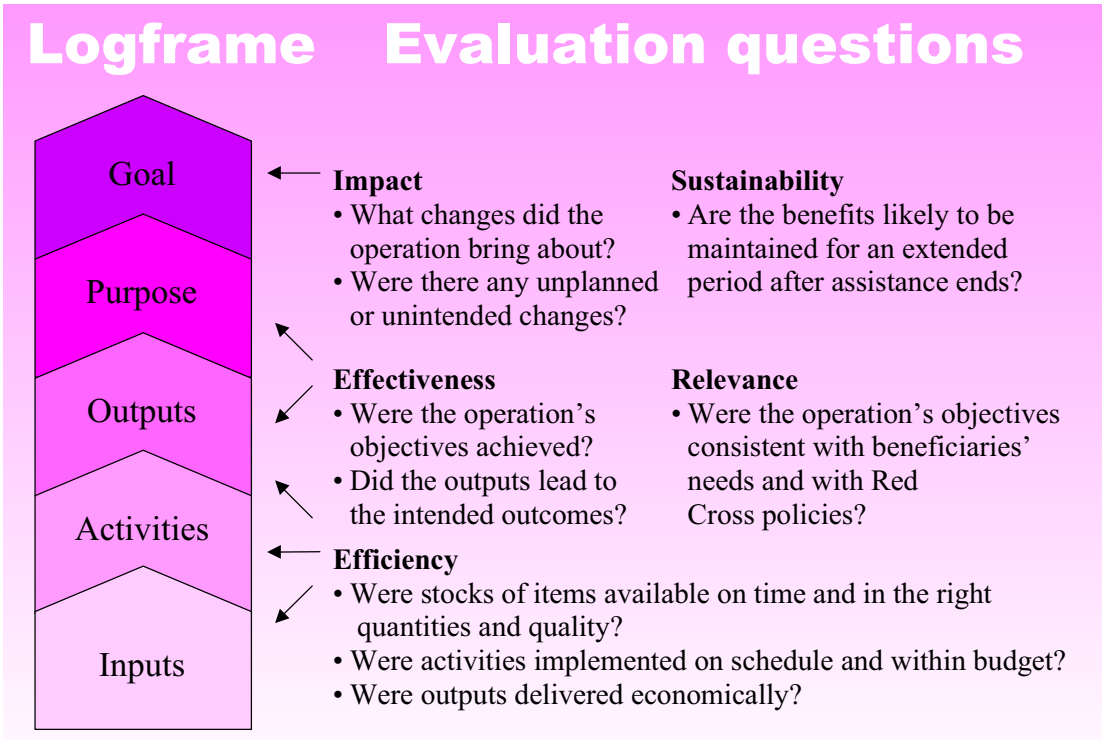
* BCM indicators measure changes in beneficiary behaviour resulting from delivery of the operation's outputs, and are an important means of tracking progress towards desired improvements in status or livelihoods.

1.3.4 What is evaluation?

Evaluation is the systematic and objective assessment of an on-going or completed operation, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfillment of objectives, as well as efficiency, effectiveness, Impact (overall Goal) and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons into management decision-making.

Figure 1.5 sets out the basic questions to be answered by evaluation.

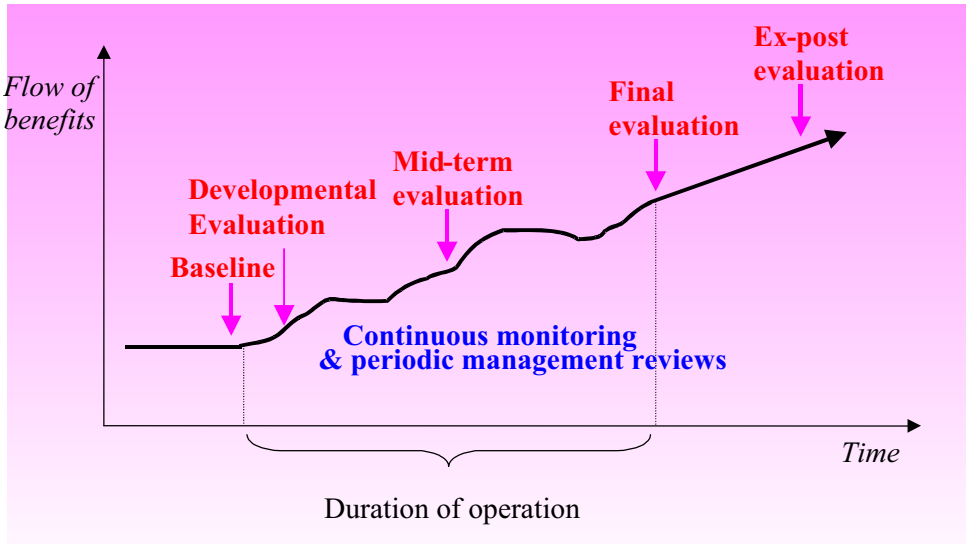
Figure 1.5: Evaluation questions and the logframe



1.3.5 Monitoring and evaluation throughout the lifespan of an operation

Monitoring occurs throughout the operation. A baseline study is usually conducted before the operations begins. Evaluations can occur - for different purposes - at different points on an evaluation.

Figure 1.6: Monitoring and Evaluation throughout the lifespan of an operation



1.4 What is the Framework for Monitoring and Evaluation?

Reflecting International Federation's results orientation, a new results-oriented monitoring and evaluation framework approved by senior management has been established. This framework outlines the purpose and standard definition of both terms, the principles and roles of results-oriented monitoring and evaluation, as well as International Federation's overall approach to monitoring and evaluation. Details of this approach are available in International Federation's Evaluation Operational Framework.

1.4.1 The purpose of a new framework on monitoring and evaluation

The main focus of the framework is to strengthen the monitoring and evaluation function in International Federation to ensure:

- Greater accountability in the use of resources
- Greater focus on the achievement of results
- A clearer basis for decision-making, and
- The promotion of institutional learning and knowledge sharing.

1.4.2 Principles of results-oriented monitoring and evaluation in International Federation

International Federation's framework on monitoring and evaluation is guided by four general guiding principles:

I. All International Federation and National Societies operations should be regularly and systematically monitored and evaluated (including processes, performance and context), unless security concerns are such that the safety of International Federation, national society workers and/or counterpart staff is compromised;

II. Monitoring and evaluation must be built into the design of every emergency and development operations;

III. Monitoring & evaluation systems need to be responsive and appropriate to the characteristics of the situation and the operation being monitored or evaluated. To the extent possible, monitoring & evaluation systems should be integrated with those of implementing partners;

IV. Monitoring & evaluation systems must reflect the information needs and approaches established by key corporate policies (Fundamental Principles of Red Cross and Red Crescent Movement), and strategies (e.g. Strategy 2010) and reporting requirements. Such systems should also provide key data and results information for local as well as corporate results-oriented management information systems.

1.4.3 International Federation's approach to monitoring and evaluation

1.4.3.1 The approach to results-oriented monitoring

The basic tool for setting up a robust monitoring system is the logical framework approach. The key ingredients of such a system must include the following:

- Operation objectives that are clearly defined and stated in a logical framework that identify beneficiary population and delivery to a set of standards.
- A minimum set of results indicators, both quantitative and qualitative, for each objective and critical assumption that are feasible to collect and analyse;
- An assessment of the capacity for monitoring; and an assessment of training needs when capacity needs to be strengthened;
- A plan for data collection and analysis, including baseline and ongoing data; the plan is to include a combination of techniques such as report review, field visits and special studies and surveys;
- A monitoring and evaluation plan and budget summarising information needs, data collection and analysis, information use, reporting and presentation. It must identify who will be responsible and the time frame for key tasks is also noted and updated regularly. The budget must include funds for staff, consultants, travel, relevant meetings and workshops, baseline data collection, data management, special reports and studies, and where training is envisaged, funds for capacity-building;
- A reporting and feedback system that allows for timely decision-making by management on monitoring findings; identify who is responsible for ensuring actionable intervention; and
- An annual review meeting attended by key stakeholders that will allow a participatory annual assessment of performance and results obtained to date as well as planning next year's monitoring and evaluation activities.

1.4.3.2 The approach to results-oriented evaluations

A solid monitoring system is essential for evaluations to provide credible results information. The information provided by baseline studies, progress reports and review meetings enables International Federation and national country evaluations to focus on obtaining and confirming results achieved apart from providing accountability to the Governing Board, the Secretary General and donors.

Evaluations carried out by independent evaluators are undertaken only when there is a special management need or if the evaluation can inform the long-term strategy and policy needs of the organisation.

Evaluation also plays an important role in a learning organisation. In order to put more emphasis on broad reflection and learning from good as well as bad experience, self-evaluations undertaken jointly by National Societies and implementing partners are encouraged as a standard learning mechanism for all operations.

For example, at least one of the following three evaluation exercises should be undertaken during the lifetime (phase) of an operation:

- **self-evaluations** - undertaken by operation managers;
- **non-mandatory evaluations** - undertaken by independent consultants and managed by National Societies;
- **mandatory independent evaluations** undertaken by independent consultants and managed by M&E Division
  - Any operation once the cumulative budget of all phases exceeds SFr 5 million or more;
  - Special operation, sectoral or thematic evaluations as requested by the Governing Board.

LESSONS TO LEARN FROM MODULE 1

OVERVIEW

- THE INTERNATIONAL FEDERATION ADVOCATES A RESULTS ORIENTED APPROACH
- AS SUCH, IT EMPHASISES RESULTS BASED PLANNING
- A SUITABLE APPROACH TO RESULTS BASED PLANNING IS THE LOG FRAME
- LOG FRAME ARE ASSOCIATED WITH LOG FRAME MATRICES WHICH DETAIL PERFORMANCE INDICATORS, MEANS OF VERIFICATION AND ASSUMPTIONS
- MONITORING QUESTIONS ARE DERIVED FROM LOG FRAME. MONITORING IMPLIES THAT TARGETS HAVE BEEN ESTABLISHED IN LOG FRAMES. TARGETS IMPLY SPECIFIED BENEFICIARIES BY STANDARDS OF DELIVERY
- EVALUATION QUESTIONS ARE DERIVED FROM LOG FRAME. EVALUATION REQUIRES MONITORING EVIDENCE.

2. Monitoring and Evaluation

2.1 How to Design a Monitoring and Evaluation System

For an introduction to monitoring and evaluation and their linkage to the logframe, see Module 1.3: What principles and definitions should you be aware of?

The steps in designing a monitoring and evaluation system are summarised in Table 2.1. These steps and the accompanying checklist are developed in more detail in the subsequent sections.

Table 2.1: Steps in the Design of a Monitoring and Evaluation System

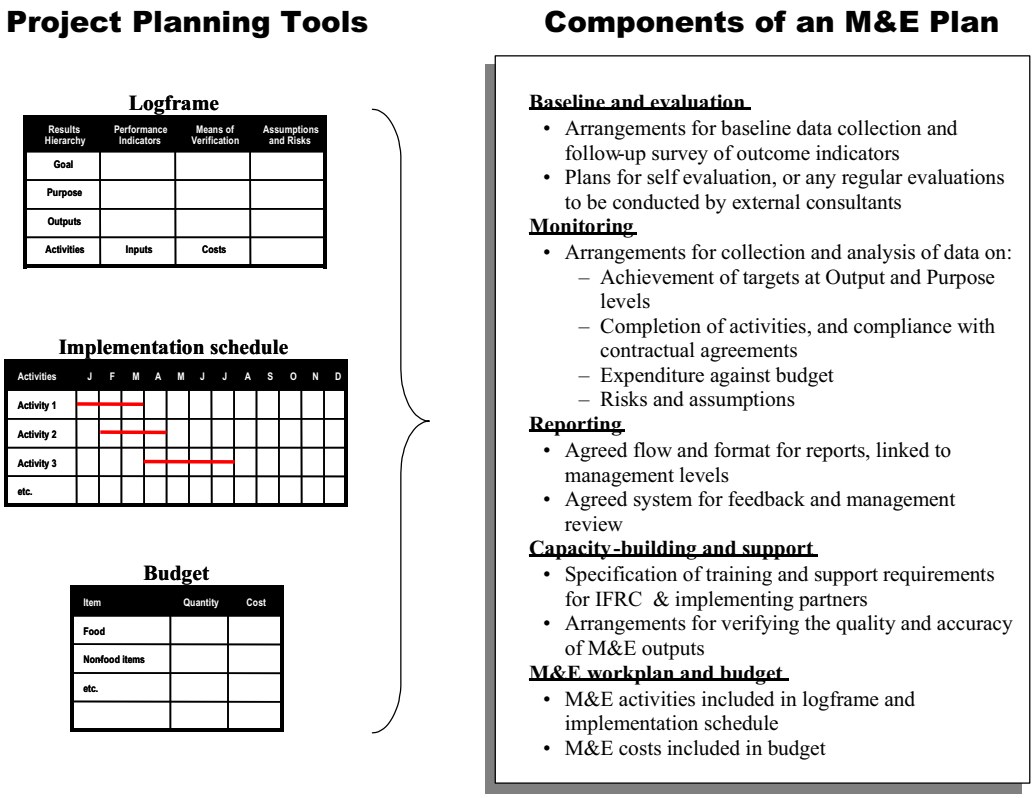
Step	To-do-list
Check the operation's design	Review and revise (and if necessary prepare) a logical framework Ensure that objectives for Goal (impact), Purpose (outcome), Outputs and Assumptions are clearly stated and measurable. Ensure that indicators are adequately specified with quantity, quality and time.
Assess capacity for monitoring and evaluation	Identify what human and financial resources are available Assess training requirements for all monitoring staff, both from International Federation and National Societies and counterpart bodies. Specify training requirements
Plan for data collection and analysis	Check existing information sources for reliability and accuracy, to determine what data is already available. Decide what additional information should be collected, for baseline purposes, for monitoring and for evaluation Set a timeframe and schedule for data collection and processing, and agree on responsibilities.
Prepare the monitoring and evaluation plan and budget	Summarise agreed information needs, data collection, information use, reporting and presentation in a monitoring and evaluation plan. Summarise capacity building and support requirements. Cost all monitoring and evaluation activities, and identify funding sources.
Plan for reporting and feedback	Design the reporting system, specifying formats for reports. Devise a system of feedback and decision-taking for management.

2.2 Checking Operation Design

The starting point in design of the monitoring and evaluation system is to refer to the logframe and its associated products – the implementation schedule and the budget (see Module 1.3.2: Linking monitoring and evaluation to the logframe) as well as the project document or operational plan indications on monitoring and evaluations.

It is vital that there is a clear link between the logframe and the monitoring and evaluation plan, and that information flows cater for the needs of management at different levels in the management hierarchy. Figure 2.1 summarises the linkages required:

Figure 2.1: Components of the M&E plan, and their linkage to the logframe



Guidance for the development and application of a Logical Framework Approach can be found in the International Federation PPP manual. If a logframe exists already, it is nonetheless important to verify its logic and feasibility, to ensure that it does in fact represent a feasible and measurable plan for achievement of the operation's Purpose and Goal.

2.2.1 How clearly are the objectives stated?

Objectives should be assessed for their compliance with International Federation and National Societies policy.

2.2.2 Have external factors been taken into account?

Successful implementation is dependent on other factors that lie outside management control – the assumptions and risks specified in the operation's logframe.

These factors must also be monitored in order that managers are in a position to respond to changes in the operation's operating environment. To make assumptions and risks 'monitorable' they need to be incorporated in the monitoring and evaluation plan and should be specified with indicators. It is important to revisit the risks and assumptions during the project operation to ensure that they still apply.

2.2.3 Will indicators effectively measure progress?

An indicator is a quantitative or qualitative factor that provides a simple and reliable means to measure achievement or to reflect the changes connected to a project/programme. Where possible and relevant, indicators should allow for the collection of disaggregated data (by sex, age and other relevant variables). For each selected indicator, a source of information should be specified that details when, how and by whom the necessary information will be collected.

Table 2.2: Best Practice 'Do's' for Indicators and Means of Verification

Indicators **Indicators should be SMART – Specific, Measurable, Accurate, Realistic, Timely.** **Indicators should be objectively verifiable, meaning that different persons using the same indicator would obtain the same measurements** **Outcome indicators (purpose level) reflect the target population and type of benefits.** **Outcome indicators include coverage of target group access to, use of, and satisfaction with the delivered aid.**
Means of Verification **Indicators can be measurable at reasonable cost by existing means or by procedures to be developed by the project. Responsibility is clearly assigned.** **Output indicators are derived from management record-keeping and internal analysis.**

Common weaknesses in indicator selection are as follows:

Too many indicators are selected – **Managers have a tendency to ask for too much information, assuming that the more they know the better they will be prepared. However, the result is often information-overload. Instead, information needs must be related directly to decision-making roles and to levels of management – more detail is required by field level managers, while aggregated and summarised data is used at higher levels. Selection of indicators should reflect this through the specification of a <u>minimum</u> set of information. The trap of including too many indicators should be avoided, as this will add to the work and cost of collecting, recording and analysing the data.**

Don't select overly complex indicators – **Some indicators present major problems for data collection, either in terms of the skills or the resources required. For example, household income data can be complex and expensive to measure. Alternative indicators to consider are patterns of expenditure or household characteristics such as house construction materials used. Qualitative indicators (e.g. wealth ranking) can also convey complex information in summarised form.**

Don't over-concentrate on physical progress indicators – **Information about food stocks and distribution is vitally important within an International Federation and National Societies operation, but it does not provide sufficient information on the performance of the operation. Information about outcomes is also required. In addition, beneficiary contact monitoring provides a means of tracking the <u>likelihood</u> of achieving outcomes and impact.**

2.2.3.1 Beneficiary Contact Monitoring (BCM) Indicators:

Beneficiary Contact Monitoring (BCM) is defined as a systematic investigation to monitor the beneficiaries' perceptions of an International Federation or National Societies operation. BCM aims to obtain information about the beneficiary reaction to the outputs of an operation, and is intended to provide managers with an indication of progress towards achievement of the operation's Purpose. It must be noted that beneficiaries' reaction, however positive, is only a proxy indicator of the improved situation that an operation is intended to bring about.

Beneficiary Contact Monitoring Indicators:

Provide an effective means of validating whether the output strategy is working
Include information about beneficiary access to, use of, and satisfaction with operation outputs
Seek feedback directly from the women, men, and children
Are referred to in the Logframe Manual as leading indicators

Figure 2.2: Beneficiary Contact Monitoring (BCM) and the Logframe

Results Hierarchy	Performance Indicators	Means of Verification	Assumptions and Risks
Goal			
Purpose The benefits derived by the beneficiaries			
Transition from service delivery to benefit	***Beneficiary Contact Monitoring indicators*** *Men, women and children's access to, use of and satisfaction with the outputs provided by the operation*		
Outputs The services provided by the operation			
Activities			

BCM indicators should be included in the logframe at Purpose level. Examples for different types of operation are provided in Table 2.3:

Table 2.3: Examples of BCM indicators for different types of operation

Development	Development Operation	Emergency Operation
School feeding activity purpose: Increase access to basic education for children	*Supplementary feeding purpose:* Reduce mortality & morbidity risk in children under 5	*General food distribution purpose:* Save lives through provision of adequate food
Outcome indicators Increased rate of girls and boys from low-income households proceeding to higher educational levels	*Outcome indicators* Number of children under 5 suffering from malnutrition Under fives' mortality rate	*Outcome indicators* Crude mortality rate Under 5 mortality rate
BCM indicators *Access* – % of parents aware of value of sending girls for higher education *Use* – % of low-income households with girls & boys enrolled in participating schools *Satisfaction* – Mothers' and fathers' perception of benefits of school feeding for girls & boys	*BCM indicators* *Access* – % of target households aware of supplementary feeding programme *Use* – % of target households participating in supplementary feeding programme *Satisfaction* – Mothers' perception of quality & adequacy of food supplement	*BCM indicators* *Access* – % families registered for food distribution *Use* – Number of registered men, women, girls & boys consuming target ration *Satisfaction* – Men, women & children's opinions about composition & quality of ration

2.3 Assessing Capacity for Monitoring and Evaluation

2.3.1 How to determine M&E capacity

The following questions should be asked:

1. Is there a unit or defined organisation with the responsibility to do monitoring and evaluation?

If yes, how many staff and what are their current responsibilities for data collection, processing, analysis and report preparation?
If no, who will be assigned responsibility for conducting and undertaking monitoring functions?
What skills and experience do the proposed or existing staff have?

2. What are the resources available to the M&E unit or responsible unit? Take into account items such as vehicles, computers (hardware and software) as well as recurrent funding for operations.

3. Are there any established procedures for doing monitoring and evaluation, including:

Specification of targets in plan documents,
Regular and ad hoc surveys, and reporting and dissemination of findings

2.3.2 Assessing training needs

How do you conduct a training needs analysis prior to or after the M&E plan has been prepared and budgeted?

The behaviour and performance of staff is determined by:

i) Their knowledge and skills
ii) Their motivation to fulfil their responsibilities
iii) The organisational environment within which they operate.

You need to assess training needs at three different levels:

Organisational**: assessing the general weaknesses of the organisation in carrying out monitoring – *where is training most needed*?**
Occupational**: assessing the skills required to undertake M&E activities – *what skills are needed to do the job*?**
Individual**: assessing the skills of individuals within identified sections and occupations against their job requirements – *who needs training in what*?**

2.3.2.1 Steps to conducting a training needs analysis and in designing and conducting training activities

1. Clarify monitoring tasks to be undertaken, and agreeing on how responsibilities should be assigned.
2. Discuss possible weaknesses or gaps in physical, financial and human resources available to undertake monitoring, and identify which organisational weaknesses might be addressed by training.

3. Prepare or analyse job descriptions for relevant occupations, specifying monitoring tasks to be undertaken by each, and knowledge and skills required.
4. Use questionnaires or interviews to identify staff's knowledge and skills about monitoring in relation to the requirements set out in their job descriptions, and to identify organisational constraints that may affect their ability to complete their tasks.
5. Together with managers and staff, discuss and agree on training priorities and ways to overcome organisational constraints.

Once training needs have been identified and agreed, the process of designing, delivering and following up the training can begin.

6. Set the training objectives and develop the syllabus:

Specify what trainees must be able to do, and to what standard, after they have completed training
Identify the content required to achieve these objectives
Decide on the training approach that will best achieve the objectives

7. Implement and evaluate the training:

Conduct the training event(s)
Assess whether the training achieved its objectives
Discuss whether the objectives the right ones
Decide whether the training justified its cost

8. Follow up the training:

Assess whether trained staff are putting into practice what they have learned
Assess whether this has generated the desired outcome (i.e. timely and good quality monitoring information)
Determine further training requirements

2.4 Planning for Data Collection and Analysis

The data collection task can be split into two sets of requirements:

baseline data **to gain information on beneficiaries and the local context prior to the start of the main operation activities**
ongoing data **for monitoring of progress during implementation**

Both sets of data are subsequently used for monitoring and evaluation. Special case studies and surveys can be undertaken to update baseline information and to understand the reasons for changes that have occurred.

2.4.1 Why do you need baseline data?

Monitoring and evaluation to a large extent use the same indicators and data sets, with evaluation being rendered difficult if the relevant baseline and monitoring data are not available.

More substantive information about how the operation has changed people's lives is required for evaluation, and so evaluation considerations must be explicitly addressed during system design. The main mechanisms for this are:

Arrangements for baseline data collection – **what was the situation before the operation commenced; and in the case where comparison groups are included in a baseline study, how did the situation within the scope of the operation compare with that outside?**
Arrangements for a follow-up study – **what difference has the operation made:**

i) since start-up; and
ii) in comparison with groups outside the scope of the operation?

The techniques used to collect baseline data are no different from those used in other exercises such as reviews, assessments and evaluations. The difference lies in the purpose of the exercise. Baseline studies provide the necessary information to complete the planning of the operation, through benchmarking of indicators and analysis of context. They are also the basis of sound monitoring and evaluation, providing a snapshot of the conditions prior to start-up. In particular, baseline data facilitates a later measurement of the outcomes and impact of an operation through a follow-up study.

Some key points to keep in mind when planning the collection of baseline information:

The collection of baseline data should be timed to be undertaken prior **to the start of an operation or next phase;**
Baseline and follow-up studies should be included in your M&E plan as key components, and therefore appropriately budgeted and resourced; and
The results of a baseline study should be analysed and presented in a format that is succinct and clear, and most importantly, that can be easily understood by programming staff, project managers or reporting delegates and evaluators.

For further information on planning and undertaking a baseline study, see Module 7: Baseline Studies.

2.4.2 What monitoring data are required and where will it come from?

2.4.2.1 What monitoring data are required?

Ongoing data requirements for monitoring can be summarised within the logframe structure as follows:

Table 2.4: Monitoring Questions and the Logframe

Logframe level	Monitoring questions	
Outcomes	What are the beneficiaries' (men, women and children) access to, use of, and satisfaction with the goods and services delivered?	
	Are women and other vulnerable groups benefiting to the extent foreseen?	
	Is the operation on track towards achieving its Purpose?	
Outputs	What are the physical achievements of the operation?	**Assumptions** Are any external factors significantly affecting the operation's progress? Is the effect positive or negative?
	Is the target group receiving items in the quantities and quality as planned?	
	Are assets being created/maintained as planned?	
	Are other services being made available as planned?	
Activities	Are items being distributed on schedule and in quantities planned?	
	Are other activities being undertaken as planned?	
	Who is participating in the operation?	
Inputs	What is the current position on stocks and pipeline? What are the current losses?	
	Are government, partner and beneficiary contributions being made as planned?	
	What management structures are in place, and how well are they operating?	

2.4.2.2 Input monitoring

Traditional information systems are often geared to satisfying the administrative requirement that funds and resources are adequately accounted for, and that work has been accomplished as planned. But perhaps the most common weakness in physical and financial monitoring is that deviations from the plan may not be traceable to responsibility centres, or that the reason for the deviation is not clear. If, for example, district data for medical activity indicates that there has been an interruption to the distribution of supplies, it is important that this information is accompanied by identification of ***where*** and ***why*** the problem has occurred.

2.4.2.3 Field visits – a valuable source of information

Field visits are an essential monitoring tool for International Federation and National Societies staff, providing the necessary close contact with beneficiaries.

Field visits can serve a number of interlinked purposes:

To gauge progress towards achieving the operation's objectives
To determine beneficiaries' perceptions and reactions to activities
To assess ownership and utilisation of assets created, and to identify any negative effects

To assess the quantity and quality of work undertaken, and the appropriateness of other activities
To make physical checks of commodity stocks, distribution and work
To help managers identify problems and make decisions to overcome them
To establish productive relationships with government, implementing partners
To ensure that men and women beneficiaries are fully involved in implementation and monitoring of the operation.

2.4.2.4 Monitoring participation

Monitoring participation is a critical monitoring task. This involves monitoring:

Who participates – **in carrying out activities, in planning and organisation, and in the sharing of benefits?**
How they work together:

- Do different interest groups (men, women, children, and socio-economic groups) participate in decision-making?
- Are the cost or burden of work equitably shared?
- Are organisational arrangements effective
- Are there established relationships between stakeholders and are they operating effectively?

What factors will aid or impede the process of participation – **sex, age, education, social status, mobility, authority, etc.**

At minimum International Federation and National Societies and its partners must monitor and evaluate the level and nature of participation of women, men and other stakeholder groups in their operations.

2.4.2.5 Monitoring and evaluating International Federation and national society's commitments to women

As part of its gender awareness policy, International Federation and National Societies must generate and disseminate gender disaggregated data and information for planning and evaluation.

All International Federation and National Societies monitoring and reporting will specify:

Men/women percentage share of resources received from aid distribution
Men/women share of benefits by category of activities
Percentage of positions held by women in the planning and management of operations

2.4.3 Who undertakes data collection and analysis at the field level?

It is essential that duplication of monitoring be avoided, that information gaps are identified, and that resources for monitoring are used efficiently. The M&E Plan will help to clarify who will collect what, and why. It will also provide a framework for agreeing on responsibilities for the scaling up of the monitoring effort.

Where International Federation and National Societies have direct responsibility for monitoring, the relevant tasks are usually undertaken by project managers. Project managers or reporting delegates are usually tasked to collect and analyse monitoring data and to prepare field reports. In the recruitment and deployment of managers and reporting delegates:

Constitute mixed teams – both internationals and nationals – to take advantage of the different perspectives of various individuals
Develop a team approach, with frequent team meetings to promote integration and shared perceptions
Aim for gender equity as women managers or reporting delegates monitors are usually essential to ensure access to women in the target communities, and to be able to determine what is happening to women within households.

Table 2.5: Qualities and skills required of those monitoring projects

They must:
Have an understanding of International Federation and national society's mandate and goals in operations
Have good analytical and reporting skills
Have skills in qualitative and quantitative data collection techniques
Have knowledge on input and output monitoring, inventory control and aid distribution methods, preferably gained from prior experience in similar operations
Be honest, observant, perceptive, inquisitive, persistent, and diplomatic
Be sensitive listeners who also have the ability to influence and convince people through discussion
Energetic, willing to travel and spend the majority of their time in the field
Capable of reviewing problems with officials on-the-spot
Be team players
Be able to determine and focus on what is important.

National staff:

Have advantages in terms of language, cultural understanding and, usually, freedom to travel, which are particularly important for monitoring distribution, end-use, and the evolution of the overall situation.
May be subject to a variety of pressures and, in general, should not be assigned to work in their own localities or immediate ethnic groups.

International staff including volunteers:

Can bring wider experience, relevant overseas experience particularly in relation to logistics and general management
May be able to address issues, which for cultural reasons, it is difficult for national staff to pursue
Have skills and can train others in the theories and practices of assessment and monitoring methodologies
Lack of local language and cultural understanding can be a handicap and may lead to undue reliance on reports and a failure to appreciate what is really happening within the communities concerned.
In some conflict or civil strife situations their freedom to travel may be restricted: they may require permits and/or escorts to travel to certain areas.

2.4.4 Computerised systems for monitoring

Computerised systems for monitoring offer opportunities for the following:

Efficient data storage
Flexibility and speed of analysis
Cross-comparisons
Trend analysis
Preparation of simple graphs.

Before deciding on what computer programme to use you should check the following:

Do existing manual systems work efficiently? If yes, then computerisation may not be an immediate concern.
Will data be collected extensively for a significant period of time, and be analysed quantitatively? If yes, then computerisation is likely to offer considerable efficiency gains.

What is the best programme or software to use? This will depend on the staff skills, equipment and funds available, the type of data required, and the type of analysis planned.

Relatively simple computerised systems using Microsoft Excel or Access exist and information on existence, strengths and weaknesses of such systems can be accessed.

MS Excel **may offer the best solution if available skills are limited. Excel provides the facility to develop menu-driven data entry forms to build a database, and the *pivot-table* facility allows for simple cross-tabulations to be generated quickly.**
MS Access **offers a more advanced tool for database development, but is more complex and may require investment in training for relevant staff to become fully familiarised with its functions.**

Whatever system is chosen, the following considerations should be taken into account:

Detailed plans for computerisation should be prepared as part of the monitoring and evaluation system design, to ensure that the necessary physical and financial resources are provided for.
There should be provision for back up to the system in case of computer breakdown.
Skilled staff will be required to operate and maintain the system, and to undertake the necessary analysis.

2.5 Preparing the Monitoring and Evaluation Plan and Budget

2.5.1 The monitoring and evaluation plan

Below is a matrix for developing the monitoring and evaluation plan.

Figure 2.4: A Monitoring and Evaluation Plan

Logframe element	Indicators (including targets)	Means of Verification				Use of information	
		Data source	Frequency & cost of collection	Responsibility for collection	Collection method	Reporting	Presentation
Goal							
Assumptions							
Purpose							
Assumptions							
Outputs							
Assumptions							
Activities							
Assumptions							
Inputs							

The following information should be entered into the matrix:

Logframe element **– Goal, Purpose, Output, activity, inputs and assumptions**
Indicators **– for the Goal, Purpose and Outputs, the indicators contained in the operation logframe should be inserted and targets added. For inputs, the physical quantities and project financial costs should be inserted for the main cost categories – for example:**

- for items the projected quantities and cost of each commodity
- for human resources, the projected staff time and cost

etc.

Data source – **the primary or secondary data source that will provide information about each indicator – e.g. existing statistics or records; project accounts; nutrition survey; etc.**
Frequency of collection and cost– **how often primary data will be collected, or secondary data analysed (e.g. quarterly, annually, at end of phase, etc.), and the budget required.**
Responsibility for collection – **which organisation or unit will be responsible for collecting and/or analysing the data**
Collection Method – **how the data is being collected (e.g. focus group meetings)**
Reporting – **in which report(s) the information will be included**
Presentation – **at which fora or meetings the information or report will be presented and discussed**

2.5.2 The monitoring and evaluation budget

Data collection, processing, analysis and reporting, as well as capacity building and field support must be costed in terms of time and resources. These costs will be incurred either by International Federation and National Societies and must be included in the operation budget.

Monitoring is a basic management activity and as such should be considered a proportion of time of all staff involved in implementation as well as regular office equipment, facilities, vehicles, travel etc. These are standard budget items for International Federation and National Societies, government and implementing partners and are usually not budgeted separately.

2.6 Planning for Reporting and Feedback

2.6.1 Guidance for monitoring and evaluation report writing

1. Be as **short as possible**, consistent with the amount of information to be presented.
2. Focus on **results** being achieved as defined in the logframe or defined in the objectives, and link the use of resources allocated to their delivery and use.
3. Be clear on who your **audience** is and ensure that the information is meaningful and useful to the intended reader.
4. Write in **plain language** that can be understood by the target audience.
5. Ensure **timely submission** of progress reports. Even if incomplete in certain aspects or component coverage, it is better to circulate key results in other areas rather than wait for the complete picture.
6. Provide a **brief summary** (1 page) at the beginning.
7. Be consistent in your use of **terminology, definitions** and descriptions of partners, activities and places.
8. Present complex data with the help of **figures, summary tables, maps, photographs, and graphs**.
9. Only highlight the most significant **key points or words** (using bold, italics or other stresses).
10. Include **references** for sources and authorities.
11. Include a **table of contents** for reports over 5 pages in length.

2.6.2 How would project/programme managers use reports?

A baseline study report provides the necessary information to 'benchmark' indicators for the operation's Purpose and Goal, providing a snapshot of the situation before the operation commences or at least in its early stages. The follow-up study then provides a picture of how the situation has changed. The baseline study also provides useful information for planning purposes. If the study is conducted before implementation starts, baseline information can help to fine-tune the operation's design. If the study is conducted during the early stages of implementation, then it can provide useful information to validate the design, or to identify necessary modifications.

Timely progress reporting will inform whether or not the operation is on track regarding the delivery of outputs and outcomes, and thereby permit management to focus its energy on the most critical bottlenecks.

Progress reports at quarterly and six monthly intervals should:

Be results-oriented (provide updates on outputs achieved, and include BCM information)
Be action focused
Allow management to review what has been done in the last reporting period as compared to the plans
Permit management to decide on what needs to be done in the next period.

Self-evaluation reports should:

Be results-oriented (provide an assessment of actual output and outcomes achieved)
Permit the preparation of new or follow-up operations in a way that incorporates the experiences of the existing operation
Provide a close-out analytical report for those operations that are being terminated

More in-depth evaluations will support institutional learning and so guide policy formulation for management at the strategic level. Out of these policies and corporate lessons, practical guidance will subsequently emerge to help managers prepare better operations.

2.6.3 Monitoring the partner's reporting system

Operations reporting should be monitored for:

Timeliness – **whether reports are submitted at the specified and agreed times. This can be monitored simply by recording on a flow chart when reports are received.**
Completeness – **whether all of the information required by the report format is provided.**
Consistency – **whether the units used in consecutive reports facilitate comparisons in performance over time. This can be monitored by checking the report against the agreed milestones and indicators specified in the monitoring plan.**
Content – **the extent to which the report provides an analysis of what has taken place, or simply presents 'bare' figures.**
Reliability/accuracy – **the extent to which the report is a fair representation of the facts.**

2.6.4 Feedback

How can we ensure that relevant monitoring and evaluation information triggers dialogue and decision-making by the various concerned stakeholder groups?

First of all, acknowledge receipt of progress report and provide comments regarding report conclusions, recommendations and timeliness.

In addition, the M&E plan should programme more formal feedback opportunities such as:

Quarterly progress review meetings – **Reviews output progress (planned versus actual), reviews BCM findings and early evidence of outcome and acts on improvement proposals**
Evaluation debriefing workshop – **Conducted at the end of the field mission stage of the evaluation, where initial evaluation findings are presented and discussed in order that stakeholder feedback can be incorporated into the final report.**

LESSONS TO LEARN FROM MODULE 2

DESIGNING, MONITORING AND EVALUATION

- CHECK PROGRAMME DESIGN BY REVIEWING LOG FRAME
- ASSESS CAPACITY FOR MONITORING AND EVALUATION
- PLAN DATA COLLECTION
- PREPARE MONITORING AND EVALUATION PLANS AND BUDGETS
- OUTLINE REPORTING STRUCTURES AND RESPONSIBILITY FOR ACTION

3. Monitoring and Reporting National Society Programmes

3.1 How to Design a Monitoring and Evaluation System for National Society Programmes

The guidance provided in this module should be used following review of Module 1.3: What principles and definitions should you be aware of? and Module 2.1: How to design a monitoring and evaluation system .

The steps in designing a monitoring and evaluation system are summarised in Table 3.1. These steps and the accompanying checklist are developed in detail in Module 2. Additional details related to Co-operation Agreement Strategies and Development Activities are provided in Module 3.

Table 3.1: Steps in the Design of a Monitoring and Evaluation System

Step	To-do-list
Check the operation's design	Review and revise (and if necessary prepare) a logical framework Ensure that objectives for Goal (impact), Purpose (outcome), Outputs and Assumptions are clearly stated and measurable. Ensure that indicators are adequately specified with quantity, quality and time.
Assess capacity for monitoring and evaluation	Identify what human and financial resources are available Assess training requirements for all monitoring staff, both National Societies and counterpart bodies. Specify training requirements
Plan for data collection and analysis	Check existing information sources for reliability and accuracy, to determine what data is already available. Decide what additional information should be collected, for baseline purposes, for monitoring and for evaluation Set a timeframe and schedule for data collection and processing, and agree on responsibilities.
Prepare the monitoring and evaluation plan and budget	Summarise agreed information needs, data collection, information use, reporting and presentation in a monitoring and evaluation plan. Summarise capacity building and support requirements. Cost all monitoring and evaluation activities, and identify funding sources.
Plan for reporting and feedback	Design the reporting system, specifying formats for reports. Agree arrangements for national society supervision and oversight of the partner's reporting system Devise a system of feedback and decision-taking for management.

3.2 Check the National Society Programme and Activity Design

National society programmes and activity design should be presented in logframe. Guidance on developing a logframe is provided in the International Federation PPP Manual. For how to verify the logframe see Module 2.2: Checking operation design.

3.2.1 National society level

A National Society Co-operation Agreement Strategy (CAS) will normally have an overall logframe that brings coherence to the set of planned Activities and shows their coherence with a common set of Goals and Purposes. Below is an example of a CAS logframe, down to the Activity Purpose level:

Figure 3.1: Example Logical Framework Summary for Ghana CAS, 2001-2005

Results-Hierarchy		Performance Indicators	Assumptions and Risks
Goal at National level: The Central objective of Government's DSPR is the substantial reduction of the levels of absolute poverty in Ghana through measures, which increase the capacities and opportunities for all Ghanaians, in particular the poor.		A reduction of the incidence of absolute poverty from a level of 27% in 1999 to below 20% in 2004.	The general economic situation will allow Government increase investment in the northern savannah regions for poverty reduction.
Goal of Country Programme: Strengthened capability of food insecure households in the savannah region especially women to meet their own food and nutrition needs on a sustainable basis and withstand external economic shocks and natural disasters while addressing gender and regional imbalances as well as HIV/AIDS		**Impact indicators:** Contribute to reduce poverty levels in the northern regions from 70% in 1999 to the current national average of 40% by 2010. Reduced chronic food insecurity of vulnerable groups in the northern savannah zone, particularly during the lean season.	GOG will create and maintain an institutional framework for CP management and oversight that facilitates effective integration and linkages among CP activities as well with other related development activities. Provision of non-food items from different sources is a necessary condition for success. Lack of support from partners in that field may affect CP implementation.
Purpose of the Country Programme: (= activity level goals)		**CP Outcome indicators:**	**Assumptions and Risks**
1.	Progress towards the fulfilment of **the right to personal security** *inter alia* through improved health and nutrition practices and increased capacity of communities to rehabilitate/create and maintain assets that provide secure and sustainable livelihoods .	Increased percentage of normal weight children. Reduced percentage of children with low birth weight Increasing number of households successfully participating in soil and water conservation and forest management and conservation activities.	Adequate financial and technical capacity at district level. Risk: High turnover in government service may result in loss of capacities with departure of trained staff
2.	Progress towards the fulfillment of **the right to knowledge** through increased enrolment and attendance of girls and improved learning capacity.	Increased number of girls enrolled and successfully completing primary and JSS	Governments ability to comply with conditions such as providing complementary inputs (classrooms, teaching materials and teachers) to cope with expected increases in enrolment in targeted schools.
Purpose of each CP Activity:		**Activity outcome indicators***	**Assumptions and Risks**
1.1	Improve the household food security and therefore, the nutritional status of the vulnerable groups (under –5 children, pregnant and nursing mothers and mothers of malnourished children) through supplementary feeding .	Child underweight rate reduced below 40% by 2005 ; Low birth weight rate reduced to fall below 13% by 2005;	Efficient and effective monitoring and reporting system at health and nutrition centres. Availability of complementary resources for health and nutrition Compliance with lessons from health and nutrition education training at household level
1.2	Contribute to the rehabilitation of severely malnourished children by increasing their recovery rates	Reduction in numbers of mothers repeating the nutrition and health education classes	
1.3	Improve the skills of the health workers, volunteers and beneficiaries through health, nutrition and gender training.	Reduced prevalence of malnutrition in target communities.	
2.1	Increase enrolment of girls at primary school and JSS, increased school attendance and reduced drop out record of girls per year	Increase girls' enrolment by 15% yearly and reduce their dropout rate by 12% yearly at primary school and JSS levels.	Government and donors ability to provide complementary inputs (classrooms, teaching materials teachers etc) to the targeted schools

The International Federation and National Societies Country Delegation must monitor the performance of the Co-operation Agreement Strategy as a whole by:

- aggregating and summarising information about individual Activities
- re-allocating its human, physical and financial resources in support of these Activities in the most effective way.

3.2.2 At activity level

The International Federation and National Societies must monitor the performance of each Activity by:

- Conducting field visits (particularly to monitor changes to beneficiaries' livelihoods)
- Assisting in any special studies (as required and agreed during operation design)
- Monitoring food pipeline and other resources (inputs)

- In 'monitoring the monitors' – making sure that Government or NGO monitoring is being carried out effectively
- Assessing skill gaps and training needs related to Government or NGO monitoring capacity
- Undertaking training as required.

There are four types of development activities supported by International Federation and National Societies outlined in the International Federation Knowledge Sharing Division policy document.

This policy documents presents the most common objectives for each type of activity, and suggests indicators for the output and outcome (or Purpose) levels of the logframe, namely:

- Promotion of fundamental principles and humanitarian values
- Disaster preparedness
- Disaster response
- Health and care in the community offices.

The following resource materials available in International Federation and National Societies offer guidance on the particular information needs of different types of development activity:

- From Principles to Action
- Better programming initiatives
- Disaster preparedness training manual
- The Sphere Project
- Public Health Guide for Emergencies
- Guidelines on HIV/AIDS
- Water and Sanitation Guidelines

3.3 Assessing Capacity for Monitoring and Evaluation for Co-operation Agreement Strategy and Activities

In order to assess capacity see Module 2.3: Assessing capacity for monitoring and evaluation. It gives guidance on Module 2.3.1: How to determine M&E capacity and on Module 2.3.2: Assessing training needs.

3.3.1 How to determine M&E capacity for co-operation agreement strategy and activities

For Co-operation Agreement Strategies and Activities, International Federation and National Societies assesses government and other partners monitoring capacity and ensures that the monitoring system is geared to the capabilities and resources available. This assessment and reassessment takes place:

- at design stages
- during the course of drawing up operational plans and other agreements
- at regular intervals (usually annually) during implementation.

International Federation and National Societies assesses and reviews its own staff skills, time and financial resources available for monitoring and evaluation functions regularly during the planning and implementation phases.

3.3.2 Assessing training needs for co-operation agreement strategy and activities

To enhance capacity of government and implementing partner staff to undertake the various monitoring and evaluation functions envisaged, on-the-job or formal training may be required. International Federation and National Societies staff may also require enhanced M&E skills.

For basic guidance on how to conduct a training needs analysis and the steps for implementing training see Module 2.3.2: Assessing training needs.

3.4 Planning for Data Collection and Analysis for Co-operation Agreement Strategy and Activities

In order to proceed to plan and develop data collection and analysis systems refer to Module 2.4: Planning for data collection and analysis that gives advice on:

- Module 2.4.1: Why do you need baseline data?
- Module 2.4.2: What monitoring data is required, and where will it come from?
- Module 2.4.2.3: Field visits – a valuable source of information
- Module 2.4.2.4: Monitoring participation

3.4.1 What baseline data are required?

For a general introduction to collecting baseline data, see Module 2.4.1: Why do you need baseline data. For more in-depth guidance refer to Module 7: Baseline Studies and Module 8: Tools for Data Collection.

Baseline data are always required for development activities. In some emergency situations, interventions will take place without baseline data. Without baseline data, it is impossible to judge whether the activity's objectives are being or have been achieved.

There are two levels at which baseline data are required.

- **At a country level** – data are required to identify *trends* over time in order to determine whether the programme as a whole has improved the situation of vulnerable men, women and children. These data will provide a baseline for the Co-operation Agreement Strategy objectives (and therefore the Goal level of each Activity), and should be available from the assessment and targeting process.

- **For the project** check:
  - the indicators specified in the Purpose level of the Activity logframe
  - monitoring data from the current phase
  - data available from Evaluations of previous phases
  - other secondary sources, including data available from the assessment and targeting process.

If there are major data gaps for key indicators that the Activity is intended to affect, then primary baseline data must be collected or another indicator selected.
The choice of baseline data collection techniques will depend on:

- how much time International Federation and National Societies, can allocate to data collection
- the available expertise on study design within International Federation and National Societies
- the availability and expertise of field staff or enumerators
- financial resources available for data collection.

For guidance on how to prepare a budget for a baseline and follow-up study see Module 7.3.12: Prepare the Workplan and Budget.

3.4.2 What monitoring data is required, and where will it come from?

The main mechanisms for monitoring operations within the Co-operation Agreement Strategy are as follows:

- **National Society Self Assessment**
- **Activity implementation schedules and monitoring plans** – these provide the national society with the framework and milestones against which progress is to be measured.
- **Regular reports** – prepared by the national society with the necessary quantitative and qualitative information about inputs, activities and outputs.
- **Field Visits** – conducted by CO staff in collaboration with government and implementing partners, these provide the national society with a systematic record of quantitative and qualitative information to complement and verify the information provided in regular reports.
- **The Project Report –** prepared for each operation, this provides a record of:
  - activity implementation with factual information on activities, outputs, and outcomes;
  - an analysis of issues and problems; and
  - recommended actions to address issues identified.
- **Review meetings/stakeholder meetings** – ad hoc or regular meetings in which stakeholders present and discuss issues identified through other monitoring mechanisms, these provide the national society with the opportunity to agree on actions to be undertaken to support Activity implementation.

For general monitoring questions related to each level in the logframe see Module 2.4.2: What monitoring data is required and where will it come from?

3.4.2.1 Field visits – a valuable source of complementary information

For information on how to undertake monitoring field visits see Module 8.2.6 Field Visits.

3.4.2.2 Beneficiary contact monitoring – determining beneficiary access to, use of, and satisfaction with the outputs of the activities

For an introduction to Beneficiary Contact Monitoring (BCM), see Beneficiary Contact Monitoring (BCM) Indicators 7.2.6.

Seeking feedback directly from the men, women and children who are supposed to be benefiting from International Federation and National Societies Activities provides:

- an effective means of validating whether the output strategy is working
- information about the *likelihood* that the purpose will be achieved.

In addition, BCM can provide an early indication of problems in Activity design that could be addressed by re-allocating International Federation and national society's human physical or financial resources in support of one Activity to another, in order to enhance likelihood of overall achievement of Co-operation Agreement Strategy objectives.

3.4.2.3 Who undertakes data collection and analysis at the field level?

- See Module 2.4.3: Who undertakes data collection and analysis at the field level?

3.5 Preparing the Monitoring and Evaluation Plan and Budget

3.5.1 The M&E plan

An example of a monitoring and evaluation plan for a development activity is provided in Figure 3.2.

Figure 3.2: Examples of Monitoring and Evaluation Plan for a Co-operation Agreement Strategy (Goal level)

Achievement of Activity Goal

Information Requirements	Indicators	Means of Verification				Use of Information	
		Data source	Frequency of collection	Responsibility for collection	Collection method	Reporting	Presentation
Goal - Enable households which depend on degraded natural resources for their food security to make a shift to more sustainable livelihoods	Reduced incidence & degree of food insecurity among households in districts with degraded natural resources	Baseline report	Before & after completion	Project Officer	Field Visit	Project	Evaluation Workshop

Achievement of Activity Purpose

Information Requirements	Indicators	Means of Verification				Use of Information	
		Data source	Frequency of collection	Responsibility for collection	Collection method	Reporting	Presentation
Purpose - Increase incomes & food security of target population	Changes in income by households or household members Amount of forest products harvested per household	Baseline study & follow-up study in participating & control villages	Before & at completion	National society	Sample survey	Baseline Report Terminal	At inception workshop & terminal workshop
	Leading indicators: - Number households receiving income or food from protected land - Beneficiaries (men & women) perceptions of costs & benefits of scheme	Regular field visits Mini-survey at mid-term	Six-monthly At mid-term	National society	Field visits & sample survey	Mid-term management review report	At mid-term management review workshop
Assumptions - Encroachment by non-participating households can be controlled	Number of encroachments and extent of damage	Site survey of area protected	Annual	Implementing partner,	Visual observation during field visits	Annual report	At annual review meeting

Delivery of Activity Outputs

Information Requirements	Indicators	Means of Verification				Use of Information	
		Data source	Frequency of collection	Responsibility for collection	Collection method	Reporting	Presentation
Output 1 - Increased area of protected & productive forested lands	Area of land developed or protected	Site survey of area protected & survival survey of seedlings planted	Annual	Implementing partner	Visual observation during field visits. Survival survey of seedlings planted	Annual Report Terminal	At annual review meeting & terminal workshop
Assumptions - Market prices for fruit tree crops remain stable	Local market prices for fruit tree crops	Market survey	Seasonal	Village Food Distribution committees	Recording of prices observed in sample of markets	Annual report	
Output 2 - Target population fed	Number of people who have received International Federation supplied food by gender and age group	Food distribution sheets	Monthly	Village Food Distribution committees, Implementing partner	Compilation from food distribution sheets	Monthly report	At quarterly progress review meeting
Assumptions - etc	Etc.	Etc.	Etc.	Etc.	Etc.	Etc.	
Output 3 - Community groups formed an active in managing forested lands	Number of community groups formed and active	Village committee records	Quarterly	Implementing partner Community Development Workers	Compilation from village committee records	Quarterly	At quarterly progress review meeting
	Representation and involvement in committees by gender	Village committee records	Quarterly	Implementing partner	Compilation from village committee records	Quarterly	
		Village committee survey	Six-monthly	Implementing partner	Focus group discussions	Quarterly	
	Number of plans prepared and adopted	Plans submitted Site verification	Quarterly	Implementing partner	Count of plans submitted & field visits to verify	Quarterly	
Assumptions - etc.	Etc.	Etc.	Etc.	Etc.	Etc.	Etc.	

3.5.2 The monitoring and evaluation budget

For budgeting for monitoring and evaluation refer to Module 2.5.2: The monitoring and evaluation budget. For guidance on possible items to include in a budget for a baseline study see Module 7: Baseline Studies.

3.6 Planning for Reporting and Feedback

3.6.1 Written reports

The basic reporting system for national society programmes is as follows:

- **Regular Field Reports –** Most Activities are implemented at project level. For their own internal management purposes they produce regular monitoring reports (usually monthly and quarterly). The format and contents of these reports varies according to the type of Activity, the availability of data, and the capacity of the implementing agency to collect and process data. For guidance on how to design reporting formats, see Module 2.6.1: Guidance for monitoring and evaluation report writing.
- **The Quarterly Project Report** – The QPR is prepared every three months by the project and submitted to the country delegation, for which it is an essential management tool. These reports should include information on outputs as agreed in the M&E Plan.
- **The Annual Report –** The annual report is prepared every year for each Activity by the responsible International Federation and National Societies Officer. Individual activity will be summarised in a Co-operation Agreement Strategy that will be sent by the national society to the International Federation.

3.6.2 How would project/programme managers use reports?

For general guidance on how to use progress reports, self-evaluation and in-depth evaluation reports see Module 2.6.2: How would project/programme managers use reports?

Some examples of how to use typical reports for Co-operation Agreement Strategy and Activities are as follows:

- **The Quarterly Project Report**, **Project Implementation Report and Field Visit Reports** – are essential tools for the managers to measure progress against plans for the period. Timeliness is critical to permit management to focus on resolving the most critical problems and shortcomings. These reports are used by the National Societies to prepare the annual reports and make the necessary analysis of progress.

- **The Country Delegation Report on CAS Implementation** - This report permits judgement on the progress of each activity and the National Societies programme towards achievement of the planned targets. Country Delegation staff identify serious problems and indicate who should be responsible for producing corrective measures. Although this report is an internal International Federation and National Societies document, a draft of the report should normally be discussed at a review meeting with the implementing partners. In these meetings, agreement needs to be reached on what past actions have been completed and what future actions are needed.

3.6.3 Feed-back for co-operation agreement strategy and activities

See Module 2.6.4: Feedback.

LESSONS TO LEARN FROM MODULE 3

MONITORING NATIONAL SOCIETY PROGRAMMES

- PRESENT NATIONAL SOCIETY PROGRAMMES IN LOG FRAME
- OUTLINE PERFORMANCE INDICATORS
- OUTLINE IMPACT INDICATORS
- OUTLINE ACTIVITY INDICATORS
- DETAIL ASSUMPTIONS

4. Monitoring and Reporting

General guidance on the design of a monitoring and evaluation system for all types of operation is provided in Module 2: Monitoring and Evaluation.

4.1 What is Particular about Monitoring and Evaluating?

In emergency operations and development operations, the external environment (context) is often unstable and can change rapidly.

Sudden-onset crises:

- have to be planned and initiated quickly on the basis of an incomplete understanding of the situation
- a minimum set of monitoring activities must be initiated rapidly and then be extended progressively as circumstances and resources allow
- a system for food distribution monitoring is essential, in order that reliable information is available as soon as possible on who is being fed, and how much they are receiving
- especially in conflict zones International Federation and National Societies relies heavily on local partners due to insufficient or absent governmental capacity.

In most slow-onset emergencies (e.g. drought) appropriate monitoring activities can be planned ahead.

In most development operations, monitoring activities build on activities during the emergency operation phase.

4.2 How to Design a Monitoring and Evaluation System (reminder)

The steps in designing a monitoring and evaluation system are summarised in Table 4.1. (See also 2.1). These steps and the accompanying checklist are developed in more detail in the subsequent sections.

Table 4.1: Steps in the Design of a Monitoring and Evaluation System

Step	To-do-list
Check the operation's design	Review and revise (and if necessary prepare) a logical framework Ensure that objectives for Goal (impact), Purpose (outcome), Outputs and Assumptions are clearly stated and measurable. Ensure that indicators are adequately specified with quantity, quality and time.
Assess capacity for monitoring and evaluation	Identify what human and financial resources are available Assess training requirements for all monitoring staff, both from International Federation and National Societies and counterpart bodies. Specify training requirements
Plan for data collection and analysis	Check existing information sources for reliability and accuracy, to determine what data is already available. Decide what additional information should be collected, for baseline purposes, for monitoring and for evaluation Set a timeframe and schedule for data collection and processing, and agree on responsibilities.
Prepare the monitoring and evaluation plan and budget	Summarise agreed information needs, data collection, information use, reporting and presentation in a monitoring and evaluation plan. Summarise capacity building and support requirements. Cost all monitoring and evaluation activities, and identify funding sources.
Plan for reporting and feedback	Design the reporting system, specifying formats for reports. Agree arrangements for Country Delegation supervision and oversight of the partner's reporting system Devise a system of feedback and decision-taking for management.

4.3 Checking Operation Design

For instructions on how monitoring and evaluation should be covered in design documents go to:

4.3.1 M&E considerations in project cycle stages

Table 4.2: M&E Considerations for the emergency operation and development operation project cycles

Project Cycle Stage	*M&E Considerations*
Initial assessment (Sudden-onset emergency) (emergency operations only)	What systems and capacity are available to maintain basic records? What resources (International Federation and National Societies and partners) are needed to assure minimum standards of record-keeping, reporting and monitoring from the outset?
Detailed assessment (Sudden- and slow-onset emergencies)	What systems and capacity are available to: gather information on the overall situation (context) on an ongoing basis; monitor end-use (household level); analyse and decide on action? What is the intensity of monitoring required in relation to the expected duration and complexity of the operation? What resources (International Federation and National Societies and partners) are needed to assure monitoring and subsequent analysis and reporting take place?
Preparation of an Operational Plan (emergency operations only)	Defining an initial M&E plan: provisional indicators; responsibilities; procedures; schedule for progressive implementation of the plan; resource requirements and budget for M&E. Including M&E considerations in contingency plans to deal with potential changes in the situation.
Preparation of the operation document	Specifying M&E plan and the budget required from International Federation and National Societies
Implementation	Scaling up of the monitoring and evaluation system: Compiling baseline data Designing data collection tools Training operational staff in reporting and use of monitoring information for decision-making Selecting and training project managers (recruited by International Federation and National Societies) Compiling, analysing and responding to reports on a continuous basis for inputs, activities, outputs and outcomes Planning and undertaking field visits; managing project mangers; enhancing teamwork Monitoring the performance of partners Organising periodic review meetings Feeding the findings of monitoring and ongoing self-evaluation into operations management decision-making
Review/re-assessment	Assessing performance of the operation to date Assessing performance and adequacy of monitoring system to date Reviewing current situation and trends; requirements for ongoing assistance; exit strategy
Periodic evaluation	Determining effectiveness and impact of the operation.

4.3.2 Reviewing or preparing a logframe

Guidance on developing a logframe is provided in the International Federation PPP manual. For how to verify the logframe see Module 2.2: Checking operation design.

For all development operations and for *slow-onset* emergencies:

- involve stakeholders in the development of a logframe following the guidance provided in the International Federation PPP manual or
- if a logframe has been prepared, check that the objectives and assumptions have been clearly and appropriately specified, and that a small number of relevant, feasible indicators have also been identified.

For a *sudden-onset* emergency:

- assistance to the population in need is likely to commence while assessment is ongoing
- operational objectives, implementation plans -- including for targeting and distribution – are set on a day-to-day basis
- at the earliest opportunity, the objectives and assumptions should be mapped into the format of a logframe, even if gaps remain and objectives and indicators are not stated precisely
- a group of 5-10 national society can construct a rough and ready logframe in half a day
- the logframe provides an agreed framework for going forward although it will require regular updating
- information about the assumptions, gathered as part of the initial assessment, will build a more detailed picture of the situation, and permit managers to revise and update their plans accordingly
- once a detailed assessment has been conducted, a more in-depth logframe analysis can be prepared and the monitoring and evaluation system designed accordingly.

4.4 Assessing Capacity for Monitoring and Evaluation

In order to assess capacity see Module 2.3: Assessing capacity for monitoring and evaluation. It gives guidance on Module 2.3.1: How to determine M&E capacity and on Module 2.3.2: Assessing training needs.

4.4.1 Defining roles and responsibilities for monitoring

Before you assess M&E capacity for an operation, it is important to first review the roles and responsibilities of International Federation and National Societies and implementing partners. Roles will vary depending on the context and the availability of partners.

Table 4.3: Monitoring Roles in Operations

Situation	Role of International Federation and National Societies	Roles of Government or NGO Partners	Roles of Main UN Partners
Slow and quick onset emergencies and development operations	Receives and analyses reports from partners and undertakes field visits on a regular and/or spot-check basis Helps identify and, where possible, resolves any problems.	Organise and report on distributions and other activities. Set up information systems to provide socio-economic and nutritional data.	UNICEF and International Federation and National Societies will collaborate in establishing routine monitoring mechanisms and in making periodic re-assessments.
In some conflict situations – complex emergencies	Organises distributions, usually with and through local committees or community-based organisations. Field staff prepare distribution reports and 'monitoring team leaders' scrutinise reports and undertake supervisory field visits.	In some extreme cases government and NGO partners' roles are very minor.	Humanitarian coordination is usually undertaken by either UNDP or OCHA.
In refugee operations	Monitoring is planned and undertaken jointly by International Federation and National Societies and UNHCR.	Organise and report on distributions and other activities.	UNHCR manages entire refugee operation and monitors a wide range of services from protection to health, education and sanitation.

International Federation and National Societies has concluded Global Memoranda of Understanding (MOUs) with major UN partners for emergency and development operations that provide guidance on monitoring and evaluation responsibilities for each party.

4.4.2 Assessing capacity for monitoring

For general guidance on assessing capacity, go to Module 2.3.1: How to determine M&E capacity.

In an emergency situation the following additional questions need to be addressed:

- How has previous M&E capacity been affected by the crisis itself?

- How might capacity and performance be impacted indirectly by the additional demands now placed on the organisation as a whole?
- What possibilities are there for certain M&E functions to be undertaken by locally-established NGOs, and what are the capacities of those available?
- What factors in the environment will make the collection and regular reporting of information difficult? What can be done (and by whom) to overcome those difficulties?
- What support would be needed to enable M&E activities to be undertaken? – What transport is available? What more will be needed? What training must be organised? What office supplies must be provided?

4.5 Planning for Data Collection and Analysis

In order to proceed to plan and develop data collection and analysis systems refer to Module 2.4: Planning for data collection and analysis that gives advice on:

- Module 2.4.1: Why do you need baseline data?
- Module 2.4.2: What monitoring data is required, and where will it come from?
- Module 2.4.2.3: Field visits – a valuable source of information
- Module 2.4.2.4: Monitoring participation

This Module provides additional guidance on these topics in relation to emergency operations and development operations.

4.5.1 Baseline data

For detailed guidance on planning and undertaking a baseline study, see Module 7: Baseline Studies.

Baseline indicators that are often considered critical for measuring progress in multi-agency supported relief operations are:

- Rates of moderate and severe malnutrition (among children 6-59 months old)
- Mortality rates (for all age groups and particularly for children)

4.5.2 What monitoring data is required, and where will it come from?

General guidance for the collection of monitoring data is provided in Module 2.4.2: What monitoring data is required, and where will it come from?

4.5.2.1 What is the minimum set of monitoring information that we must collect in a quick-onset emergency?

In an emergency situation decisions are made when information is unclear, contradictory or just absent. Prioritising the importance of key decisions can provide a rough basis for prioritising information needs.

Minimum monitoring information needs in a quick-onset emergency include:

- receipt and delivery of International Federation and National Societies-supplied commodities and non-food items
- number (gender and age disaggregated) of people receiving International Federation and National Societies assistance
- handling and distribution of International Federation and National Societies-supplied commodities
- food aid availability and unmet needs.

Post distribution monitoring will begin some days after the start-up of the operation.

4.5.2.2 Field visits – a valuable source of complementary information

For general guidance refer to Module 2.4.2.3: Field visits.

In conflict-affected areas assessment and monitoring are sometimes done simultaneously.

In acute crisis situations caused by armed conflict, it is sometimes necessary to plan food aid operations without a thorough understanding of the food deficits of particular groups in the society. The emergency response then targets a geographical area in which it is believed that a large number of people are at risk. Whenever staff from International Federation and National Societies or other agencies manage to make short visits to the area, they must seek to determine:

- how the food provided is being used (monitoring)
- the household food security situation and how it might be changing (assessment).

How is monitoring and assessment done simultaneously?

Two weeks after a food distribution or after a series of food distributions in a particular area gather information on:

- Food access and control at household level
- Changes in food intake and its consequences
- The specific effects of insecurity on people's food security.

4.5.2.3 Beneficiary Contact Monitoring – determining beneficiary access to, use of, and satisfaction with the outputs of the activities

For an introduction to Beneficiary Contact Monitoring (BCM), see Module 2.2.3.1: Beneficiary Contact Monitoring (BCM) Indicators.
Use rapid appraisal techniques, particularly focus group discussions with separate groups of men and women, and interviews with individual key informants to cross-check the plausibility of findings.

Field visits for the collection of BCM information also provide a useful opportunity to update assessment data. Table 4.4 provides a suggested checklist for such rapid monitoring of food needs, which should ideally be conducted two weeks after a food distribution (or after a series of food distributions in a particular area which targeted the same recipients).

Table 4.4: Suggested checklist for rapid appraisal (monitoring and assessment)

Food accessibility by men and women	What access do people have to their own gardens and to markets? Have crops and food stocks been destroyed, or looted? Who in the household is not receiving sufficient food? Are there opportunities for causal labour? What wages are paid?
Food control and surplus in the household	Has there been an increase of domestic violence due to food shortage and the coping strategies adopted? Who decides how much food/livestock will be sold and how much will be kept for household consumption? What are the constraints for women to decide on household food use?
Changes in food intake for household members	To what extent has access to safe drinking water and fuel wood changed? Which households face the greatest difficulty in accessing food? (Are female-headed households particularly vulnerable?) In which households are adults suffering from malnutrition? Has there been a change in the weight of newborn babies? Which households have the lowest weight babies?
Security situation	How has geographical mobility changed? What has been the effect on women in particular? How are people accessing basic food and non-food items, water and fuel wood? What type of activities cannot be carried out because of insecurity? What can the community do to increase the feeling of security?

4.5.3 Who undertakes data collection and analysis at the field level?

See Module 2.4: Planning for data collection and analysis

4.6 Preparing the Monitoring and Evaluation Plan and Budget

See Module 2.5: Preparing the monitoring and evaluation budget

4.6.1 The M&E plan

For the overall format and descriptions of what should be entered into the matrix refer to Module 2.5.1: The monitoring and evaluation plan.

4.7 Planning for Reporting and Feedback

See Module 2.6: Planning for Reporting and feedback

4.7.1 Written reports

National offices are required to prepare four types of reports on operations:

1. Situation Reports (SITreps)
2. Pipeline Status Reports.
3. Project Reports.
4. Annual Reports.

4.7.1.1 SITreps and Pipeline status reports

SITreps are the principal means of sending information to Headquarters about the progress of field operations, describing any problems, constraints or unmet needs. They are numbered by year and sequence order (e.g. 2002/001, 2002/002, 2002/003). The frequency of SITreps depends on the size and gravity of the emergency. They should be sent every few days in an emergency's early stages, but are usually prepared monthly thereafter.

SITreps provide International Federation and the national society with up-to-date summarised information concerning:

- the progress of the operation;
- any changes in the situation during the reporting period;
- any particular problems, constraints or unmet needs.

Pipeline status reports are usually provided on a monthly basis.

4.7.2 How would operation managers use reports?

General guidance on linking reports to management decision-making is provided in Module 2.6.2: How would project/programme managers use reports?
Frequent systematic reviews by all stakeholders are essential in fast-moving emergency (and some development operation situations. They should normally be at least every 3 months – perhaps every 6 months – depending on the rate and extent of changes occurring. Such reviews should be organised within each distinct operational area as well as at national level (following shortly after the decentralised meetings).

These reviews should focus on:

- what an operation is achieving
- the underlying reasons for any problems or under-performance
- how the overall situation is evolving.

4.7.3 Feed-back for operations

See Module 2.6.4: Feedback

LESSONS TO LEARN FROM MODULE 4

PROJECT CYCLE

- LINK MONITORING AND EVALUATION TO PROJECT CYCLE
- REVISIT INITIAL ASSESSMENT
- REVIEW DETAILED ASSESSMENT
- EXAMINE OPERATIONAL PLAN
- DOCUMENT IMPLEMENTATION AGAINST
- ASSESSMENTS AND PLAN1

5. Evaluation

5.1 Introduction

5.1.1 For what?

This module provides guidance on how to plan, organise, manage and use evaluations of International Federation and national society's emergency and development portfolio.

5.1.2 For whom?

Guidance is provided to evaluation managers in the national society and regional offices or in headquarters.

5.1.3 What is an evaluation manager?

Evaluation exercises are normally managed by the Evaluation Department of the International Federation Secretariat in Geneva. However, evaluations and other analytical functions may be implemented at Country Delegation and National Society level. Staff from the M&E Division in headquarters may integrate themselves into the evaluation team as a regular team member or the team leader or may provide advice and input into the design and implementation of the evaluation. The guidelines also provide more specific guidance on the role of the evaluation manager.

5.1.4 Why evaluate?

Evaluation is first and foremost an important management tool, enabling International Federation and National Societies to review its performance, take decisions, learn from experience and account for its actions, thereby improving International Federation and national society's ability to deliver results. Evaluation is also an accountability tool for providing management, the Governing Board and donors with the basis for reviewing performance and for making the necessary decisions to improve the effectiveness and efficiency of policies and operations. Evaluations also support accountability and learning at country level, by providing stakeholders with the information necessary to assess the performance of National Societies and to learn and agree on ways of improving the performance of International Federation and national society's programmes and operations.

For an introduction to evaluation including definitions and functions see Module 1.3.4: What is evaluation? and Module 1.4: What is International Federation and national society's policy for monitoring and evaluation?

5.2 A Framework for Evaluation

Evaluation for accountability purposes looks back at past performance to determine the *degree* of success or failure, while evaluation for learning seeks to improve future performance by determining the *reasons* for success or failure. International Federation and National Societies evaluations generally contain both elements, with more weight given to one or the other depending on the key purpose and timing of the evaluation. In both cases evaluation is concerned with comparing what has been achieved with what was planned, and therefore with measuring the extent to which the objectives or intended results of an operation have been achieved. The logical framework, together with a timeline, provide structures for evaluation reporting.

The logical framework has an important role in operation design, implementation and subsequently in evaluation. It provides an important framework for thinking through evaluation questions – so much so that if no logical framework exists, it is recommended that the evaluation team should retrospectively construct a logical framework as a means of analysing the logic and completeness of the operation design document. See Figure 1.6.

5.3 Types of Evaluation

Evaluations within International Federation and National Societies can be differentiated by the following terms:

- A **self-evaluation** (sometimes called a mid-term management review) is conducted entirely by staff involved in an operation (typically including national society staff), and normally without the assistance of external consultants.
- A **non-mandatory evaluation** uses independent external consultants and may be managed by the M&E Division or the national society/regional office.
- A **mandatory evaluation** is one required as outlined in the International Federation monitoring and evaluation policy. These are usually managed by the M&E Division.

The reports for all mandatory evaluations are presented to the Secretary General and Governing Board.

Non-mandatory and mandatory evaluations may take place at mid-point (also called **mid-term**), at the end (also referred to as final or **terminal**) or several years after the operation has been closed (**ex-post**) A term that is increasingly coming into usage instead of is '**real time** evaluation' used for developmental purposes. This refers to the fact that the policy, programme or operation are evaluated as the programme starts and therefore the results of the evaluation will be fed back into the remaining period of implementation.

5.4 Evaluation Standards and Principles

5.4.1 General standards

Evaluations must meet the following standards:

- **Evaluations must be useful and used** – the evaluation must serve the information needs of intended users, requiring that the needs of all stakeholders must be identified and addressed. Reports should clearly describe the operation being evaluated, including its context, and the purposes, procedures and findings of the evaluation. Findings and reports must be disseminated in a timely manner, and implementation of evaluation recommendations must be ensured by the national society, or the M&E Division in the case of thematic evaluations, through an evaluation recommendation-tracking plan.
- **Evaluations must be accurate** – The evaluation must reveal and convey technically adequate information about the operation, in order that its worth or merit can be determined. The evaluation report must be evidence-based, showing clearly how the methods were applied by the evaluation team and how the findings were arrived at.
- **Evaluations must seek to reflect the reaction of beneficiaries** – evaluation planning must provide for adequate consultations with representative beneficiary groups with attention given to including the perspectives of males, females, children, and other vulnerable groups as relevant for the operation. Evaluation teams must make use of rapid rural appraisal methods whenever possible.
- **Evaluations,** unless undertaken as a self-evaluation**, must be independent and impartial** – Evaluators should not have been involved at any prior stage in the operation being evaluated. The evaluation should be complete and fair in its examination and recording of the strengths and weaknesses of the operation. Different viewpoints, if they exist, should be presented in the report.

5.4.2 Key principles for evaluating operations

Evaluations of emergency operations and development operations in many respects follow the process of more conventional evaluations: preparing the terms of reference, selecting the evaluation team, selecting the methods, conducting the field study, developing conclusions and recommendations, and disseminating the evaluation findings. However, due to the characteristics of emergencies (multiplicity of actors, fluidity of the situation on the ground, problems of access, etc.), evaluation often has to be approached in a very different way.

Based on the OECD/DAC guidelines, the following key principles for emergency operations and development operations should be added to the ones listed in 4.1:

1. **Evaluations and their planning must take into account the special socio-cultural and environmental conditions created in emergency and post-emergency settings, e.g.**
   - Restricted access – evaluators may find their access to people and places severely constrained (by roadblocks, attacks on aid convoys, damaged infrastructure, etc.). The evaluation should take account of these constraints in their assessment.
   - Human rights abuses – the population being assisted (particularly the women and children) may be subject to a range of abuses. The evaluation should take account of the security situation and the protection needs of the affected population – i.e. whether the operation has taken such issues sufficiently into account.
   - Psycho-social trauma – the affected populations may have experienced severe trauma, much more than might be apparent to the outsider. Care must be taken to empathise with their experiences, whatever group (government; rebel; civilian; men,

women etc.) they belong to, and the subject matter must be dealt with in a sensitive manner. In such cases the evaluation team must contain evaluators experienced with talking to such affected populations.

- Objectivity – conflict and tension may lead to such intensity of feeling and polarisation of views among different affected groups, that the search for 'truth' may never be successful. The veracity of information can never be taken for granted, and triangulation is a vital principle in data collection and analysis.

2. Evaluations must pay particular attention to reconstructing the sequence of events and processes

- Information on process – key information on a range of matters of vital significance to evaluators is often missing. Although this is a problem for all evaluations, it can be particularly acute for complex emergencies – monitoring and baseline data is often absent or patchy, either because of collection problems or difficulties in recording decisions and maintaining filing systems; and where data does exist, it may suffer from a lack of consistency or complementarity between the systems of different agencies.
- Information on context – lack of information on the sequence of events and the changing objectives of humanitarian assistance often requires evaluators to reconstruct 'histories' or 'pictures' of context and events from which to judge the appropriateness and effectiveness of aid.

3. Evaluations must place greater focus on policy evaluation techniques

- Cause and effect – the conventional evaluation approach of separating out cause and effect is often not possible in complex systems composed of numerous inter-dependent relationships. The focus is more on the use of qualitative and deductive methods to build narratives about specific events and processes, to understand what happened and why.
- The policy imperative – because the humanitarian response to emergencies often involves a multiplicity of actors and a high degree of interdependence, evaluating individual agency responses is often not appropriate – in logframe terms, too many factors and accompanying actions fall into the assumptions column. Experience shows therefore the need for a greater focus on collaborative and system-wide evaluations, enabling related operations to be evaluated together.

5.4.3 Evaluation criteria

The evaluation criteria generally applied by International Federation and National Societies are:

- **Relevance** – The extent to which the objectives of an operation are consistent with beneficiaries' needs, country needs, organisational priorities, and partners' and donors' policies.
- **Preparation and design** – An assessment of the process by which the operation was identified and formulated, and the logic and completeness of the resultant operation design.
- **Adequacy** – an assessment of the adequacy and timeliness of inputs in relation to carrying out the activities.
- **Efficiency** – A measure of how economically inputs (funds, expertise, time, etc.) are converted to outputs.
- **Effectiveness** – The extent to which the operation's objectives were achieved, or expected to be achieved, taking into account their relative importance.
- **Outcome** – The medium-term results of an operation's outputs. Also interpreted as the purpose level effects attributable to an operation.

- **Impact** – Positive and negative, intended or unintended long-term results produced by an International Federation and National Societies operation, either directly or indirectly. Also interpreted as the goal level effects attributable to an operation.
- **Sustainability** – The continuation of benefits from an International Federation and National Societies operation after major assistance has been completed.
- **Connectedness** – in the case of emergency operations and development operations only – ensuring that activities of a short-term emergency nature have been carried out in a context which takes longer-term and interconnected problems into account.
- **Coverage and targeting –** Concerns the appropriateness of operation-level targeting objectives to the local situation, their compliance with International Federation and national society's targeting objectives at policy level, and the extent to which the planned coverage has been achieved.
- **Partnerships and coordination** – The appropriateness of the partnerships which have been established with governments, NGOs and agencies, the effectiveness with which these partnerships have been managed to support achievement of objectives.

For clarification on how these criteria are linked to the logframe, see Table 5.1 below.

Table 5.1: The logical framework and evaluation criteria

Logframe level	Information Required	Evaluation Criteria
GOAL	**Contribution of the operation to wider and long-term objectives.** What have been the long-term changes to the lives of the beneficiaries; can these changes be attributed to the operation or programme? **Have impact indicator targets been achieved/are they likely to be achieved?**	**IMPACT** – progress towards achievement of Goal *'Making a difference in the long-run.'*
PURPOSE	**Actual achievement of Purpose/outcome targets compared to the plan.** Were targets achieved – who benefited and how? If targets were not achieved, was this due to poor performance, poorly specified indicators, or problems with operation design; what are beneficiary perceptions of the operation – how do they perceive their lives to have changed? **Have outcome indicator targets been achieved/are they likely to be achieved?** **Realisation of assumptions.** How did factors outside management control affect achievement of the purpose; did operation design adequately take these into account? Have assumptions been monitored and if so, has this resulted in a change of strategy when indicated?	**RELEVANCE** – addressing the right problems with the right approach as well as International Federation and national society's core mandate responsibilities and national policies. *'Meeting the real needs of beneficiaries.'* **OUTCOMES** – Extent to which outputs have resulted in the achievement of the purpose or component purposes **EFFECTIVENESS** - extent to which an operation has attained its purpose **COVERAGE & TARGETING** - have targets been met, the right people benefited at the right time? *'Meeting the right needs.'* **SUSTAINABILITY** - prospects for self-reliance and continued utilisation of services after completion. *'Continuation without outside help.'* **CONNECTEDNESS** – whether the operation in responding to acute and immediate needs, is taking longer-term needs and problems into account.
OUTPUTS	**Actual achievement of output targets compared to the plan.** Who received food aid and other services; were targets met; could performance have been better achieved through a different approach? **Have output indicator targets been achieved/are they likely to be achieved?** **Realisation of assumptions.** How did factors outside management control affect achievement of outputs; did operation design adequately take these into account?	**EFFECTIVENESS AND EFFICIENCY** -. Testing the quality, quantity and timeliness of outputs and the cost-efficiency with which they were delivered. *'Doing the right things and doing them well'* **SUSTAINABILITY** - prospects for continued delivery of services after completion. *'Continuation without outside help.'*
ACTIVITIES	**Actual start-up & completion dates compared with plan.** Beneficiary selection criteria and processes. Was food aid delivered effectively by International Federation and National Societies and its partners; did the organisational arrangements work; were there any delays or time-savings; what effect did any deviations have on the operation? **Realisation of assumptions.** How did factors outside management control affect completion of activities; did operation design adequately take these into account?	**EFFICIENCY** – achievement of an optimum relationship between cost, quality & time. *'Doing things right and spending less.'* **COORDINATION & PARTNERSHIP** - taking a joint approach to problem solving and delivery. *'Working well together.* **SUSTAINABILITY** - prospects for continuation of activities after completion. *'Continuation without outside help.'*
INPUTS	**Actual input quantities and costs compared to budget.** Were resources provided and utilised according to plan; were inputs provided at least cost and to the desired standards of quality and quantity; if not, how did this affect the operation?	**ADEQUACY** – Having adequate and timely inputs to carry out activities *'Securing support and being prepared'*

5.5 Is there a Framework to Capture Criteria?

Accountability evaluation criteria of relevance, impact, efficiency, effectiveness and sustainability all require measurement of different things. What is measured under relevance is the appropriateness of action in relation to policies, needs and priorities. By implication these questions are asked from society's perspective - not that of the implementation or target group. The major methodological challenge is how to address the lack of social consensus that exists about humanitarian crises. And the reference point is the mission of donor and implementing partner.

Table 5.2 outlines what to measure from which perspective, the methodological challenges and the points of reference as well as laying out key questions. It provides a map for addressing the evaluation criteria. Note, in particular, that the Key Questions required judgements and that judgements require data. Data requires measurement and measurement needs perspective. Measurement also raises methodological challenges. Most importantly, judgement requires a reference point shared by all parties.

Table 5.2: Evaluation Criteria

	What to Measure	Whose Perspective	Point of Reference	Methodological Challenge	Key Questions
Measuring Relevance (Coverage)	Appropriateness in relation to policies, needs and priorities	The society	Mission of donor and implementing partner	Lack of consensus regarding needs and priorities	Are objectives in keeping with needs and priorities? Should activities be continued or terminated?
Measuring Impact	Intended and unintended positive and negative effects	The society	Status of effected parties prior to intervention	Lack of information about effected parties Cause and effect linkages	What are the positive and negative effects? Do positive effects outweigh negative effects?
Measuring Efficiency (Timeliness)	The delivery of aid	The implementors	Similar interventions Best practice standards	What standards to use as reference	To what degree have aid components been delivered as agreed? Could it have been done cheaper, more quickly, and with better quality?
Measuring Effectiveness (Coherence) (Coordination)	Achievement of objectives	The target group	Agreed objectives	Unclear, multiple, confounding, or changing objectives	To what extent have agreed objectives been reached? Are activities sufficient to realise agreed objectives?
Measuring Sustainability (Connectedness)	Likelihood of benefits to continue	The society	Projected, future situation	Hypothetical answers	To which extent does the positive impact justify investments? Are the involved parties willing and able to keep design and exit strategy?

5.6 Asking Questions about the Context of the Evaluation

It is important to understand the situational context in which aid is delivered. This best done by asking a series of questions:

1. Are lives or livelihoods in danger?
2. How rapidly are circumstances changing?
3. Are governance structures in place?
4. What is the demographic make-up of the beneficiary population, including data on age, gender and ethnicity?
5. Are there significant gaps in statistical knowledge about the beneficiary population?
6. Have any efforts been made to identify and seek local solutions?
7. What is the security situation in the area?
8. How likely are people to be able to return to their traditional livelihood systems?
9. Which other agencies are operating in the area?
10. What are the beneficiaries' attitudes towards external assistance?
11. What standards will govern the delivery of assistance?
12. What would happen if aid were not provided?

5.7 Asking Questions about the Planning of Humanitarian Assistance

In reviewing the situational context, it is usually possible to provide an initial assessment. In humanitarian assistance however there is frequently a missing middle were the assessment is not turned into a planing framework. While there is a defence that immediate action can take place after the assessment without a planning framework, it is difficult to monitor and therefore difficult to evaluate humanitarian assistance without a planning framework. To this end it is useful to ask a series of questions that inform a planning approach to humanitarian assistance:

1. Is there an adequate analysis of the crisis situation and a clear identification of the beneficiary population?
2. Has data been systematically collected and analysed and, if not, how are data requirements to be tackled?
3. Has parallel experience from other humanitarian assistance interventions been taken into account?
4. Have roles been clearly defined including that of coordination?
5. What are the reasons for involvement of individual agencies and how will they be phased out?
6. How is the situation likely to change because of the intervention?
7. How has the prioritisation of need been determined?
8. Are assumptions realistic?
9. Are the objectives sufficiently explicit so that they can be monitored, against standards, for achievement?
10. What are the main inputs and activities to generate that achievement?
11. Does the humanitarian assistance discourage local initiative and increase dependence?
12. Is the planning comprehensive and coherent?
13. Is a timeframe provided with the plan?
14. Do agency staff have experience to implement and monitor activities?

Asking questions using the evaluation criteria in evaluating humanitarian programmes and projects a starting point is provided by the OECD/DAC Guidelines for Evaluating Humanitarian Assistance in Complex Emergencies, which provide questions around the key criteria of evaluation. These are: -

Relevance

Relevance is the extent to which the aid activity is consistent with the priorities and policies of the target group, implementing agency and donor.

In evaluating relevance of programme or a project, it is useful to consider the following questions:

1. To why extent are the objectives of the programme relevant?
2. Are the activities and outputs of the programme consistent with the overall goal and the attainment of the objectives?
3. Are the activities and outputs of the programme consistent with the intended impact and effects?
4. Are the activities appropriate interventions?
5. Is there adequate coverage, by activity, of the affected population?
6. Should the programme have been discontinued earlier or should it have been extended?

Effectiveness

Effectiveness is a measure of the extent to which an aid programme attains its objectives. Effectiveness measures the extent to which the activities achieves its purpose, or whether this can be expected to happen on the basis of the outputs.

In evaluating the effectiveness of a programme or project, it is useful to consider the following questions:

1. To what extent were the objectives achieved?
2. What were the major issues influencing the achievement or non-achievement of the objectives?
3. Was there shared goals between different implementing agencies (coherence?)
4. Was there evidence of coordination issues influencing achievement of objectives.

Efficiency

Efficiency is an economic term, capturing the costs (physical and human resources) to achieve the desired results. In other words, what was best value for money?. Efficiency measures the outputs - qualitative and quantitative - in relation to the inputs. This generally requires comparing alternative approaches to achieving the same outputs, to see whether the most efficient process has been used.

In evaluating the efficiency of a programme or project, it is useful to consider the following questions:

1. Were activities achieved at least cost?
2. Were objectives achieved in a timely manner?
3. Was the programme or project implemented in the most efficient way compared to alternative ways?
4. Did responding in an emergency situation raise unit costs?
5. Was input material purchased locally?
6. Where local tenders sought?
7. What was the cost split between expatriate and local salary costs?

Impact

Impact is a term indicating whether the project has had a positive or negative effect on its surroundings in terms of technical, economic and socio-cultural, institutional and environmental factors. Evaluation should consider:

1. Direct effects - the immediate costs and benefit of both the contribution to and the results of a project without taking into consideration their effect on the economic;
2. Indirect effects - the cost and benefit which are unleashed by the contributions to a project and its results;
3. Multiplier effects - a special indirect effect that deals with the increase in the use of the economy's capacity, by the aid programmes generating a rise in demand.

In evaluating the impact of a programme or project, it is useful to consider the following questions:

1. What has happened as a result of the programme or project?
2. What real difference has the activity made to the beneficiaries?
3. How may have been affected?
4. What would have happened if the programme or project did not exist?

Sustainability

The extent to which the objectives of an aid activity will continue after the project assistance is over; the extent to which the groups affected by the aid want to an can take charge themselves to continue accomplishing its objectives. Sustainability is concerned with measuring whether an activity or an impact is likely to continue after donor funding has been withdrawn. A programme/project needs to be environmentally as well as socially and financially sustainable. As half of humanitarian aid is judged to be rehabilitation activities, it is important to address sustainability.

In evaluating the sustainability of a programme or project, it is useful to consider the following questions:

1. To what extent did the programme or project continue after donor funding reached an end?
2. What were the major factors that influenced the achievement or non-achievement of sustainability of the programme or project?
3. Was the sustainability issue broadly addressing issues of environmental, economic or social sustainability?

Where the humanitarian aid programme is focused on emergency relief the questions address connectedness. Here the questions are:

1. How did relief activities relate to rehabilitation and development activities?
2. How was the exit strategy planned?
3. If there was no exit strategy, how did termination occur?
4. Were there significant changes in activities as the level of disaster reduced?

Some questions that are difficult to answer. (Source: OECD, 1991 and OECD, 1986).

Measuring impact is very difficult to do particularly in humanitarian assistance where evaluations frequently take place after intervention has finished. As such it is difficult to judge whether overall objectives have been achieved especially in the absence of plans, monitoring result and specified standards. More specifically it is difficult frequently to attribute the contribution of specific activities to changes in the livelihood status of the target population.

It is also important to ask, especially in complex emergencies, if project activities helped stabilise the conflict or helped generate additional levels of conflict. For humanitarian aid agencies, operating in a human rights tradition, the impact of their advocacy strategy should also be evaluated.

Efficiency questions focus on the deployment of financial and human resources in relation to output. The questions must start with cost data and, if possible, a comparative cost data between different agencies in the same intervention or similar interventions in different contexts. Did management guidelines exist for implementing activities and how far did these guidelines facilitate objectives. Could the same results have been achieved at lower cost or accommodated more beneficiaries? How did logistics work, particularly in terms of timeliness? And, because it relates to efficiency as well as effectiveness, it is essential to ask if creating and monitoring space for humanitarian activity was an issue.

In dealing with relevance questions of coverage arise. What was the target population? How did project activities reach that population? Was anybody excluded from the services? With issues of effectiveness the major question is was the project purpose achieved and were the activities carried out as originally planned? Arising under effectiveness issues are the issues of coherence between funders and among agencies in the field - did they share frameworks of intervention or were interventions on a stand-alone basis.

In relief evaluations the sustainability issues focus more on connectedness. How was the relief strategy designed to phase out? Did the phase out seek to hand over resources to local capacity? How were local coping mechanisms strengthened as a consequence of the relief intervention? It is worth noting, however, that a large proportion of humanitarian assistance are actually rehabilitation rather than relief and as such the OECD sustainability evaluation criteria should be used. It is however very difficult to evaluate exit strategies if there is no plan and monitoring system which identifies the end of programme intervention. This stresses again the importance of building an adequate planning and monitoring framework for humanitarian assistance.

Addressing evaluation criteria will generate a series of questions about the design of the humanitarian intervention. Were the objectives clearly stated? Were external factors taken into account including a specification of risk and assumptions? Were indicators identified to measure progress, particularly indicators that were SMART (Specific, Measurable, Accurate and Timely)?

5.8 Planning a Self-Evaluation

Self-evaluation is an evaluation undertaken by the project implementers themselves with or without external facilitation. Self-evaluation should become an integral part of the national society operations and be required **before the preparation** of a new phase or as a **close-out self-assessment** at the end of an operation.

5.9 Part of the Monitoring Process is National Society Self-Assessment

The following framework for the administration and follow-up of the National Society self-assessment is based on feedback received and lessons learnt from the Self-Assessment process in 2000 and 2001.

5.9.1 Objectives of Self-Assessment and Operational Framework

Context

Strategy 2010 called for mechanisms to be established to enable International Federation Governance to actively review the state of its members, while providing timely support to National Societies towards achieving the *Characteristics of a Well-functioning National Society*. To support this priority, in November 2000 the Governing Board adopted National Society Self-Assessment as an institutional tool and process for monitoring National Society performance and integrity. The Secretariat was directed to refine and administer the tool to all Federation members in a phased manner over a period of 3 years. In their meeting of November 2001, the Board further called upon National Societies to follow up their completed Self-Assessment with a plan of action, and directed the Secretary General of the Federation to provide consistent support to help National Societies implement these plans. It further directed the Secretary General to report back to the Governing Board on each National Society's progress in this area.

Objectives

The objectives of the Self-Assessment Programme are:

- To assist individual Societies in identifying their strengths/weaknesses, demonstrating their commitment for change and prioritising actions in line with Strategy 2010 in order to better fulfil their mission to improve the lives of the vulnerable people.
- To support the Federation Governing Board in policy and strategy making by providing the means to annually review the members performance against the Characteristics of a Well Functioning National Society.
- To contribute to organizational shared learning by sharing baseline data on National Societies and samples of good practices.
- To enable the member Societies to compare the status of their Society towards the Movements global trends, thematical or geographical.
- To mobilise Federation and external support to National Societies through sharing the Self-Assessment findings.

Instrument

The core instrument for National Society Self-Assessment is a questionnaire designed, and updated when needed,[1] by the Evaluation Department in consultation with Secretariat Departments and Regional Delegations. This core questionnaire ('Well-functioning National Society Self-Assessment') contains the key indicators to measure progress towards achieving

[1] The questionnaire was last revised in April 2002 based on lessons and feedback from the 2001 phase of self-assessments.

the characteristics of a well-functioning National Society within the framework of *Strategy 2010*. It has undergone an extensive consultation process to ensure its relevance and utility across the spectrum of National Societies Federation-wide.

In addition to the above-mentioned core questionnaire, further questionnaire modules containing region/sector specific indicators may be proposed, developed and administered by a Regional Delegation or Secretariat department, in consultation with the Evaluation Department.

Operational Framework

The following operational framework for the administration and follow-up of the National Society Self-Assessment builds on experience and feedback from the Pilot and ongoing phase of Self-Assessments.[2] It incorporates operational changes to implement the Governing Board decisions.

I. Questionnaire Administration

A. Administration of the core questionnaire to the 178 National Societies is phased out over a period of three years (2001-2003). In addition to the 15 National Societies which volunteered for the Pilot Self-Assessment phase, 40 Societies (8 from each world region) were selected for the first phase of the Self-Assessment programme in 2001; a further 60 Societies were included in the process in 2002; and all remaining Societies will be invited to participate in the 2003 phase.

B. Upon completion of the three-year process, the Self-Assessment exercise will be repeated at appropriate intervals in order to capture time trends.

C. The list of National Societies to which the core questionnaire is to be administered each year is determined by the Regional Departments based on recommendations from the field. Comparisons with samples for 'new generation CAS' will be an important consideration in the selection process.

D. The core questionnaire is sent to each selected National Society in the first quarter of the year under a cover letter from the Director, Monitoring and Evaluation Division, and is copied to the corresponding Regional Department, Regional Delegation, as well as Country Delegation/Office where applicable.

E. Consultations within the Society between the leadership and staff/volunteers on the various areas addressed in the questionnaire should take place to ensure the accuracy and relevance of responses, please see National Society Self-Asessment Operational Framework - Recap, National Society Activities.

F. The Regional Delegation (with the assistance of the Country Delegation/Office where applicable) is responsible for adequate follow-up with the National Society for completion and return of the questionnaire (along with any additional material

[2] An earlier draft of this framework was shared with all Secretariat Departments and Heads of Regional/Country Delegations for comments in September 2001. Comments have been reviewed and suggestions incorporated as far as possible in this revised version. The framework will be continually updated to reflect lessons/experience in the field, and further comments/suggestions are welcome.

submitted) to the Evaluation Department. The Regional Delegation should retain a copy of the completed questionnaire and additional material for reference and follow-up to each Self-Assessment undertaken in its region.

II. Data Analysis and Reporting of Trends

A. The Evaluation Department analyses the overall responses received within the given time frame and prepares a trend analysis on the National Societies for inclusion in its annual report to the Federation Board and biennial report to the General Assembly.[3] This report constructs a profile of National Societies in key areas including governance, legal and resource base, programming and mechanisms for self-monitoring.

B. Where sections of the questionnaire responses are incomplete/unclear, the Regional/Country Delegation will be requested to co-operate with the Evaluation Department to clarify these sections in a timely manner to enable the trend analysis.

C. The trend report will be based on available samples of Societies participating in the Self-Assessment, and will eventually cover all National Societies. Time trends will be recorded once the process has been repeated at suitable intervals with the Societies.

D. The Evaluation Department will further develop its computer database on questionnaire responses to provide for access by Secretariat Departments so as to facilitate knowledge-sharing of baseline data and qualitative information from the Self-Assessment.[4]

I. Regional Follow-up to Self-Assessment

A. Each Self-Assessment is followed up individually by the Regional/Country Delegation covering the National Society. If the follow-up is to be handled by a Country Delegation, this should be clearly agreed between the Country and Regional Delegation, and notified to the Evaluation Department. It remains the responsibility of the Regional Delegation to ensure prompt follow-up of the Self-Assessment by a Country Delegation.

B. In consultation with the Regional/Country Delegation, Regional Department, and other relevant Secretariat departments, e.g. Organisational Development, Legal, Co-operation Departments, the Evaluation Department prepares a Self-Assessment Preliminary Findings which will input into National Society and Federation planning, as well as into any co-operation strategies *vis-à-vis* the National Society. As the Society's ownership of this report is crucial, the document should be based on the Society's questionnaire responses, submitted materials, and their further clarifications/comments.

C. The Self-Assessment report should essentially contain:

a) **a set of preliminary findings from the Self-Assessment prepared by the Evaluation Department** to be shared with the National Society via the Regional /

[3] The most recent report is the National Society Self-Assessment Report 2001 of which copies are available from the Evaluation Department. National Society Self-Assessment Report 2002 is available as of November 2002.

[4] A database with search and access functions was tested in April 2002, search only function is not available yet.

Country Delegation or Regional Department for further comments. While the preliminary findings should be based on the Society's questionnaire responses, the Delegation and the Regional Department may use its contextual knowledge of the Society and region in deciding which issues raised in the Self-Assessment require particular emphasis or focus. Apart from highlighting key findings from the Self-Assessment, the document should identify what further verifications/clarifications with the Society are needed on specific issues, as well as suggest areas for potential/priority actions by the Society. The preliminary findings should be prepared in the official Federation language used by the National Society.

b) **a set of written comments/plan of action from the Society** containing clarifications/confirmations on the preliminary findings, and highlighting actions decided/taken by the Society in the meantime to address the key findings; the comments should also identify potential areas for Federation and external support. A plan of action as a follow-up to the Self-Assessment findings should include specified targets and time frames, as well as responsible persons/departments in the National Society. The Regional Delegation should identify a focal person for each follow-up.

D. It is emphasised that any reference to integrity issues in the preliminary findings and final report should be strictly limited to the Society's self-reporting in the questionnaire; delegations aware of significant integrity issues not presented in the National Society's Self-Assessment should inform the Secretariat of these issues through the Desk Officer or Head of Regional Department for appropriate follow-up actions to be identified.[5]

E. The finalised plan of action should be endorsed by the National Society, and sent to the Regional and Evaluation Departments. The National Society should report on the progress in implementing the plan of action within reasonable time frame. This report will be submitted by the Secretary General to the Governing Board in their following meeting, along with a report on Federation progress in supporting the Society's Self-Assessment and identified needs consistent with Strategy 2010.

I. Federation and External Support to National Societies

A. Consistent support by the Secretariat, peer Societies and external partners are necessary to assist individual Societies in addressing priority areas/actions in capacity-building where identified in their Self-Assessment reports. For the Secretariat, this constitutes part of the larger commitment to assist National Societies towards achieving the characteristics of well-functioning in the long term, while constantly seeking to refine minimum standards in consultation with Societies.

B. To this end, copies of the Self-Assessment reports on individual Societies will be circulated to Secretariat Departments as one of the inputs to ongoing processes supporting National Society capacity-building. This includes analytical input into National Society organisational development and statutes revision processes, as well as input for co-operation and co-ordination processes. As stated in the *National Society*

[5] See the Federation document *Dealing with National Society Integrity Issues*, prepared by the Monitoring and Evaluation Division, 2001. For copies, contact Joyce Duffuor at duffuor@ifrc.org

Capacity Building Framework[6], the Self-Assessment process provides useful complementary information for National Society organisational development, and in some cases helps trigger a far-reaching organisational development process.

C. National Societies, on their side, should integrate the priority areas/actions identified in their plan of action following the Self-Assessment into their strategic planning. Where formulation/update of a Society's Development/Strategic Plan is ongoing or envisaged, the priority areas/actions identified by the Society in their Self-Assessment should be included in the new/revised plan with the assistance of the Regional/Country Delegations. An up-to-date and relevant National Society strategic/development plan is one of the prerequisites for starting the CAS (Co-operation Agreement Strategy) process with individual Societies in the current round of 'new generation CAS',[7] and the Self-Assessment process supports the CAS process in this way.

D. Regional Departments and Regional/Country Delegations, on their part, should address the priority areas identified in line with Strategy 2010 in the Self-Assessment reports in their planning of activities with the National Societies. Agreed priorities should be incorporated into the Annual Federation regional and country appeal process.

E. The ownership of the finalised Self-Assessment plan of actions lies ultimately with the National Society, with access retained by Secretariat departments and delegations. While the Societies should be encouraged to share their plans of actions with peer/participating Societies, the ICRC and partners external to the Red Cross in order to mobilise technical and financial support, the Society's explicit permission should be sought for circulation outside the Secretariat.[8]

[6]Copies available from Organisational Development Department.

[7]For fuller information on the CAS process, visit the CAS website: http://quickplace.ifrc.org/cas

[8]External partners interested in accessing the report should contact the Society directly.

LESSONS TO LEARN FROM MODULE 5

CHARACTERISTICS OF EVALUATION

- EVALUATIONS MUST BE USEFUL AND USED
- EVALUATION MUST BE FAIR, IMPARTIAL AND INDEPENDENT
- EVALUATION MUST BE ACCURATE
- EVALUATIONS MUST INCLUDE BENEFICIARY PERSPECTIVE
- EVALUATION CRITERIA ARE CONSTANT ALTHOUGH THE FOCUS OF EVALUATION CAN CHANGE

6. Steps in Planning and Managing an Evaluation

Evaluations involving external consultants may be managed by National Societies or the M&E Division. The monitoring and evaluation framework policy provides more information on what types of evaluation are managed by whom. The evaluation life cycle for both is very similar and is presented below. Depending on who is in the "driver's seat" the responsibility for tasks may be different.

Table 6.1: The *Evaluation Life Cycle*: Nine steps in the planning and management of an evaluation

Evaluation stage and steps	Who is responsible	
	National society-managed evaluations	M&E Division managed evaluations
Clarifying/agreeing on the need for the evaluation Identify evaluation purpose – why is it needed? Consult with relevant International Federation and National Societies offices (e.g.M&E Division, Regional Bureau), and relevant stakeholders. Identify evaluation issues, and if required prepare concept paper (M&E Division only). Identify funding sources, and seek necessary approvals.	NS	Evaluation officer
Planning the evaluation Develop a timeline of the entire evaluation process	NS	Evaluation officer
Preparation of terms of reference Review information sources (e.g. Project files and documents, Evaluation Memory System). Conduct consultations with relevant stakeholders and determine scope, key issues and timing. Prepare terms of reference and forward to key stakeholders for comment. Set a timeline for the evaluation (if not done before)	NS	Evaluation officer
Selection of the evaluation team Research and list potential candidates. Select evaluation team members. Organise contract(s) for evaluation team.	NS	Evaluation officer
Desk Review (pre-mission) Send relevant background materials to the team. Team to review background documentation. Team leader to submit comments on terms of reference and to draft outline of evaluation method.	NS & evaluation team	Evaluation officer & evaluation team
Conduct of evaluation mission Prior to arrival of the team in-country: Arrange meetings and debriefing workshop. Tentatively arrange field visits and beneficiary consultations. Inform stakeholders of relevant details of the forthcoming evaluation. Prepare files and documentation for evaluation team. Ensure that updated self-evaluation report is available.	NS	NS
During evaluation mission: Commence with a half-day workshop with NS and possibly other stakeholders to clarify and if necessary amend ToR, discuss methodology and review and agree/modify itinerary. Allocate responsibilities among evaluation team. Collect and analyse information. Consult with stakeholders. Debriefing workshop(s). Prepare and present an aide memoir .	Evaluation teamleader & evaluation team	Evaluation teamleader & evaluation team
Preparation of evaluation report Develop findings, conclusions, recommendations and lessons. Prepare evaluation report (including executive summary). Prepare summary evaluation report (maximum 5,000 words).	Evaluation teamleader & team	Evaluation teamleader & team
Review of evaluation report Review and comment to Team on draft evaluation report. Review and comment on draft summary report. Approval final drafts and pay team.	NS With inputs from Govt & Ips	Evaluation officer with inputs from NS, RO, relevant tech'l HQ units
Dissemination of evaluation Disseminate full or summary report to stakeholders. Implement and/or track evaluation recommendations. Disseminate important lessons (e.g. lessons web page or provide lessons to relevant in-house exercises and policy discussions).	NS	Evaluation officer

6.1 Step 1 – Clarifying/Agreeing on the Need for an Evaluation

6.1.1 Evaluation purpose

Evaluations should normally be programmed and budgeted during project design and be reflected in the M&E workplan. It is nevertheless important to revisit the rationale for the evaluation, to clarify why it is being undertaken, what issues it will address, and whether the cost will be justified. An evaluation may also be programmed on an *ad hoc* basis by management, or at the request of the Governing Board, if there is a reason to believe that an evaluation would be useful and would provide accountability.

6.1.2 Consultation

It is vital that stakeholders are consulted early on, and their role in the evaluation discussed. Their involvement can take many forms – commenting on the TOR, participating as members of a mission, joining in collecting data, in analysis, or reviewing and commenting on the evaluation report. International Federation and National Societies stakeholders can be grouped as follows:

- International Federation and National Societies full-time and contracted staff
- Development partners at the national level, such as ministries, UN agencies, multilateral and bilateral donors, and other NGOs with a national presence
- Institutional partners engaged in International Federation and National Societies activities
- Participants and beneficiaries in International Federation and National Societies activities.

For some evaluations, it might be useful to establish a small task force of key stakeholders drawn from the above groups. The task force's role would be to assist in preparing the TOR and in supporting the evaluation mission. Experience has shown that such an approach greatly strengthens stakeholder ownership of the evaluation findings, thereby increasing the chances that recommendations will be acted upon.

6.1.3 Evaluation issues

Available documentation (design documents, monitoring reports, correspondence files, etc.) should be reviewed, both as background research for preparation of the terms of reference, and to identify what documents should be provided to the evaluation team for the desk review. This is the point at which you will discover how effective your filing system is – it is vital that a clear paper trail is available to track back over events that have occurred during design and implementation of the operation.

It may be useful to prepare a concept paper as a basis for discussion both within International Federation and National Societies and with stakeholders, to help with the decision whether or not to go forward. Suggested elements for inclusion in the concept paper are:

- Why the evaluation is required (for example, is it mandatory?) and by whom (National Society or M&E Division).
- Who are the stakeholders (e.g. partner agency, government, donor)?
- The proposed timing of the evaluation.
- The scope of the evaluation and the key issues to be examined.
- The evaluation approach and methods to be used.
- Who will undertake the evaluation?

The preparation of a concept paper is standard practice for M&E Division evaluations. They differ from the eventual terms of reference, as their main purpose is to establish early on the rationale for planning and undertaking an evaluation. They can also serve as an early negotiation document between the M&E Division and the National Societies, setting out expectations and requirements.

6.1.4 Funding sources

It is also important to be clear on what funds are available for the evaluation, whether additional funds are required, and where they might come from. This emphasises the need ideally to programme the evaluation early on and earmark funds for the evaluation in the operation approval document.

6.2 Step 2 - Planning the Evaluation

6.2.1 Evaluation planning

Once the evaluation has been decided on it is important that the evaluation manager prepares a timeline for the implementation of the evaluation. The time it takes to prepare and implement an evaluation is often underestimated. Adequate time is needed to prepare for the evaluation and to ensure that appropriate consultants are available. At this point a rough evaluation timeline and planning checklist should be elaborated which is modified and updated over the lifetime of the evaluation exercise:

Table 6.2: Evaluation Timeline and Checklist

Evaluation Task	When? (insert actual dates)	How long?	Who?	Done?
ToR drafted	As early as possible but no later than 3 months before the mission	1 week	Evaluation manager	
ToR reviewed and stakeholder consulted	See above	2 weeks	Key stakeholders (e.g. NS management, Government, partners)	
Team selected	See above	Up to 4 weeks	Evaluation manager	
Team contracted	As early as possible if not up to 3 weeks before the mission	2-3 weeks	Human Resources Officer	
Background material collected and sent to M&E Division or team	If not done during ToR then done at this point	1 week	Evaluation manager and NS	
Desk Review done	About 1 month before the mission	3-5 days	Team	
Evaluation method outlined	At least 2 weeks before briefing	N/A	Team leader	
Draft Itinerary proposed and agreed	Upon agreement of method with teamleader	1 week (depends on logistics)	NS	
HQ/RO Briefing organised and taking place	Organise 10 days in advance. Ideally Thurs/Friday before start-up in country	1 – 2 days	M&E Division evaluation manager	
In-country mission	As per agreement	As per TOR	Evaluation team, NS	
Start-up workshop/meeting prepared and organised	Prepare 2 weeks ahead of time for 1st working day	½ day	Evaluation team, NS	
Debriefing workshop prepared and organised	Prepare 2-3 weeks ahead of time for: Late during last week	½ – 1 day	Evaluation team and others	
Aide Memoir presented	Last day	Depends if one or several meetings	Evaluation team, NS, Government	
Draft Report received (including summary)	3 weeks after departure of team	10 days for TL 5 days per team member	Team leader and team	
Review of and commenting draft report		2 weeks	Evaluation manager and relevant key stakeholders	
Comments incorporated and report finalised		depends	Teamleader	
Recommendation Matrix prepared and negotiated	Upon acceptance of draft report		Evaluation manager together with Action Units	
Report disseminated			Evaluation manager	

6.3 Step 3 - Preparing the Evaluation Terms of Reference

The terms of reference (TOR) constitute the plan or scope of work for conducting an evaluation. Good TOR are an essential ingredient for a successful and outcome-oriented evaluation process. Ideally, they not only constitute clear guidance for the evaluation team but also highlight expectations of various stakeholders in terms of the expected results of the evaluation. Important principles to bear in mind are:

- **TOR are negotiable** – Once the team meets (usually during the initial briefing) the TOR must be discussed in detail to ensure that evaluation management and evaluation team share the same understanding regarding the purpose, implementation and expected outputs of the evaluation. At this point any evaluation issues the team feels it is unable to cover must be discussed and decided upon. Subsequent to this discussion the TOR may be modified and approved as the final TOR.

  The issue of TOR being negotiable is of particular importance for emergency and some development operations. Experience shows that some of the issues that emerge are not apparent at the start of the process. It might be sensible therefore to consider undertaking some form of pre-study – either for the implementing agency to undertake its own rapid self-evaluation, or for the evaluation manager and team leader to liaise with the national society in identifying key issues, or by building in time and resources to allow the evaluation team to make an exploratory visit to construct basic data and to identify key issues. Findings from the pre-study would then inform the desk study stage of the evaluation, and allow the TOR to be modified accordingly prior to commencement of the main field study phase.

- **TOR must be discussed with all stakeholders** – During the drafting of the TOR and elaboration of the key issues, the views and expectations of key stakeholders must be reflected. The draft TOR should be shared and discussed with implementing partners and donors. Ideally, beneficiary representatives should also be consulted regarding key issues for the evaluation. This could be arranged by International Federation and National Societies.

As with all evaluations, key informants should be informed in advance of the impending arrival of an evaluation team, of the objectives and scope of the evaluation, and of the likely information requirements. The advance warning should be sufficient to allow the implementing agencies to compile relevant files and documentation prior to the team's arrival.

Evaluation TOR must include the elements shown in Table 6.3.

An example of Terms of Reference is contained in Annex 1.

Additional sample TOR are available upon request from the M&E Division.

Table 6.3: General Framework for Evaluation Terms of Reference

Structure	Contents
Project Background	The background to the evaluation explaining its origins and broad purpose. A solid background description of the project, operation or theme to be evaluated.
Project Status	An update on the current state of implementation.
Purpose and scope of the evaluation	Clear statement of evaluation objectives and the scope of the work.
Key Issues	Key evaluation issues to be covered.
Method	Evaluation method(s) to be used. Identification of existing reports and performance information
Team composition	Profile and mix of expertise required
Schedule and Logistics.	Draft itinerary and logistical requirements
Evaluation Report	Guidance on expected reporting.

Review all available information sources

Prior to drafting the TOR it is good practice to review all available documentation: project documents, progress reports, evaluation reports. ALNAP provides a source for meta-evaluation and most donors post their evaluations on the web. This will allow you to check for previous evaluation reports undertaken in the country as well as a search for relevant evaluation experience and key issues elsewhere for similar-type of evaluations.

Consulting with stakeholders

Planning an evaluation requires negotiating skills as much as a good understanding on how to design an evaluation. Early on in the planning of an evaluation, the evaluation manager must identify the key stakeholders for the evaluation and which ones should be consulted for determining evaluation objectives. For instance, key stakeholder consultation could include Government policy makers, counterpart staff, major implementing partners, district-level officials, donors, UN agencies, beneficiary representatives etc. Stakeholders must be convinced of the usefulness of and the rationale of the evaluation. By consulting them on the objectives and key issues of the evaluation, ownership in the process may be obtained, an important prerequisite for later acceptance of the evaluation findings and recommendations.

Determining the objectives and scope of the evaluation

Given the complexity and interrelationships inherent in a humanitarian response, there is a danger that in setting objectives for an evaluation (especially a collaborative one) an unprioritised 'shopping list' of objectives may emerge. It is important to allow adequate time for discussion and negotiation of evaluation objectives amongst the various actors involved. Allowing the TOR to be negotiable during the early stages of the evaluation should allow for any further refinement of objectives.

Guidance should be given to focus the evaluation and prioritise areas and/or periods of inquiry. For example, in the evaluation of a development operation it may be appropriate to specify that the evaluation should focus initially on the recovery strategy, assessing how it was formulated and how it has evolved over the life of the operation and its relevance to the current situation.

In deciding the scope of the evaluation of an emergency operation, the evaluation manager may face a number of options:

- Should the evaluation look only at the emergency response, or should it also look at actions that were or should have been taken prior to the onset of the emergency (e.g. pre-disaster planning)?
- In a prolonged emergency, should the evaluation consider the whole period of the emergency, or just the most recent or critical periods?

Developing the key issues

The most important element of the TOR, and perhaps the most challenging to develop, is the section on key issues to be examined. Essentially this is an exercise in framing evaluation questions against the evaluation criteria being applied.

Table 6.4: Sample evaluation issues and questions

Strategy
• Was the strategy adopted the most relevant and appropriate to meet the identified needs?
• Were gender issues appropriately reflected in the strategy?
• Were alternative approaches to achieving objectives considered?
• Was the strategy consistent with International Federation and national society's core mandate responsibilities and with International Federation and national society's policies?
• What was the link between emergency aid and other assistance provided?
• Was the strategy well prepared and did it provide adequate guidance for implementers? (For development operations) Did the strategy accurately gauge the opportunities to introduce recovery activities?
• Was an exit strategy developed?
• Were other agencies included in the analysis of the problem and the drawing up of response plans?
• Did the preparation process adequately involve beneficiaries (both men and women)?
• Were constraints to implementation adequately assessed from the onset?
• Has the strategy been periodically reviewed or modified over the life of the operation in order to maintain its relevance with changing circumstances?
Design
• Was the design of the operation logical and coherent? Did it provide a good 'road map' for implementation and a sound basis for review and evaluation?
• Were objectives set at the right levels (i.e. in compliance with logframe definitions) and were sound means-to-ends linkages made between inputs, activities, outputs, purpose(s) and the goal?
• Was the operation design technically feasible?
• Were gender concerns appropriately reflected?
• Were assumptions reasonable when they were specified, and were contingency plans made for known risks?
• Which external factors were not taken into account during design?
• Has the operational context of the operation changed since its design, and if so has the operation adapted effectively?
Achievement of objectives
• Are the objectives appropriate and realistic?
• To what extent have planned outputs been achieved in terms of quantity, quality, equity and timeliness?
• For emergency operations and development operations – have targeted beneficiaries received planned rations? Have the right beneficiaries been targeted? Did beneficiaries use aid as intended?
• For recovery operations and development activities – have beneficiaries maintained or improved their livelihoods and what assets have been created/ maintained and who have they benefited and how?
• What were the most successful recovery activities? And the least successful? How effectively was a transition made from relief to recovery activities? To what degree has aid contributed to promoting resettlement and food self-sufficiency (where applicable)?
• Have outputs reached the poorest? Women? Vulnerable groups? To what extent?
• What has been the share of women and vulnerable groups in benefiting directly from outputs?

- Were resources effectively and efficiently used? Do the results justify the costs?
- What evidence is there that the operations stated purpose(s) and goal were achieved?
- To what extent were International Federation and national society's core mandate responsibilities met?
- If at mid-term – what additional measures may be needed to improve the chances of achieving the Purpose?

Factors in the effectiveness and efficiency of operations emergency operations and development operations

- Registration/verification
- Was reliable and disaggregated data collected for target populations/groups and how well was it maintained?
- Assessments
- How was the initial situation assessed? How has food insecurity, vulnerability and nutrition status been assessed? Were the roles of men and women adequately analysed? Have regular reassessments been conducted? Have host communities' needs been assessed?
- Final distribution
- Was the delivery system efficient and equitable? Was it transparent? Was a complaints procedure in place? How well were any failures in the delivery system addressed?
- Did women play lead roles within local decision-making committees on food management? If so, to what extent and has this resulted in a change in acceptability of women in lead decision-making roles?

Targeting

- How have beneficiary groups/areas been identified?
- Were the special needs of certain groups/areas considered?
- Have the needs of any host community been addressed?
- Were targeting objectives appropriate?
- Were arrangements made to review and update the targeting strategy?
- Were male and female beneficiaries involved in the negotiation of beneficiary status?
- What was the proportion of male and female beneficiaries participating in FFW?

Appropriateness of rations

- Was the food ration and basket adequate and acceptable (quantitatively and qualitatively) and did it relate to livelihood and coping strategies of both men and women?
- Were the nutritional objectives realistic and to what extent were they achieved?
- What has been the nutritional effect/outcome of International Federation and National Societies assistance on beneficiaries?
- Have there been ration reductions or phasing out of food assistance and, if so, on what basis?
- Was food aid culturally acceptable and appropriate?

Factors in the effectiveness and efficiency of ALL operations

Implementation

- Were there any significant delays in approval; what were the causes?
- Were the implementation schedule and management arrangements realistic (this should include financial management and budgeting systems)?
- Were plans followed? If not, why not?
- Did objectives change during implementation? Why? On the basis of what analysis or what events?
- Have there been delays in implementation? How were these dealt with? What was the impact of such delays?
- How well were risks and problems managed?

Monitoring and reporting

- Was baseline data collected and were appropriate indicators identified at the outset for measuring progress and results?
- Did the monitoring systems work – including the extent to which gender considerations were built into monitoring arrangements? Was gender disaggregated data collected in accordance with International Federation and National Societies policy?
- What is the type and frequency of reporting for the operation, including periodic participatory appraisals?

Were reports submitted on time; were they complete; what problems were experienced? Is the information analysed and used to make decisions regarding the management of the operation?

- (For development operations) Have criteria been established to signal when to shift activities from relief to recovery and likewise from recovery to development? If so, are these being applied effectively?

Coordination, partnerships and beneficiary participation

- Were objectives and activities compatible with the policies/programmes of the relevant government(s)? How supportive are International Federation and national society's counterparts?
- What mechanisms were put in place for coordination with government, donors, UN agencies, NGOs, etc. and how effective were they? Were sectoral responsibilities successfully divided between partners?
- Did implementing partners fulfil their contractual obligations? How was their capacity assessed? What training of partners has taken place? Has there been a trend towards or away from using local implementing partners? What capacity has been left behind?
- In what way have the beneficiaries participated in the design, implementation and monitoring of the operation? Were the arrangements adequate? What was the impact of their (non-) participation?
- Was beneficiary involvement empowering in any sense men and women?

Programmatic linkages

- Are the objectives and activities of the operation/programme compatible with and complementary to those of the other operations currently being implemented by the CO?

Management, human resources and training

- Did the National Societies and specialised units fulfil their roles effectively and efficiently?
- Did staff have the experience and expertise to carry out the activities envisaged?
- Are there staff or skill shortages? What has been done about these?
- Have correct financial and administrative procedures been followed?
- Is there appropriate gender balance in the operation staff (both International Federation and National Societies)? Has staff been trained on gender issues and are they applying this training to their work?

Pipeline, commodity control, and logistics

- Has there been efficient pipeline management?
- Commodity sourcing and delivery – what difficulties and losses were experienced; how were they resolved?
- Was planning for logistics, transport, storage, staffing, and auditing adequate and what have been the major challenges to the smooth functioning of the operation/programme?
- For operations: What has been the overall scale of the war economy and the relative scale of contribution to it by diverted or taxed humanitarian assistance; what have been the steps taken by International Federation and National Societies and partners to avoid or minimise the level of diversion or taxation through the selection of particular delivery channels, supervised distributions and end-use monitoring?

Security

- Have adequate and appropriate measures been introduced and adhered to, in order to minimise the risk to International Federation and National Societies staff and implementing partners involved in the implementation of the operation/programme?
- Have measures been taken, if necessary, to provide protection to the affected men, women and children who participate in the operation?
- Are there significant security challenges to the smooth functioning of the operation/programme? Was the safety of the beneficiaries a high priority?

Budget and resources

- Operation costs – what was the planned vs. actual expenditure for the operation as a whole, and within main cost headings?
- Was the budget appropriate in relation to its objectives/activities, and what factors affected individual budget items?
- ITSH – how were they financed; were the calculated rates adequate; what revisions were required?
- To what extent have the resourcing requirements for the operation been met and how has the national society managed shortfalls? How predictably and regularly have resources been supplied to the operation/programme?
- Monetisation – was it justified, were the prices fair?
- (For development operations) Has transformation resulted in longer-term (more than 1 year) financial

commitments to the operation?

- How successfully has the operation/programme resourced its non-food inputs (NFIs) and what, if any, have been the constraints?

Standards and quality

- What systems were put in place for assuring programme quality including setting appropriate technical standards?
- Have relevant international standards and code of conduct been addressed?

Outcome/Impact and sustainability/connectedness

- What difference did the operation make to the lives of the beneficiaries (livelihood improvements, etc.)? Who benefited exactly? What would have happened if no assistance had been given?
- How do beneficiaries and other stakeholders value the operation?
- What impact did the operation have on household food security and self-reliance?
- (emergency and relief operations) What was the impact on host populations?
- What unexpected outcomes (positive or negative) have occurred?
- Have environmental concerns been adequately addressed within the operation/programme?
- What intended or unintended impacts have occurred on the environment as a result of the operation?
- What impact have camp sites (where relevant) had on the environment? What effect have rations and cooking requirements had?
- What was done to ameliorate environmental impact and restore natural habitat?
- How long are these benefits likely to last? What are the prospects for the sustainability of activities and outputs? What factors are likely to undermine sustainability of benefits? Are the sustainable benefits likely to exceed the costs?
- What costs will have to be borne by government, implementing partners, beneficiaries or other stakeholders in order for the benefits to continue?
- Has food aid been used as a leverage to obtain complementary national and international resources and recognition to improve the condition of women?

Commitments to Women

- To what extent were International Federation and national society's gender policy met in terms of i) aid access by women; ii) access to power structures and decision-making; and iii) access to resources, employment, markets and trade?
- What changes are required in a future phase to ensure better compatibility with these Commitments?
- What gender training has been carried out and for whom and what difference, if at all, has it made?
- Was adequate effort been made to mainstream as well as advocate gender considerations?

What are the standard evaluation methods to be used by the evaluation?

TOR should contain a brief outline on the proposed method for the evaluation. This proposed method will need to be refined and developed by the Teamleader and the team, and discussed prior to the start-up of the mission.

There are essentially five ways of obtaining evaluation information:

1. Collecting, tabulating, reviewing already available data;
2. Questioning people through interviews, focus groups;
3. Facilitating critical performance and results reflection by implementers and beneficiaries.
4. Conducting surveys; and
5. Observing people and things though field visits.

These can be elaborated into a more detailed list as shown in Table 6.5, which includes comments on the applicability of each method.

These techniques can be used in a purely extractive (i.e. non-participatory) or participatory way, or a mixture of the two. The methods selected should always match the evaluation objectives and focus, and should flow from the questions asked and correspond with the purposes and uses of the data.

The conventional approach to evaluation within International Federation and National Societies has under-emphasised the need to incorporate stakeholder feedback into evaluation findings, and in particular the perceptions of beneficiaries. Interviews with a sample of beneficiaries or with the affected population can be one of the richest sources of information for the evaluation and are an absolute must. In addition, useful information and views can also be obtained from so-called comparison groups, i.e. men and women who have not been able to participate in the International Federation and National Societies operation but who cope with similar problems in a similar environment.

Although the evaluation process will remain extractive in nature, especially if accountability considerations are to be served, beneficiaries and stakeholders must be provided with greater opportunity to contribute and to receive feedback. It is particularly important to engage in a discussion with beneficiaries on how they perceive the operation and the way in which it has affected their lives, and to involve them in the discussion and validation of findings. This provides a 'reality check', grounds the evaluation in the real changes (planned or unplanned) that the operation has brought about, and enables beneficiaries and other stakeholders to understand better the role and purpose of evaluation.

In cases of a recent or ongoing conflict the team must be careful to ensure confidentiality of people interviewed.

Table 6.5: Data collection methods for evaluation

1. Document review	**File reviews** Essential starting point for all evaluations. Involves examination of available reports, files and other project documents. Good for familiarisation, for developing a historical perspective, and for identifying the initial list of evaluation questions.
	Literature search Economic and efficient way of obtaining information. Difficult to assess validity and reliability on secondary data.
	Tabulating data Registration of quantifiable or classifiable data by means of analytical instrument. Analysis of performance indicators tracked by operation management. Precise, reliable and often requiring few resources. Registers only facts, not explanations.
2. Consultation	**Key informant interviews** Flexible, in-depth approach. Easy to implement. Risk of biased presentation/interpretation from informants/interviewer.
	Timeline Useful tool for initial meetings with key informants and focus groups. A timeline of important events is developed, to help reconstruct actual events and to explore the perceptions of different stakeholders regarding the sequence and importance of events.
	Focus group interviews For analysis of specific, complex problems, to identify attitudes and priorities in smaller groups. Reasonable in terms of cost, and efficient. Stimulates the generation of new ideas. Risk of domination by individuals and bias of moderator.
	Group interviews Low-cost, efficient. Direct contact with those affected. Susceptible to manipulation and less suitable for sensitive issues.
	Other RRA/PRA techniques Visual techniques such as mapping, ranking and scoring, and other verbal techniques such as transect walks provide a means of generating a local analysis, and involving beneficiaries and stakeholders directly in the evaluation process.
3. Facilitation	**Self-evaluation on performance and results obtained** The evaluator becomes a facilitator, facilitating a critical self-assessment of implementers and beneficiaries. Less extractive with stakeholder potentially becoming owners of the evaluation process.
4. Survey-based techniques	**Formal survey** Oral interviews or written questionnaires in a representative sample of respondents. Data collection is demanding but often produces reliable information.
	Informal survey Involves quantitative surveys of small samples. Reasonable and rapid. Risk of sampling errors/biases. Less suited for generalisation.
	Case studies In-depth review of one or a small number of selected cases. Well-suited for understanding processes and for formulating hypotheses to be tested later.

5. Observation	**Direct observation** Involves inspection, field visits, observation to understand processes, infrastructure/services and their utilisation. Dependent on observer's understanding and interpretation.
	Observation In-depth observations over an extended period of time, participatory or non-participatory. Well-suited for understanding processes but with limited potential for generalisation.

The immediate implication for International Federation and National Societies of a shift towards a more inclusive approach is the need to plan for beneficiary and stakeholder involvement. This requires at minimum:

- Scheduling sufficient time and resources within the evaluation process
- Ensuring that the requisite skills and experience within the evaluation team

Facilitating the meaningful involvement of stakeholders and beneficiaries through individual and group interviews, and through the use of RRA and PRA techniques.

- Facilitating critical performance and results reflection by implementers and beneficiaries (the evaluator turns into a facilitator)

For more on data collection methods, see Module 8: Tools for data collection.

Disseminating and discussing the draft TOR

At this stage all of the elements of the TOR should have been developed and the draft TOR can be put together (see Table 6.3). The draft TOR should be sent to the list of key stakeholders that have been approached earlier in order to ensure that there is a common understanding and agreement.

Setting a timeline for the evaluation

Normally this is done before the preparation of the terms of reference and needs to be refined once the terms of reference have been agreed to.

6.4 Step 4 - Selecting the Evaluation Team

The team must be identified, contracted, and provided with terms of reference. When using external consultants, it is advisable to start the recruitment process well in advance of the evaluation mission, in order to ensure the availability of team members and to take account of the time required for contracting. If the dates for the evaluation are already set, the search for consultants can be done even while negotiating and preparing the terms of reference to ensure availability of the desired consultants.

Team members should usually fulfil the following requirements.

Table 6.6: Criteria for selecting the evaluation team

For Team members:	Professional competence and solid technical experience in areas such as food security, nutrition, gender, school feeding, emergency operations, food-for-work, etc. The expertise depends on the key issues to be looked at by the evaluation. Knowledge of International Federation and National Societies and its operations (at least one team member, preferably the mission leader, should have International Federation and National Societies experience). Prior evaluation experience; familiarity with standard evaluation methods. Impartiality (e.g. not belonging to one of the implementing agencies, not having participated as a consultant in any stages of the project, not being involved in the country in any other or related official capacity). Preferably prior experience working in the country. Language skills (English, French, Spanish).
For the Teamleader (in addition to the above)	Has s/he proven team-leading skills? Can you confirm s/he has excellent writing skills in English, French, or Spanish? Proven track record as an evaluator and team leader? Does the TL present himself/herself well and is credible?
Other criteria	Mix international professional expertise with national professional expertise. Consider gender (appropriate consideration of qualified female consultants). Getting the right balance (gender, nationality, skills).

Donor participation

At times, a donor or partner agency may request that one of their own staff join the evaluation mission. This is welcomed so long as the person proposed fits the criteria set out in Table 6.6, and functions as a full team member under the guidance of the teamleader. International Federation and National Societies should reserve the right to reject candidates if they do not meet the selection criteria. Where larger teams are required (for example, to conduct collaborative or system-wide evaluations), the teamleader must possess strong team management skills.

Special considerations for humanitarian assistance evaluations

Evaluations of emergency and development operations will require considerable time to be spent interviewing beneficiaries, and women and children in particular. Beneficiaries may well have experienced serious psycho-social trauma. The evaluation team should therefore include adequate gender balance and sufficient expertise to undertake these interviews.

6.5 Step 5 - The Desk Review (pre-mission)

Evaluation teams are usually allocated 3-5 days for desk review depending on the nature, size and scope of the operation to be evaluated. Ideally, this should be done prior to the briefing and be based on the materials available on International Federation and National Societies or sent to the team. Given the fact that most evaluation teams do not meet prior to arriving in the country, it is up to the team leader to develop further the method outlined in the ToR and present a short method and issues paper to the evaluation manager prior to the start of the mission. This evaluation methods outline should contain the following:

- proposed method(s) for the evaluation
- proposed distribution of responsibilities (by team member to be finalised during briefing)
- proposed key informants (key agencies and partners to be visited (here the country delegation should also contribute)
- indicative time schedule - of course to be refined upon arrival.
- criteria for a representative selection of areas to visit (based on this the national society would propose project areas and types to visit).

ToR may be modified at that time or at the latest during the initial briefing days of the entire team. It is important that both team and evaluation manager come to an agreement as to the scope, objectives and key outputs of the evaluation. Once the evaluation manager has agreed to the proposed method the evaluation itinerary will need to be reviewed and adapted. For instance, if the method foresees one team member to spend his/her entire time undertaking RRA exercises in a number of sample communities, separate from the rest of the team, this will need to be reflected and arranged for (or alternatively ensure there is flexibility to adapt the itinerary upon arrival of the team).

If the project design is not based on a logical framework approach it may be advisable to ask the team leader to prepare a retrofitted logical framework prior to the mission. This presents a starting point for the discussion and helps the team establish underlying hypothesis.

6.6 Step 6 - Conduct of the Evaluation Mission

6.6.1 Prior to the arrival of the team in-country

Good preparation is key for a successful and useful evaluation. Key tasks for the national society and/or the M&E Division prior to the start of the evaluation mission include:

- Collecting relevant background documents to be made available to the team (operation progress reports, relevant Government policies, evaluation reports, reports by other donors, food security briefs, CAP etc.) – alternatively some of this material may be provided to the team for the desk review prior to the mission.
- Tentatively organising the itinerary – ensuring that sufficient time is available for the team to talk to beneficiaries; ensuring that the team will visit a representative sample of operation sites and will meet a good range of key informants. Arrangements should fit with stakeholders' availability, and in the case of the beneficiaries may need to be scheduled for the evenings or to coincide with a village or group event so as to minimise disruption. Last but not least, enough time must be provided for the team for internal discussion and work (e.g. joint review of ToR and work distribution, discussion of key findings, conclusions and recommendations, preparation for debriefing workshop etc.).
- Advising key local stakeholders of the mission. When organising the itinerary, the key stakeholders to be interviewed should be well briefed on the purposes and work programme of the evaluation and receive a copy or summary of the terms of reference.
- Making sure that the logistics (transport, meeting arrangements, etc.) are set up in advance of the arrival of the team.
- Ensuring that there is broad national society staff availability for the half-day briefing session (workshop format) and that staff is can provide quality time to the team.
- Organising the evaluation wrap-up well in advance, ensuring where possible that a debriefing workshop is arranged and that a good range of stakeholders will attend, and ensuring that the official debriefing with the Government is set up.

6.6.2 During the evaluation mission

For the evaluation team, there are typically three main evaluation stages:

- The **desk study** stage, during which the key issues to be examined are elaborated further in discussion with the evaluation manager. It is at this point that the TOR are 'negotiated' and modified to a final version. In case of M&E Division-managed missions, this stage may also involve the **initial briefing** in headquarters and/or the regional office.
- The **field mission**, during which operation sites are visited, interviews are conducted, and data is collected and analysed. Typically prior to leaving the country, the team prepares and presents an aide memoir to the national society.
- **Synthesis and report-writing**, during which evaluation findings, conclusions and recommendations are written up. For all evaluations led by the M&E Division, it is usual for the evaluation team to produce an evaluation summary report for presentation of the evaluation findings to the Governing Board.

The role of the evaluation manager

An evaluation manager normally does not participate as a team member of the mission but manages the entire evaluation process from drafting the TOR to disseminating the final report.

Evaluations require a high degree of flexibility, good lines of communication between the evaluation manager and the team, and sufficient time for the process.

Apart from preparing the TOR the evaluation manager's main role during the evaluation mission is as follows:

- facilitate the work of the team,
- ensure that appropriate time is spent with key staff,
- act as link between the team and the various agencies involved
- arrange and facilitate the necessary permissions and logistics for fieldwork
- provide advice to the Team on International Federation and National Societies current policy issues
- provide additional information and clarifications but not seek to manipulate the opinion of the team
- identify additional key informants when necessary
- negotiate and agree to modifications of the TOR and itinerary if necessary
- meet regularly with the team to ensure the work is on track
- assess the team and teamleader performance and, if necessary, take action
- facilitate the discussion of findings amongst a potentially large group of stakeholders

Evaluations are an excellent learning opportunity throughout and evaluation managers and national society staff should be in regular touch with the team.

Stage I: Desk Study and Briefing

The desk study/review has already been described under Step 5 - The Desk Review (pre-mission).

Since the briefing in the country is typically the first time evaluation team members meet each other, enough time should be provided to the team to meet, review the ToR and to agree on tasks for each team member. This is the role of the teamleader who must ensure that all aspects of the ToR are covered according to each team member's experience and knowledge. The evaluation manager (the M&E Division or the national society should ascertain that this has been done, and that team members understand precisely what is required of them.

It is recommended to start off the mission with a half-day briefing workshop for national society staff and the evaluation team. During this session the team can clarify the purpose, scope and key issues of the evaluation, who are the key informants for the issues and check the retrofitted logical framework. The purpose and planning of the debriefing workshop should also be addressed here (see Stage II).

Stage II: Beyond the briefing – the field mission

This stage includes the time after the initial national society briefing up to the departure of the team. Typically, the mission spends the first few days in the capital, interviewing key stakeholders. If necessary, some of these meetings can also be scheduled for the last week of the mission.

During the field mission, the teamleader is responsible for the day-to-day management of the evaluation, while the national society provides the necessary support to ensure that the team is able to complete its itinerary.

Data collection considerations

- ### Administrative records

Administrative records are likely to be the first source of data consulted by an evaluation team, and should be compiled by the implementing agency in advance of the arrival of the team. SitReps and other relevant progress reports enable the team to build up a picture of events as they evolved. Design documents, Memoranda/Letters of Understanding, plan of operations and other such documents provide the framework for analysing objectives, mandates and fulfilment of responsibilities. Minutes of meetings provide data on what decisions were made, when, and on what basis.

- ### Interviews

Interviews are generally the most important source of information on what happened and why. Evaluators should talk to as wide a range of stakeholders as possible, to build up a complete and balanced picture of an operation.

When interviewing agency staff, it is worth remembering that personnel, in particular those working in emergency operations, often have a high degree of personal involvement and engagement in their work, and that they have probably tried their best in difficult circumstances. Interviews should therefore be conducted in the spirit of shared learning, and the need to understand why mistakes may have occurred rather than taking a judgmental approach.

When evaluating in conflict or post-conflict situations, evaluators should be as sensitive as possible to the experiences that the interviewees may have been through.

Beneficiary interviews are a vital element of any evaluation. As well as providing a rich source of information, these interviews can give a voice to those who may have lost their normal communication channels.

- ### Rapid and participatory techniques

While there may not be time to carry out a comprehensive PRA exercise, there should always be some attempt to use participatory and rapid techniques. Triangulation is particularly important, to cross-check findings. The deliberate inclusion of those who have not benefited from the assistance available can be a useful means of evaluating targeting and beneficiary selection processes.

However, the difficulties of using participatory techniques in conflict or post-conflict situations should not be under-estimated:

- By talking to evaluators, beneficiaries may be exposing themselves to risk, and agencies may be perceived as having 'taken sides'.
- Communities and groups are likely to have fragmented, making it difficult to find 'representative' participants or entry points to a participatory process.
- The trauma that beneficiaries may have suffered might be such that it is unacceptable to ask them to recount their experiences.
- Communities and groups are unlikely to understand the evaluation process. There is a danger that participatory evaluation can raise expectations that cannot be met.

Field travel during the evaluation mission

Depending on the size of the team, the time available and the spread of the project the team may travel jointly or separately to the field. National society and Government participation as observers is encouraged as this provides ample opportunity for learning. However, care should be taken to avoid arriving in the field and in particular in communities with a team that is too big. Teams and Observers that are larger than five should consider splitting up during community visits. Alternatively, the team leader may suggest dividing the entire group into several teams with each team applying the same method in different communities and meeting in the evening to compare findings.

The team should meet an adequate and representative sample of beneficiaries and stakeholders. Avoid the mistake of trying to visit too many sites at the cost of not allowing the team enough time in each site to interview and apply the various evaluation methods.

Back from the field travel – the last week

Upon return from the field the team should have at least one additional week in the country. During this week the team may need to interview additional key informants, undertake additional data review and analysis, and meet as a team to discuss the findings and implications of the field visit and start or continue writing these up.

The feed-back workshop

The debriefing or feed-back workshop is a key event during the evaluation. The national society is responsible for logistical arrangements, while the teamleader is responsible for workshop design and the preparation of necessary presentation materials. If funding is available, the workshop may be held off site and may use the services of a skilled external facilitator.

The aide memoir

Prior to leaving the country, an aide memoir should be prepared by the team. The aide memoir must contain the key findings, conclusions and recommendations of the mission and may be structured according to the outline of the summary report.

The aide memoir is usually drafted by the team leader with inputs from team members and provided to the Country Delegation for comments. Depending on the programme and advice from the national society, the aide memoir may also be discussed with UN partners, the donor community, NGOs, and other stakeholders to benefit from comments they may have. The Aide Memoir is provided in advance and discussed in a meeting with the Government. In case senior decision-makers attend the debriefing workshop this stage may be dropped in agreement with all parties. Time providing, the team may wish to present the main results on flip charts or power point.

Normally the Aide Memoir is not revised once presented to the Government unless there are factual mistakes.

Table 6.7: Conducting the debriefing workshop

Purpose and advantages of a debriefing workshop

- Communicates initial evaluation findings to stakeholders, and seeks to gain their feedback on the evaluation process and findings so far.
- A reflective forum that can bring about learning and a critical review of key components of the operation or programme being evaluated.
- Should be viewed not as a formality to be got through as quickly as possible, but as a vital opportunity to gain additional insights. Stakeholders should be encouraged to attend and to participate actively in the knowledge that they can still influence the evaluation's findings.
- May allow team to jointly with stakeholders, work out recommendations and identify lessons.

Who should attend?

- Concerned working-level and beneficiaries. As appropriate, select donors and UN agency representatives may be invited. Ideally, the decision-makers for the project should be present but this may not always be feasible if these are senior officials. In such a case these would be debriefed during the Aide-Memoir presentation and by their technical staff who attended the debriefing workshop.

How to plan and prepare for the workshop

- The date and venue for the workshop should be arranged well in advance to enable the maximum number of stakeholders to attend. Beneficiary representatives should be invited and encouraged to consult with the people they represent both before and after the workshop. As soon as they are available, an agenda, list of participants, the ToR, and other relevant details should be communicated to all of those invited to attend.
- It is advisable to use visualisation techniques, such as VIPP* cards, and moderation techniques such as group exercises and buzz groups. This will require that the venue be of sufficient size and with sufficient wall space to allow for 'break-out' groups to undertake exercises, and for group presentations to be pasted in the wall for all participants to see. (As a general guide, 15 participants will require a room of at least $80m^2$.)
- Seating arrangements will have a big influence on the workshop. Formal seating with tables, name cards, microphones, etc., is to be avoided as it is likely to constrain interaction, and may even intimidate some participants unused to such meetings.
- Visual aids, such as overheads slides, pre-formatted flipcharts, and handouts, will provide a focus both for the teams' presentation and for discussions with participants. Care should be taken to ensure that all such materials are clearly written, and will be readable by all participants in the room.
- If a large number of participants are expected, it may be sensible to employ an experienced facilitator to chair discussions and maximise participation. If the workshop is expected to last more than half a day, then refreshments and a meal will be required.

*VIPP: Visualisation in Project Planning

Stage III: Synthesis and report writing

To a certain extent there is overlap between stage two and three, as many teams start synthesis and report writing while still in the country. As a matter of principle, major key findings, conclusions and recommendations should be contained in the Aide Memoir. If there is funding available it is recommendable to extend the presence of the team leader so as to allow the team leader to finalise the bulk of the report while still in the country. This allows for additional feed-back and consultation and ensures that the evaluation report is submitted on time. For more on report preparation, see Module 6.7 Step 7 - Preparing the evaluation report.

6.7 Step 7 - Preparing the Evaluation Report

6.7.1 Procedures

The teamleader is usually responsible for collating the inputs of the team member into the production of the final report. Normally the final report should be submitted within three weeks of the end of the mission. The draft report is reviewed and commented on by concerned units and offices within International Federation and National Societies, and the teamleader makes the necessary modifications in response to these comments. In the interests of independence, it is the teamleader's final decision as to what the final conclusions and recommendations are. However, if there is strong disagreement voiced by any of the key stakeholders this should be noted in the report.

Given the complexity of humanitarian assistance operations, and the frequent inadequacy of documentation and data, it is vital for reasons of credibility and competence that the draft report is shared widely, and that adequate time is allowed for preparation, receipt and consideration of comments.

Evaluation summary reports are a requirement for all evaluations. The procedure is as follows:

- **For evaluations managed by the M&E Division** – All M&E Division evaluation results are presented to International Federation Secretary General. They are presented in a summary report not exceeding 5,000 words, which highlights the findings, conclusions and recommendations of the evaluation team. Evaluation summaries are the responsibility of the Team Leader who uses the standard outline.
- **For evaluations managed by Country Delegations** – As a matter of principle, reports for all evaluations should be preceded by an evaluation summary. This summary should contain the main findings, recommendations and lessons of the mission, and may follow the format used by the M&E Division. Summaries of national society managed evaluations should be submitted to the M&E Division for possible inclusion in the annual reports.

The internal review and approval of evaluation summaries follows a standard process:

Table 6.8: Steps in the review and approval of Board-submitted evaluation reports

1. Reflecting the Aide Memoir comments as appropriate, the Mission drafts the Full and Summary Reports and circulates them via the M&E Division evaluation manager for comment to action officers.
2. At the discretion of the national society, the draft full and summary reports are also forwarded to the Government for comment.
3. The Mission leader (or the Evaluation Manager) incorporates the various comments into the full as well as the summary report as appropriate.
4. The Director of the M&E Division clears the draft of the Summary Report for circulation to Executive Staff for their comment.
5. The Evaluation Manager incorporates Executive Staff comments as appropriate and ensures that amendments are not in contradiction to the Full Report
6. The Director of the M&E Division clears the final Summary Report for submission to the Governing Board processing.
7. The edited and translated Summary Report is forwarded to the national society which in turn passes it on to the Government, in both cases for information, follow-up action, and reporting by means of the Management Response (recommendation tracking) Matrix as appropriate.

6.7.2 Guidance for the evaluation manager

This stage of the evaluation is crucial as this is when the final product of the evaluation will be presented. The evaluation manager here has a quality control function. As soon as the report is submitted by the Teamleader the evaluation manager should critically review its contents, TOR compliance, relevance and accuracy.

The evaluation manager at this point may also act to "negotiate" or "mediate" between the evaluation team and the key stakeholders, especially in the case of an evaluation report that provokes emotional or negative reactions.

Based on the review of the evaluation manager as well as the comments received the teamleader is then asked to reconsider, revise, restructure key points or elements of the report. As a matter of principle, factual errors should be corrected. Substantive issues are at the discretion of the Teamleader but should not contradict current International Federation and National Societies policy. If this is the case this must be clearly stated with the Team's reason for not reflecting policy.

What to do if the report is not satisfactory

Should the second draft not reflect the comments provided, the evaluation manager needs to decide whether the report can be accepted as it is or if it needs further review before it can be accepted. The independent view of the evaluation team must be safeguarded – if there is disagreement this should be added to the evaluation report and possibly included in the management response of the Country Delegation.

If the report remains unsatisfactory then the evaluation manager may withhold a portion of the payment. (Payment modalities should be clearly spelled out in the TOR and/or the contract).

Report editing

It is advisable to have a professional editor edit the summary report before the report is disseminated. This requirement may also be built into the contract and payment of the teamleader, and the teamleader should be held responsible for providing a full and summary report that meets professional standards.

6.8 Step 8 - Report Dissemination

As soon as the full report and the evaluation summary have been finalised, they should be distributed to all interested stakeholders. At country-level, the national society will decide who should receive the full report, or who needs the summary. At HQ level, the M&E Division presents all M&E Division-produced summaries to the Secretary General.

Summary reports may be added to the International Federation webpage upon request of the National Societies.

National societies may also consider disseminating evaluation findings as an advocacy tool. This can be done through press releases, press interviews, radio/television coverage.

6.8.1 What happens to the recommendations?

If evaluations are to serve their purpose, then decisions must be made on which recommendations will be acted on, who will implement them, and when action will be taken.

In the past evaluations have been criticised for not turning into action and for simply being "shelved". To enhance the usefulness of evaluations, a Recommendation Tracking System (RTS) has been developed by the M&E Division.

The RTS is a mechanism that allows evaluation stakeholders to track the implementation of evaluation recommendations in addition to providing management with an opportunity to reflect critically upon the recommendations made. Although this is a tool that has been developed for the Secretary General and National Societies are encouraged to use this matrix when engaging in their own evaluations.

All M&E Division evaluation reports contain in the annex a standard matrix requiring the following information:

- concisely-worded, action-oriented **recommendations**, grouped by area of concern
- identification of who is **responsible** for taking action
- the immediate **management response** to the recommendation
- eventual **action taken** by management (for presentation to the Governing Board).

RTS requires a formal two-phased management response to evaluation recommendations.

1. During the preparation of the Evaluation Summary Report, the team leader will insert the recommendations and the table will be sent to the national offices and other relevant action units to complete the columns "Immediate Management Response" and "Action by". At this point, the only blank column will be "Review of Action Taken".
2. Six weeks before the Governing Board presentation, the Evaluation Officer will contact the national society to complete the final column. The completed matrix will then be provided to Governing Board members as an "Information Paper", separate from the Summary Evaluation Report.

6.9 Step 9 - Using the Results and Learning from the Evaluation

The greatest value of evaluations lies in their immediate use, application, and where appropriate their influence over future programmes and policies locally as well as corporately. How can evaluation results be used?

- Improving management
- Changing/modifying current operation strategy, including outputs to be produced
- Improving monitoring
- Improving/modifying/adding partnerships, partner inputs
- Assisting in decision-making - whether or not to proceed
- Providing inputs for policy-making
- Providing guidance/advice/lessons for redesign or design of next phase
- Providing information for advocacy and fund-raising
- Updating information on the situation on the livelihoods of International Federation and National Societies beneficiaries
- Providing independent assessment of results being achieved

It is important that evaluation results are disseminated widely to all concerned stakeholders. Beyond circulating the report or a summary of the report it is very effective to hold discussion-groups, workshops or even retreats to discuss the findings and implications of an evaluation and can be the opportunity to discuss the design of the next phase.

Learning from the evaluation will be enhanced if the national society staff are fully prepared for and involved in the evaluation. Evaluation management must play an active role in the negotiation of the objectives, key issues and method used of the mission if the results are to be useful. While the independent view of the evaluator needs to be preserved, the best learning will occur by the national society providing as much space and time to the team as needed. Frequent short feed-back sessions throughout the mission may prevent later surprises. A feed-back or debriefing workshop at the end of the mission provides a forum for frank and critical discussion of the issues identified and for joint reflection on recommendations and future action.

While learning can usually be generated from the findings, conclusions and recommendations of the evaluation, it may help to go one step beyond and identify lessons that can be learned. In their simplest form, lessons enable us to avoid re-inventing the wheel, or constantly falling into the same traps. A lesson differs from a finding or a recommendation in that it is applicable to a generic situation rather than to a specific circumstance.

It is important to note in the above example, that at project level the most useful outcome of the evaluation will be the recommendations made. The learning or “lesson” that can be drawn out of finding and recommendation is most useful if applied in future situations and shared with others (i.e. inform policy makers, project design elsewhere etc.). Evaluators and evaluation stakeholders are therefore encouraged to identify lessons as well as recommendations that may have a wider application in the organisation and to identify the appropriate “end users” of such learning (e.g. relevant technical or logistical units in headquarters). End users may also be found at national level – in particular if the lesson identified may have a bearing on national policy-making or the work of other donors, agencies.

Table 6.9: What is a lesson?

Learning output	Definition	Application	Example
Finding	A factual statement	Situation-specific	No training was provided on gender issues. Only 10% of has gone to female beneficiaries.
Conclusion	A synthesis of findings	Derived from a specific situation, but may also be applicable to a class of situations	Gender concerns have not been taken into account throughout the execution of the operation
Recommendation	A prescriptive statement	Prescribed for a specific situation, but may also be applicable to a class of situations	Training on gender issues should be provided to all International Federation and National Societies and partner staff.
LESSON	An instructive generalisation based on a learning experience	Generic – not situation-specific	Unless staff are sensitised and trained on gender concerns, an operation will not appropriately address gender concerns and equal and fair access to International Federation and National Societies resources.

6.10 Enhancing the Effectiveness of the Evaluation Process

A common theme of evaluations is that the effectiveness of the evaluation process is severely limited by three constraints:

1. The absence of clearly stated objectives *and/or a strategy* for the overall *operation* and its various sectoral and project components.
2. Poor availability and comparability of the monitoring data necessary to assess the performance and results of projects, and therefore the programme as a whole.
3. Evaluations are not regarded as a useful exercise by key stakeholders and are therefore not taken as a serious opportunity for learning and change.

Addressing these issues during the design and implementation stage can significantly improve the likelihood of effective evaluations.

6.10.1 Clarifying objectives

When the *purpose and/or goal* of the operation are not clearly stated, the evaluation will be made more difficult – what should results be measured against? This problem may exist for individual operations within the humanitarian response system, or may apply to the whole system. Difficulties are further exacerbated by the fact that in an emergency, objectives even if stated are likely to be modified as the situation evolves.

The Good Practice Review suggests the following tools to assist in improving the clarify of objectives:

- **Strategic frameworks** – which set overall objectives for the international community's response, to be adhered to for all emergencies (e.g. UN Agency Country Strategic Framework; OCHA Appeal).
- **Country or response strategies** – which establish objectives in the build up to, or at the onset of, a particular emergency.
- **Logical framework analysis** – which establish a hierarchy of objectives for a particular operation.

6.10.2 Improving the availability and accuracy of monitoring information

Much of the lack of vital information is due to the nature of the context of the emergency. However, there are measures that can be taken to increase the usefulness of monitoring for evaluation purposes. A particular feature of emergencies is the increased need for managers to constantly re-assess the situation (e.g. by updating assessment data) to determine the overall appropriateness of the operation, in addition to the more conventional monitoring function of providing information for routine management decisions (e.g. pipeline monitoring).

Particular issues that should be addressed to improve the availability of monitoring information are:

- Reaching early agreement on the key indicators to be monitored by all agencies
- Gathering baseline information prior as early as possible
- Establishing monitoring and data collection systems that facilitate cross-agency and cross-programme comparisons
- Establishing effective management of filing and information systems so that key reports and records of decisions are readily available.

6.10.3 Making evaluations useful

Making evaluations useful, relevant and timely requires a number of ingredients:

- Good evaluation planning and timing
- Making the evaluation relevant to management and user needs
- Ensuring participation and a degree of ownership of key stakeholders
- Established follow-up procedures for the use of the evaluation
- Promoting the learning aspect of the evaluation
- Presenting evaluation results in succinct formats: e.g. news briefs, 1 page abstract, powerpoint presentation, news letters etc.
- Sharing the evaluation with all relevant partners and the public.

LESSONS TO LEARN FROM MODULE 6

MANAGING EVALUATION

- AGREE PURPOSE OF EVALUATION
- PLAN TIME FRAME FOR EVALUATION
- PREPARE TERMS OF REFERENCE
- SELECT TEAM
- PRE-MISSION DESK REVIEW
- CONDUCT OF EVALUATION MISSION
- DEVELOPING DRAFT FINDINGS
- PREPARATION OF EVALUATION REPORT
- REVIEW OF EVALUATION REPORT
- DISSEMINATION OF RESULTS

7. Baseline Studies

7.1 What is a Baseline Study?

A baseline study is the analysis and description of a situation prior to an operation/programme, against which change can be assessed or comparisons made. The baseline study provides a benchmark (a snapshot of the current situation) for operation objectives, focusing mainly on the variables that the operation is intended to affect – food security, nutritional status, asset ownership, access to schooling, etc. – which are summarised by the indicators contained in the logframe. The baseline provides the basis for monitoring and evaluation, with a follow-up study at a later point (typically at mid-term or completion of the operation) to facilitate measurement of the outcomes and impact of an operation. The baseline study is therefore a vital tool for Results-Based Management – without baseline data, it is difficult if not impossible to determine what difference the operation has made.

Figure 7.1: Baseline and follow-up studies in the project cycle



There are a number of principles to be applied in relation to baseline studies:

- Baseline data is always required for every type of operation. Without baseline data and some form of follow-up study, results cannot be determined with any confidence.
- Secondary sources should always be the first point of reference when assembling baseline data. If possible, baseline data should be collected from existing sources – baseline studies can be expensive and time consuming, and there are many examples of studies that provided late, incomplete or unreliable data.
- Plans for baseline data collection should include provision for a follow-up study, which would use the same methods and study the same sample or sites in order to generate comparative data.

The baseline data should ideally be collected before the start of project implementation. If this is the case, then baseline data can assist in the planning process, enabling planners to fine-tune the operation design. If baseline data are collected after the start of implementation (as is often the case with emergency operations), this may not be a problem provided that the data reflect the situation prior to the commencement of the operation's main activities.

There are three common problems with baseline studies:

- They attempt to collect too much data, giving rise to difficulties in analysing all of the data, (with implications for cost-effectiveness and for the timeliness of reporting) and in making full use of the analysis that results. It is therefore essential to be rigorous in determining what baseline data are required.
- Baselines are often executed after the operation has started. While this may not necessarily be of concern if no activities have yet got underway, it is preferable to ensure that the

baseline has been organised in advance and possibly even included as a step in the approval process.

- Baselines are conducted without a plan or budget for the necessary follow-up study. While baseline data are useful for planning purposes, they also play a major role in evaluation for which some form of follow-up study is required to compare the before and after situations. For comparability of data, there must be consistency in the methods and tools used. It is important, therefore, that the baseline study clearly records how the data were collected and analysed. It is quite likely that staff will have changed in the two to three years since the baseline was conducted, and they need good reference material in order to be able to reconstruct a comparable data set.

7.2 Baseline Studies for Different Types of Situations

A fundamental aspect that concerns International Federation and National Societies when designing baseline studies is the nature of the operation for which a baseline is required. Table 7.1 contrasts the context and implications for baseline data collection for development activities and for emergency operations and development operations.

Table 7.1: Characteristics and implications for baseline data collection for different types of operation

Type of operation:	**Development**	**Emergency & Development Operation**
Characteristics:	• Development operations have a planning horizon and the project cycle process creates potential space for baseline and follow-up studies. • Working with development partners can mean a wider span of interest in baseline data and support with resources for data collection.	• The pace of work means that assessment, baseline analysis, and operation start-up are all going on at the same time. • The use of assessment data is likely to be an important component of the baseline.
Implications for baseline studies:	o More time is available to collect good quality data and develop staff capacity.	o Data collection is likely to favour rapid methods that can produce quick results, even if they are less precise.

If the operation is an expansion or extension of a previous one, there is likely to be a significant amount of data already available – from monitoring and assessment; from a terminal evaluation; or from a follow-up study to a previous baseline. Under such circumstances, the available data should be carefully scrutinised to determine what could be used to construct the new baseline. The normal principles apply for verification of the accuracy and reliability of secondary data (see Module 8.3: Using Secondary Data).

With the advent of national programmes for poverty reduction, and Poverty Reduction Strategy Plans (PRSPs), many countries have embarked on processes to analysis and quantify the extent of poverty against criteria drawn from the international development goals and targets (see OECD Development Goals for 2015). In many countries, UNDP has a leading role in the process of poverty monitoring and there are structured programmes of national surveys designed to monitor poverty and welfare. In such a country, poverty indicators, combined with food security indicators, might be able to substitute for all or part of the baseline information required. The main concern would be to find out if data are available for the specific area of the project or for the defined target group.

These factors discussed above are summarised in Table 7.2.

Table 7.2: Factors and implications for baseline studies

Factor	Implication for baseline
Development operation	Schedule in the project cycle process
Emergency, Relief & Recovery Operations	Draw on assessment data, use rapid techniques, upgrade through monitoring
Expansion/ extension	Use evaluation or monitoring results to help construct the baseline
Community development	Plan for rolling baselines through community plans
PRSP countries	Make use of secondary data on poverty and welfare

7.3 Planning and Managing a Baseline Study

The basic steps in planning and managing a baseline study are set out below, and are elaborated in the following sections:

1. Decide if a baseline *survey* is required
2. Decide who will undertake the baseline study
3. Decide on the objectives for the study
4. Decide on timing
5. Identify questions and topics to be covered by the study
6. Select units of study (e.g. households; schools; communities; etc.)
7. Decide on using a comparison group
8. Control for the 'year effect'
9. Identify the secondary data to be used
10. Choose primary data collection techniques
11. Select the sample, or sites to be visited
12. Prepare the workplan and budget

7.3.1 Is a baseline *survey* required?

Baseline *data* are always required, but it will not always be necessary to conduct a baseline survey. It is possible that the necessary benchmark data will have been collected by VAM, as part of the appraisal mission, during the assessment for an emergency operation, or during an evaluation of a previous phase.

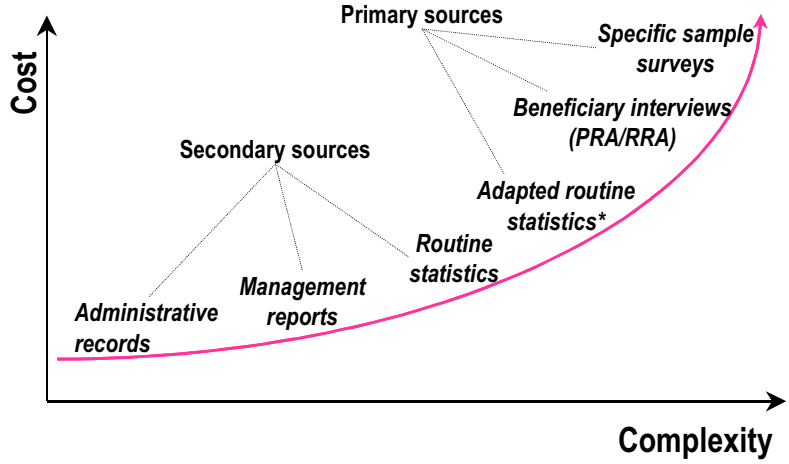
The basic question to be answered is therefore *do sufficient secondary data exist to describe the situation before or at the start of implementation, based on the indicators established for the operation's goal and objectives?*

If the answer to this question is *Yes*, then it is better to make use of existing data rather than to commission a baseline survey. This is because primary data collection is a complex activity requiring a high level of skill and is very demanding on management resources. Wherever possible, it is preferable to use secondary data collected by the government, an implementing partner or another agency, as long as the topic is relevant to the proposed operation, and the coverage identifies the specific beneficiary group.

Particularly in the case of extensions to an existing operation, a considerable amount of data may already exist about the target groups. Using a range of beneficiary records, past reports and general statistics from government and non-government sources, an accurate and up-to-date picture of the population at risk may be assembled at minimal cost. During the closing months of a past phase, evaluations or routine monitoring may define in detail the latest circumstances of the population, and in so doing lay the groundwork for the new phase of the operation.

If the answer is *No*, you will need to consider undertaking a baseline survey. See Module 8.2.4. What is a sample survey?

Figure 7.2: The relationship between cost and complexity of data collection and analysis



*Adapted routine statistics refer to statistics accessed from routine data collection activities, but then subsequently re-analysed for the purposes of the operation baseline.

7.3.2 Who will undertake the baseline study?

Undertaking a baseline study requires considerable skills in data collection techniques (for example, in sampling and surveys, or in rapid and participatory techniques), field management, and analysis and report writing.

An important step early on in the design is to consider what resources and skills are available, either within the organisation (International Federation and National Societies, government or the implementing partners) or from elsewhere (for example, through consultancy firms, university departments, or other independent organisations). The availability of the necessary expertise, its cost, and the resources available, will be major considerations in decisions on the duration and complexity of the study. Take the time to identify what options exist:

- What capacity exists among International Federation and National Societies staff to design and manage the study?
- Where will the necessary expertise come from – government, implementing partners or external consultants? Will additional training be required?
- Does the country delegation have funds available? Are there other funding sources?
- Does the National Statistical Bureau or any university conduct commissioned studies?
- What private companies or NGOs exist that provide relevant expertise, and could design and manage the study?

7.3.3 Deciding on the objectives of the study

Write down a clear statement about the objective of the study. Agree on this statement with partners and with those who are implementing the study.

Examples

- To collect information about the extent and distribution of food insecure households in the target area.
- To identify the current enrolment, attendance and learning achievements of primary school-age children in the target area.

7.3.4 Decide on timing

Do the data have to apply to a specific period of time before the operation, or does the timing not matter very much?

Example

- The operation supports diversification of livelihoods in the programme area. Data from a household survey collected within 5 years before the operation starts are available. These are considered adequate because there have been few other development activities in the area in recent years.

7.3.5 Identify the questions and topics to be covered in the study

Make a list of the topics and specific questions for which data are needed. It is vital that the scope of the study is directly linked to baseline data requirements – the main sources for this are the approval document and the logframe. All too often, additional data requirements are added as the study design evolves – **all data requirements must be justified in relation to the operation's objectives and indicators, and key aspects of the operational context.**

Identify who the beneficiaries are: are they children at school, nursing mothers, farm families or specific groups such as female members of a producer cooperative?

Examples

- In a school feeding operation, the information that is required concerns the proportion of children by sex who are registered at school, who attend for more than X% of days, and who pass their grade examination. Other information consists of the numbers of basic facilities at each school: desks, chairs, textbooks, writing books, and teachers. The operation aims to increase the proportion of girl students, so a further item of information is the percentages of adult females and of adult males who support education for girls.
- In a food for asset operation, the information that is required concerns the area of rainfed land that is in need of rehabilitation, the area of irrigated land affected by salinisation and the number of households whose cultivation is mostly or totally in degraded areas.
- In a sustainable livelihoods operation, the information that is required is the number of months for which households by socio-economic characteristic (ethnic group, female headed, family member with a disability) can feed themselves from their own resources. Information is also required about access to and participation in other off-farm sources of employment and income-earning activity.

7.3.6 Select the units of study

It is necessary to identify the people or organisations for which information is required. These are known as 'units of study' for any primary or secondary data collection.

Examples

- The units of study for the education operation are girls and boys, and their mothers and fathers; and for the school assets, the school or possibly the classroom.
- For the asset creation operation the units of study are rainfed land, irrigated land and farm families.

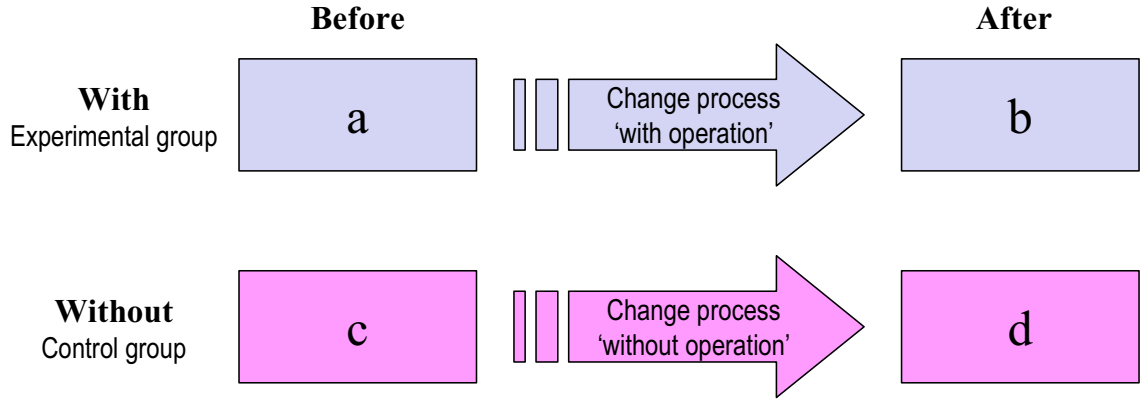
- For the sustainable livelihoods operation the units of study are households and individual household members (probably adult members).

7.3.7 Decide on using a comparison group

A baseline study provides an analysis and description of a situation prior to an operation, with a view to conducting a follow-up study enabling comparisons to be made *before* and *after* the operation has been implemented. However, there may well be difficulties in attributing any changes that have occurred due to the effects of the operation. Maybe the changes would have occurred anyway – due to government policy, the diffusion of technology in the area, or other reasons.

The use of comparison groups – units of study that lie outside the scope of the operation – provides a basis for making a *with and without* comparison, as well as *before and after*. As Figure 7.3 illustrates, the changes that occur in a→b are compared to those that occur in c→d, with the difference being attributed to the operation.

Figure 7.3: Using comparison groups



There are two key issues to address in deciding whether to include a comparison group in the sample:

- Can units of study be found that sufficiently match the characteristics of the target population (experimental group)?
- Are there sufficient resources available to expand the sample size to include a comparison group?

For a valid comparison to be made between the target population and the comparison group, they must exhibit sufficient similarity on key 'influencing' characteristics (a process known as 'matching'). Otherwise, any changes observed between the two groups in the "after" situation may simply be the result of their pre-existing differences. In practice, a perfect match is impossible and a judgement must be made about what characteristics constitute an adequate match. A simple example of such a compromise for a school feeding baseline study would be to select schools in similar agro-economic zones.

The use of a comparison group requires the allocation of a proportion of the available survey resources to this group. For statistically significant results, the comparison group should be of comparable size to the target population. This is likely to mean that the survey will be considerably more expensive. The use of a comparison group (if carried out as part of a well-designed survey) will always provide a better basis for attribution of change, so the additional costs need to be weighed up against the benefits gained from the improved ability to attribute change to the operation.

7.3.8 Control for the 'year effect'

To what extent might the baseline data be susceptible to the conditions of a specific year or season? For example, data about coping under vulnerable conditions might need to take into account whether the years before the operation were 'crisis' years or normal years.

Examples

- For a school-feeding project in rural areas, enrolment is likely to be influenced by cycles of agricultural activity, which are in turn influenced by climatic conditions. Enrolment should therefore be estimated against both recent years and conditions under a crisis year.
- For an asset creation project, data from any of recent years will be suitable, as the desired change to be generated is a simple increase in asset ownership.
- In food assessment, seasonality can distort.

7.3.9 Identify the secondary data to be used

Having identified the timing, topics, units of study and year effect, you can now ask if existing secondary data provide an adequate baseline.

Examples

- Data on school attendance and performance are available from records kept by the Ministry of Education. There are no existing data about the opinions of parents about education of females.
- A survey five years ago by the Ministry of Soil Conservation mapped and classified land that was degraded in various ways. Although the data are old they are available for the target area and there has not been any land development in the area in recent years.
- Information about food security was collected by a national household survey three years ago, but the estimates are only available at the regional level. There are no data about income-earning opportunities.

For more guidance on using secondary data, go to Module 8.3: Using Secondary Data.

7.3.10 Choose primary data collection techniques

Once it is determined that primary data are required, a choice needs to be made about the technique for data collection.

There is a trade-off between the costs, speed of collection and speed of analysis according to the technique selected, but all are skill-intensive. There are no short cuts or easy options to good quality data. As is shown in Figure 7.2, it has been noted that a sample survey is the most expensive technique. Particular issues to consider before selecting this method are:

- the existence of a sampling frame (the listing of all units of study from which the sample will be drawn such as households, schools, villages). If no sampling frame exists, or if it is questionable (for example, the household listing from a census may be significantly out of date), then it will require significant investment to construct a new one; and
- the time, resources and skills required for data entry and processing, and statistical analysis.

Guidance for data collection techniques

Few studies make use of a single technique: participatory surveys often include questionnaires for individual respondents; group meetings are frequently followed by individual interviews; land can be accurately measured for area whilst production is estimated from farmers' memories. The maxim is to choose the right tool for the job. For example:

- If the need is for data that are very precise about measurements, such as energy intake for food deficit, individual interviews and exact questions or a specific measurement technique must be used.
- If the need is for estimates about people's opinions or perceptions, and broad figures such as 25% of households feed themselves for 3 months or less will suffice, data from focus group meetings and open discussions will be acceptable.
- As a general guide for most baseline studies, participatory techniques that are well structured and for which the data collection is thoroughly documented will suffice for most International Federation and National Societies operations. This is especially the case in situations where secondary data about poverty and welfare are also available.

More details on primary data collection methods are provided in Module 8.2: Data Collection Tools.

7.3.11 Select the sample or sites to be visited

If primary baseline data are to be collected, consider how large the sample needs to be.

Guidance

- Estimation of sample size is a skilled task and for any formal questionnaire-based sample survey or large-scale study professional advice should be sought.
- A number of rules of thumb can be employed. In order to have enough data about units of study so that results can be reported for a specific location or facility, a minimum of 30 units should be interviewed. For example, 30 children at a school, 30 mothers attending a post-natal clinic.
- To make comparisons between locations or facilities such as rural/urban; or one school and another, a larger sample, between 60 and 100 will be better.
- For units of study such as communities, where comparisons need to be made between districts and types of operation such as irrigation development or access roads, no fewer than 5 communities should be selected in each category (5 in district 1, irrigation; 5 in district 1, access road; 5 in district 2, irrigation; 5 in district 2, access road, etc.)
- Informal sampling is often used to overcome possible selection bias. For example, on a visit to a village, enquire at the 5^{th}, 10^{th}, 15^{th} etc. houses moving north from the village centre, or from where the vehicle is parked. In meetings, ask questions in quadrants around the group. In a market, sample traders by walking a transect across the market and stopping at every n^{th} trader.
- Typically, a confidence interval of 95% is used to ensure that sampling error is acceptable. But non-sampling error (eg. measurement error) can often be a more significant factor in determining the overall accuracy and precision of data. A high confidence interval implies a relatively large sample size, with all the costs that this entails. It may therefore be a sensible trade-off to reduce the required confidence interval (to say, 80%), leading to a smaller sample size, and then to invest some of the savings in more rigorous training of field staff in order to reduce the risk of non-sampling error.
- Including comparison groups in the sample is a means of inferring causality. Comparison groups are units of study that are not involved in or affected by the operation, and which may provide a *with and without* comparison with beneficiaries. The challenge is to identify units

of study which exhibit the same characteristics as those involved in the operation, in order that the comparison is relevant.

- Site selection is critical for PRA/RRA, because it is very likely that only a small number can be visited given the time and labour intensity of each visit. The number of sites that can be studied will depend on the availability of skilled team members, and the amount of time that they can spend in the field. In any case, the principle of optimal ignorance means that it is not the number of sites that are visited that is important, but how representative the sites are. For detailed guidance on site selection for RRA/PRA, see the Catholic Relief Services PRA Manual.

7.3.12 Prepare the workplan and budget

Once the details of the baseline study have been decided, they should be summarised in a study plan and costed in a budget.

Table 7.3: Example of contents for a baseline study workplan

Summary (to include a timetable/Gantt chart for the study)
Background and purpose of study
Summary of operation objectives, indicators and target beneficiaries
Objectives of study
Questions and topics to be studied
Review of existing data sources
Data collection
Units of study
Use of secondary data
Data collection techniques
Sample/site selection
Design
Questionnaire or checklist design
Arrangements for testing
Fieldwork
The fieldwork team
Training required
Timetable for fieldwork
Arrangements for supervision
Arrangements for data checking and filing
Data processing and analysis
Arrangements for data processing and analysis
Proposed data tables
Training required
Reporting and feedback
Proposed format of study report
Arrangements for presentation of findings
Annexes:
Budget
Operation design document

Although it is not possible to provide clear guidance on how much to spend on collecting primary baseline data, the following list of items may need to be incorporated into the budget for baseline data collection:

Table 7.4: Possible items for inclusion in the budget for a baseline study

Budget heading	List of possible budget items
Personnel	Staff salaries and allowances For contracted consultants For field staff involved in data collection For field supervisors For data entry and processing staff For drivers
Training	Hire of training venue and accommodation Transport to field sites for practical training exercises Hire of training equipment Food and beverages Training materials and stationery
Transport	Vehicle operating expenses Any allowances for maintenance of motorbikes or bicycles purchased specifically for the study
Equipment	Measuring equipment (eg. weighing scales, measuring tapes, etc.) Field staff equipment (eg. clipboards, calculators, etc.) Computer equipment (eg. hardware, software, consumables) Transport (eg. bicycles or motorcycles)
Stationery	Paper for questionnaires or checklists (including spares) Manuals (eg. for data collection, data entry, etc.) Reporting proformas for monitoring of data collection Pens, pencils, sharpeners, erasers, rulers, etc. Report production
Publicity	Posters Leaflets Hire of rooms for meetings Radio announcements Dissemination of study results (eg. through a workshop)
Contingency	To allow for unexpected problems and delays during fieldwork

7.4 How to Analyse and Report the Data

Whatever approach is taken, the results of the baseline data collection and analysis must be presented in a readable and well-structured report. Excessive detail can confuse and detract from the main findings. Material that is badly written or organised means the value of the data is likely to be lost to the operation's management and to those carrying out M&E work later on.

7.4.1 Presentation is vital

The baseline report should first provide a short summary of findings for wide distribution to all parties concerned. This should consist of one or two pages of highlighted points illustrated with key statistics describing the state of the main indicators. A more detailed main report should be prepared that has a well structured table of contents to guide the reader, and uses graphs and tables sparingly to improve understanding. Key data should be presented in summary tables in the body of the report. More detailed data should be annexed or made available upon request to those who need it, provided that confidentiality is respected. Care should be taken to note the likely errors and omissions in the baseline results, and to note the level of significance of any formal survey findings. The contributions of all those involved in the baseline work should be properly acknowledged.

7.4.2 Plan for links with monitoring

Recommendations should be made for the monitoring plan during the operation's life span, and what arrangements would be advisable for data collection following the approaches used in the baseline exercise. Based on the baseline experience, what can and cannot be measured at the least cost? What are the recommendations regarding the most sensitive indicators of change related to the type of operation chosen?

7.4.3 Using the results

Even if the survey work was not done in a very participatory way, the discussion and use of the findings can be. Thus the use of workshops, field meetings and local media can serve to validate and qualify the baseline results and ensure greater relevance. In short, the baseline should be used as a planning tool, and the results fed into a revision of the logframe and used to formulate revised work plans for the first year of operations.

7.4.4 Preparing the report

The primary function of a baseline study report is to present data that will be used for comparison in the future. The report can be less analytical than for a planning or diagnostic survey, though some analysis will be required. In many situations the baseline study will be contracted to a third party. The arrangements for reporting should be specified along the following lines:

- The results for all variables specified under the study should be presented for each administrative or other area of operation and according to the defined units of study.
- All data should be presented in basic tables that contain a suitable estimate of central tendency (mean or median for cardinal data, mode for ordinal or nominal data) together with an appropriate presentation of distribution (a frequency distribution for ordinal or nominal data, standard deviation for the arithmetic mean, inter-quartile range for the medians).
- The organisation implementing the study and collecting the data should be asked to specify data tables prior to starting the work. The more detail given about these, the more likely the study will meet its objectives.

The report will need to be structured to suit the specific circumstances of the operation, but some general guidance is given in Table 7.5:

Table 7.5: Example table of contents for a baseline study report

Summary (to include a table of baseline values of key indicators)
Study design
Background and purpose of the study
Objectives
Scope of questions and topics
Units of study
Use of secondary data
Choice of technique
Findings
Population (estimates of population of interest in the target areas)
Target beneficiaries (estimates of relevant target groups)
Key indicators of performance relevant to the operation (structured according to the logframe structure: involvement of target groups in activities; data related to outputs; data related to outcomes)
Comparisons with data from other sources or in previous years
Comparisons with data from control group (if included in sample)
Implications for monitoring and evaluation
Issues related to data collection methodology
Data Annexes
Tables of summarised data according to geographical or other relevant units of study

7.5 Next Steps – Follow-up Surveys for Monitoring and Evaluation

The purpose of collecting baseline information is to prepare the ground for subsequent monitoring and evaluation. Therefore, the baseline report should identify appropriate methods and approaches for monitoring and evaluation. A simple example to illustrate this linkage is that of nutritional status. An Emergency Food Needs Assessment might include a nutritional survey to provide a baseline on the nutritional status of the population. It is important during the design of the baseline nutritional survey to consider what anthropometrical techniques could be used that would also be practical techniques for incorporation into the operation's monitoring system. By using the same technique (for example, measuring the upper arm circumference of under-fives) in both the baseline nutrition survey and the monitoring system, the operation is therefore able to more effectively track progress towards the achievement of objectives.

Thought should also be given to whether a follow-up study is necessary and when the appropriate timing may be. If a further phase of the operation is envisaged, it may be necessary to conduct a follow-up study while the operation is still ongoing – in preparation for the planning or appraisal mission for the next phase, for example. For operations that are terminating, the follow-up study should be conducted immediately before or after termination, in order that its full impact can be assessed. The data generated by the follow-up study is then compared directly with baseline data to identify differences – what was the situation like then; what is it like now.

The data required for the "before" and "after" comparison (or "with" and "without" if a comparison group is used) may be generated by the monitoring system, in which case the cost of the follow-up study will be considerably less than for the initial baseline study. However, if this is not the case, then the follow-up study is likely to have a similar cost to the baseline study in real terms.

For emergency operations and development operations, because the baseline data will generally be derived from assessments, so the follow-up data can be derived from re-assessments. At the end of the operation, there may still be a need to conduct a final assessment as part of the evaluation to determine whether objectives have been achieved.

LESSONS TO LEARN FROM MODULE 7

STUDY DESIGN

- BACKGROUND TO STUDY
- DATA COLLECTION
- RESEARCH DESIGN
- FIELD WORK
- DATA PROCESSING
- REPORTING AND FEEDBACK

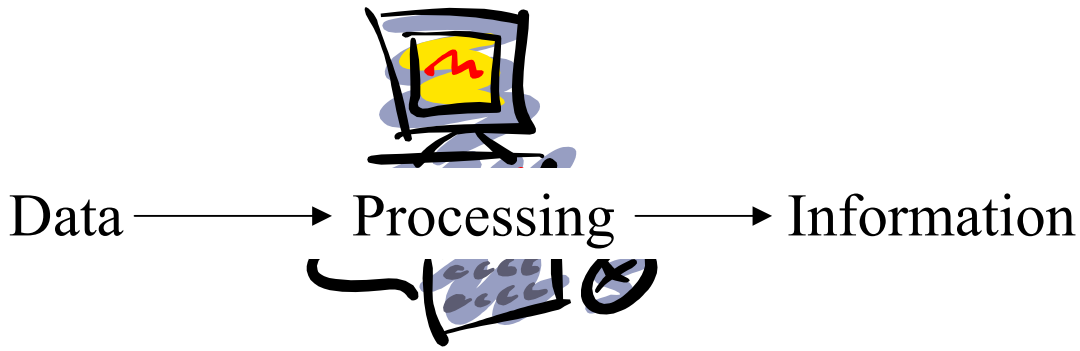
8. Tools for Data Collection

This module introduces some basic concepts and definitions relating to data collection and analysis, and provides an overview of the tools and methods available. Links are provided to key reference materials available both within International Federation and National Societies and elsewhere, where the detailed 'how to…' for each tool can be found.

8.1 Concepts and Definitions

8.1.1 Data, information and quality

Data is a term given to raw facts or figures, which alone are of little value. These can be anything from a date or number, to a name or event. We are so used to associating facts that it is often difficult to comprehend data at its lowest level. It may become clearer if you consider the following example. We might have two pieces of data, Nairobi (a name) and 652467 (a number). Each item on its own is purely data and means little to us. However, together, Nairobi 652467 is more useful as it associates the two items and with a little deduction we can assume that it is a telephone number in Kenya. This would be of more use to us if we also had data concerning the address and who lived there. Without these data this information has very little value – information is data that is useful because it has relevance and meaning, which results from processing.



Information aims to increase the user's knowledge and reduce the user's uncertainty and can only achieve this if it is of quality. The word 'quality' refers here to the characteristics that information should exhibit if it is to be useful for rational and effective decision-making:

- **Conciseness** – Information should be refined and summarised in a manner that gives the user precisely what is required, no more and no less. Every superfluous character means extra storage, more processing, extra assimilation and hence poorer decisions.
- **Completeness** – All information should be presented in one document where possible to prevent time loss and the misinterpretation of interrelated facts.
- **Accuracy/Reliability** – Supplied information should be sufficiently accurate for the purpose for which it is intended. Raising the level of accuracy raises costs whilst not always raising the value of the information. For example, knowing that average family size is 4.7 is no more useful than knowing that average family size is between 4 and 5.
- **Timeliness** – No matter how accurate, information which is too late to be used is of no value. A compromise between speed and accuracy must be established if the desired accuracy cannot be achieved in the time available.
- **Good presentation** – Information should be open to speedy assimilation by the user. Poor presentation can often obscure the message that the information is intended to convey. The use of graphs, charts and other diagrams helps make information more digestible, but care must be taken to ensure that each one conveys its intended message.

- **Relevance** – Only information that is of importance to the decisions being taken is of value. Failure to relate the information provided to decision-making requirements (e.g. by providing the wrong information, too great a volume, or an inappropriate level of detail) will undermine its value.
- **Cost effectiveness** – As a resource in a decision-making process, information has both a cost and a value. Costs in terms of the resources expended to collect and process the data, and value in terms of the greater returns associated with a correct decision made on the basis of findings.

8.1.2 Accuracy, precision and bias

Consider a food aid monitor who wishes to determine the price of maize in local markets. He records the price for a weighed quantity of maize from a sample of sellers in a sample of local markets. If the range of prices recorded is wide, then the estimated average price is not likely to be *precise*. If the weighing scales used are wrongly calibrated, then the estimate will not be *accurate*. Inaccurate data would lead to *bias* in the results; a situation that could be further exacerbated if an unrepresentative sample of market sites was selected – e.g. larger villages only, where the price might be higher than in more remote areas.

- **Precision** refers to the degree of confidence with which the study estimate represents the actual population value. It is used within statistics to refer to the closeness of a sample estimate to the mean of the sampling distribution.
- **Accuracy** refers to how closely the study estimate matches the actual situation among the population as a whole. It is used within statistics to refer to how closely the sample estimate matches the true population value.
- **Bias** means that a situation is represented from a particular angle. It is used within statistics to refer to the difference between the mean of the sample distribution of an estimator, and the true population value.

No research can be completely without bias, however scientific the methods used. The process of designing, conducting a data collection exercise, and of analysing data will be influenced by the experience, perceptions and assumptions of the researcher, and by the tools and approaches used for sampling and data collection.

Bias may arise at any or all of the three stages of design, data collection and analysis

- **Design bias** – regardless of the data collection tools used (formal survey, rapid or participatory enquiry), the sample selected may not represent the population it claims to represent. For example, men may have a different view to women; roadside communities may have different problems to remote communities; etc.
- **Measurement bias** – questions may be asked in a leading way, direct measurement may be done incorrectly; the attitudes of the interviewer may influence how questions are asked and responses are recorded.
- **Analytical bias** – data may not be disaggregated appropriately; different ways of analysing the data might generate different results.

In choosing which data collection methods to use, there is often a trade-off to be made between accuracy and precision. But at all times and for all methods, avoiding or dealing with bias is a requirement. For a more detailed explanation of bias in the context of rapid and participatory appraisal, see Methodological Principles in Volume I, Part II of the CRS PRA Manual.

8.1.3 Quantitative and qualitative methods

Quantitative data exist as numbers – *259 girls graduated from grade 8* – and quantitative methods help to answer questions such as *who*, *how much*, *how many*. Statistical analysis can be used to provide precise estimates for study variables, such as frequencies, averages, ranges, etc. **Qualitative** data exist as words – *the girl/respondent stated that the ration she received was monotonous, but that it was more than she would have received had she stayed at home* – and qualitative methods help to answer questions such as *how* and *why*. The focus is more on explaining meanings, processes, reasons and explanations.

Perhaps confusingly, qualitative methods may generate quantitative data. For example, during a group interview to assess women's role in food distribution committees for a school feeding programme, the majority of women expressed the view that decisions were in line with their own perception of food distribution priorities (qualitative information). When asked to rate the extent of their influence against a predefined scale, 67% of women rated their influence as 'effective' (quantitative information).

Quantitative techniques are useful in the following situations:

- When 'accurate' and 'precise' data are required
- When estimates will be used to generalise the behaviour of the whole population (e.g. through the use of confidence intervals)
- To test whether there is a statistical relationship between variables
- To produce evidence to prove that a particular problem exists, or to justify a particular strategy
- To identify the characteristics of a population (for example, during a baseline survey).

For useful material explaining quantitative techniques, see references for formal survey methods.

Qualitative techniques are useful when:

- A thorough understanding is required on a particular topic
- Information is needed on what people think about a particular situation, and what are their priorities
- Seeking to understand why people behave in a certain way
- There is a need to confirm or explain quantitative findings from a previous survey, or from secondary data
- Resources and time are in short supply.

For useful material explaining quantitative techniques, see references for rapid and participatory methods.

While quantitative and qualitative methods might appear to be at different ends of the data collection spectrum, they can in fact be complementary. For example, qualitative methods might be used to explore issues during the early stages of a longer study, enabling the researchers to understand better what questions need to be asked as part of a quantitative study. Conversely, quantitative methods might highlight particular issues, which could then be studied in more depth through the use of qualitative methods. For examples of how quantitative and qualitative indicators can be combined, see section III *Data Issues* in the International Federation and National Societies Indicator Menu.

8.1.4 Optimal ignorance

The phrase 'optimal ignorance' has come out of the development of rapid and participatory techniques, and refers to the trade-offs made between the desire for accurate and precise information, and the timeliness and cost of collection. It is underpinned by the following principles:

- **Talking to the right people** – Good information is not determined by the number of people talked to, but by the diversity of informants and their ability to represent a situation.
- **Consistency and understanding** – Confidence in the data does not come from the *amount* of data collected, but from the *consistency* of information provided by informants, and the understanding that this provides the researcher.
- **Accuracy or precision?** – We do not need to be 100% precise. Knowing that the average family size is 5.4 is probably no more helpful than knowing that it is between 5 and 6, and yet it probably required considerably more time and resources to arrive at the more precise figure.
- **Avoiding information overload** – We do not need to know everything even if it is interesting; in any case, it is impossible to know everything about people and their communities. We need to be able to understand this complexity rather than to document its characteristics.

8.2 Data Collection Tools

For specific guidance on tools suitable for emergency situations, refer to the International Federation and National Societies Emergency Field Operations Pocketbook, Chapter 2 (forthcoming)

8.2.1 What is rapid appraisal?

Rapid appraisal methods are quick, low-cost ways to gather data systematically in support of managers' information needs. They strike a balance between very informal methods, such as site visits, and highly formal methods such as sample surveys, and generate qualitative data.

Rapid appraisal shares many of the characteristics of participatory appraisal (triangulation, multi-disciplinary teams, etc.) and builds on the recognition that indigenous knowledge is a vital input to the management decision-making process. For both approaches, the role of the appraisal team as facilitator is important. The team must listen rather than tell, create learning situations rather than dictate terms and conditions, and facilitate rather than control.

Table 8.1: Strengths and limitations of rapid appraisal compared to formal methods

Strengths	Limitations
Low-cost – Typically using a smaller sample and narrower focus than a sample survey, a rapid appraisal can be conducted at a fraction of the cost of formal methods. **Quick turnaround** – Rapid appraisal methods can gather, analyse, and report relevant information to decision-makers within days or weeks. This is not possible with sample surveys. Rapid appraisal methods are advantageous to decision-makers who seldom have the option of holding up important decisions to wait for information. **In-depth analysis** – They are good at providing in-depth understanding of complex socio-economic systems or processes. Formal methods, which focus on quantifiable information, lose much in placing social and economic phenomena in context. **Flexibility** – Rapid appraisal methods allow evaluators to explore relevant new ideas and issues that may not have been anticipated in planning the study. Such changes are not possible in sample surveys once the questionnaire is designed and the survey is under way. **Accuracy** – Mini surveys, as a rapid appraisal tool, can provide accurate information from small samples, but may be subject to bias hence the need for triangulation (see 'Precision' opposite).	**Reliability and validity** – Information generated may lack reliability and validity because of informal sampling techniques, individual biases of the evaluators or interviewers, and difficulties in recording, coding, and analysing qualitative data. Techniques such as triangulation can be used to reduce bias during data collection. **Precision** – Most rapid appraisal methods generate qualitative information. Even when quantitative data is generated (e.g. by a mini-survey), it cannot be generalised with precision, because it is usually based on non-representative samples. Thus rapid appraisal may show that many women are not using a clinic, but it will not provide an estimate for the percentage of women. **Credibility** - Most decision-makers are more impressed with precise figures than qualitative descriptive statements. For example, a sample survey finding that *83 percent of local women* were satisfied with the services provided by a clinic is likely to carry more weight than the conclusion, based on key informant interviews, that *most women* interviewed seemed satisfied.

The most commonly used methods include:

- **Key informant interviews**. Involves interviews with 15 to 35 individuals selected for their knowledge and to reflect diverse views. Interviews are qualitative, in-depth and semi-structured. Interview guides listing topics are used, but questions are framed during the interviews, using subtle probing techniques.
- **Focus groups**. Several homogeneous groups of 8 to 12 participants each discuss issues and experiences among themselves. A moderator introduces the topic, stimulates and focuses the discussion, and prevents domination of discussion by a few.

- **Community interviews**. These take place at public meetings open to all community members. Interaction is between the participants and the interviewer, who presides over the meeting and asks questions following a carefully prepared interview guide.
- **Direct observation**. Teams of observers record what they see and hear at an operation site, using a detailed observation form. Observation may be of physical surroundings or of ongoing activities, processes or discussions.
- **Mini-surveys**. Involves interviews with 25 to 50 individuals, usually selected using non-probability sampling techniques. Structured questionnaires are used that focus on a limited number of closed-ended questions. Generates quantitative data that can often be collected and analysed quickly.
- **Visualisation tools**. Involves the development of maps, diagrams, calendars, timelines and other non-verbal data recording techniques. Participants are prompted to construct visual responses to questions posed by the interviewers, for example by constructing a map of their local area. Particularly useful for obtaining local insights into issues, and for eliciting a response from individuals or groups who would normally avoid participating in a more formal discussion.

8.2.2 What is participatory appraisal?

Within International Federation and National Societies, participation is defined as ***a people-centred approach which has the highest probability of success because it offers the potential to strengthen the voice of the most vulnerable***. Participation involves women and men, allowing them to influence their food security through processes of empowerment. These processes increase knowledge and skills, and thus self-reliance. ***At a minimum, this implies consultation, knowledge exchange and equitable arrangements for sharing of benefits***.

Participation implies a change in the stance adopted by International Federation and National Societies and its implementing partners, towards the sharing of control with beneficiaries ('handing over the stick' as Robert Chambers put it), and an explicit recognition of the importance attached to the description of the *processes* used to plan and implement operations. Participatory tools are the means by which this approach can be put into practice.

Participatory appraisal is the term used to describe a process and a set of techniques for the collection and analysis of qualitative data. If a rapid appraisal is a discrete study, participatory appraisal is an extended process that can last for months or years as communities develop their own skills needed to address issues, analyse options, and carry out activities. The emphasis is often not so much on the information as it is on the process, and on seeking ways to involve the community in planning and decision-making.

The key feature of participatory tools is their emphasis on participatory decision-making – enabling beneficiaries and stakeholders to analyse their own situation, rather than have it analysed by outsiders. This does not imply the exclusion or sidelining of outsiders, rather it recognises that outsiders need to learn about situations from the 'insiders', and that insiders can analyse their own problems. The tools and approach draw on techniques developed within fields such as applied anthropology, and provide a means of looking at the complex and inter-linked relationships and activities that exist within communities and groups.

The following bullet points summarise some key features of participatory tools, many of which are common to rapid techniques:

- **Triangulation** – This refers to the process of cross-checking information. Triangulation uses multi-disciplinary teams that include different skills, experience and viewpoints; a range of tools and techniques for data collection and analysis; and different sources of information about the same problem. In this way, the reliability and bias of findings can be assessed, and if necessary addressed.
- **Multi-disciplinary approach** – People with different skills, experience and viewpoints will look for and find different things, and the team as a whole will obtain new and deeper insights. Women should always be included on the team, as should members of the community or group in question.
- **Mixing techniques** – Using different techniques gives greater depth to the information collected. Typically the team would aim to use a mixture of interview and discussion techniques, diagrams and mapping, and direct observation.
- **Community** – Most activities are performed jointly with community or group members, or by the community or group on its own.
- **Optimal ignorance** – Adopts a 'quick and dirty' approach, balancing the degree of precision to be achieved, with the time and resources available. Unnecessary detail or accuracy should be avoided, as this increases the burden of data collection and analysis, and risks compromising the timeliness and appropriateness of findings. For more on this, see Accuracy, precision and bias.
- **Flexibility and on-the-spot analysis** – Plans and methods are semi-structured, and discussed and modified as fieldwork proceeds. The team constantly reviews and analyses its findings to decide how to continue. As understanding increases, so emerging issues and unexpected findings come more clearly into focus, and plans and methods can be revised.
- **Offsetting bias** – The team should constantly seek to identify possible sources of error and bias, and see how they influence findings. Views should be obtained from a cross-section of the community or group, including women and children and other vulnerable groups. This may require advance training in skills such as gender awareness, communicating with children, etc.

Facilitation is key to the success of participatory appraisal, and the roles played by team members are crucial. On the one hand they are central to mobilising the community's interest at the start, and to maintaining their enthusiasm throughout the exercise. But the team also represents the greatest danger to success, through the possible intrusion of outsider or disciplinary bias, or through their over-exuberance stifling community members' own initiative.

8.2.3. The Community Inventory – a practical and cost-effective data collection tool

Where resources and time for data collection are scarce, and the focus of the operation is on communities, a useful tool is the 'community inventory'. This is a practical, cost effective approach that can be undertaken by many government staff and partner agencies such as NGOs. It records the following type of data:

- Location, population, natural and man-made assets, and access to facilities and services;
- Identification of the existence of specific groups within the community, such as the elderly, families with AIDS orphans, people of specific ethnic groups or castes, or people with low levels of well-being, and the size and characteristics of those groups;
- Opinions of groups within the community about problems and possible solutions.

A community inventory can be carried out using a participatory enquiry and in many countries there are staff of government departments, NGOs, academics or consultants, who are experienced in this

sort of work. An inventory should be undertaken by a team of two or three interviewers, who would take about two to three days per community. The specific techniques for each class of data are summarised in Table 8.3.

The results from such an inventory can be used in several ways:

- As a specific baseline for communities or villages that participate in the operation;
- As a source of information to plan the International Federation and National Societies operation and identify households or groups for targeting;
- As part of a process to build a community organisation and development plan;
- For comparison during field visits and other forms of contact with beneficiaries.

Table 8.3: Data and data sources (recommended approaches are shaded)

Data	Data sources categorised by degrees of accuracy		Comment
	Low - *Estimated* by	**High - *Measured* by**	
Population	Records kept by village committee or local council, updated from most recent count	Census enumeration of the community	*For most purposes, the population in broad age bands (e.g. 20-45 yrs) is adequate for operation planning & monitoring; it is desirable to have a split by sex*
Natural assets (forest land, irrigated land, fodder trees, common grazing, fuel wood, landslides, soil erosion, water sources etc.)	Size estimates & mapped location given in local units of measurement from a group meeting, checked by a transect walk through the community & against council or government records	Tape & compass survey of land area & count of trees etc.	*Local units can be quite reliable, but need to be checked for conversion to metric values*
Man-made assets (clinic, school, community centre, grain mill, bridges, market facilities etc.)	List in discussion with village committee or leaders & crosscheck visually	Not usually available	*Easy data to gain an understanding of the overall setting & well-being of the community*
Access to basic services (availability of sanitation, electricity, piped water, etc.)	List in discussion with village committee or leaders & crosscheck visually	Not usually available	*Easy data to gain an understanding of the overall setting & well-being of the community*
Access to basic services (dispensary, police, council, extension & veterinary workers, blacksmith, postal agency, savings/credit agency)	List in discussion with village committee or leaders & crosscheck visually	Not usually available	*Easy data to gain an understanding of the overall setting & well-being of the community*
Current or recent involvement with development agencies	Question recent activities from a meeting with village committee or leaders. Cross check visually with diverse social groups.	Contact local offices of agencies working in the area to enquire about activities	*It is good practice to make contact with other agencies to ensure there is no incompatibility with the work International Federation and National Societies is supporting*
Beneficiary opinions on problems & solutions	Response from group meeting of the community cross checked by follow-up meetings with members of diverse social groups	Sample survey of households	*There is always a danger that opinions reported from groups are led by an influential minority. This can be guarded against by triangulation & cross-checking*
Identification of social groups in the community	Social mapping of the village with community members	Full census enumeration of the community	*Both techniques are time-consuming; the social mapping fits well into a village transect & follows naturally from the group meetings*
Income of households	Single visit household survey with enquires about broad levels of expenditure & income	Formal, repeated visit household survey of income & expenditure	*Reliable data on incomes is very difficult to obtain. It is usually better to stick to broad estimates of improvements or deterioration rather than quantified values.*

8.2.4 What is a sample survey?

A sample survey is a study on part of a population rather than the whole of a population. It is a quantitative method for providing precise, statistical answers to carefully defined questions on topics that are well understood beforehand. The most reliable samples are drawn at random, using scientific techniques, because statistical theory enables predictions to be made about the precision of the results, and the findings can be generalised for the population from which the sample was selected.

The requirements for a formal survey include:

- Knowledge and experience in survey design, sampling and statistics
- People to collect data (field workers or enumerators) who are literate, numerate and accurate, and able to establish a rapport with respondents during interviews
- Experience of field conditions to ensure that sampling methods are practical
- Proper preparation, planning and execution which includes a pilot survey to test the questionnaire
- Proper training and supervision of field workers.

Surveys will generally use measurement techniques (e.g. measuring children's weight-for-height to determine nutritional status) or interview techniques (e.g. asking the respondent how many meals they have eaten in the last week, and what foods they ate), or a combination of the two. Findings will be based on the quantitative results, but may include the use of qualitative methods to deepen understanding of particular issues.

Surveys can be one-off events (e.g. to diagnose the causes of a particular problem), part of a programme or repeat surveys or for comparison with other surveys (e.g. before and after analysis for evaluation against a baseline). Table 8.4 sets out the strengths and weaknesses of formal sample surveys:

Table 8.4: Strengths and weaknesses of sample surveys

Strengths	Weaknesses
Surveys provide precise, statistical answers to carefully defined questions. The accuracy of results can be verified by checking the methods and statistics that were used. The use of a random sample means that people or households will be contacted from several different locations. Methods of analysis are clear and can be relatively quick, especially when carried out in the field using portable computers. The findings can give support to an argument or hypothesis by demonstrating the size and severity of a problem. Surveys allow comparisons to be made between different groups within the survey, or with other surveys which used similar methods (e.g. a baseline and follow-up study).	Considerable resources are needed – personnel, vehicles, fuel, computers, etc., making surveys expensive to carry out Surveys may take several weeks or even months to carry out Data collection can be intrusive and inconvenient to the people interviewed. Non-cooperation can be a problem and could lead to unreliable results. Surveys are often planned, and data analysed, far from the survey sites, with little or no involvement of people from the community Working with structured questionnaires hinders relaxed discussion Surveys look at pre-defined variables and often allow a limited range of responses. If poorly designed, the survey may ignore important avenues of inquiry or unexpected answers that could be crucial to the findings of the study The analysis of large amounts of numerical data is time-consuming and requires expertise. There is a danger that much of the data gathered might not be analysed or used effectively. When data collection and analysis tools are used incorrectly, the results may be invalid Surveys are designed to prove or disprove what the designers believe, so it is important to look at methods and conclusions critically.

Source: Toolkits: A Practical Guide to Assessment, Monitoring, Review and Evaluation', Save the Children Fund, 1995

Key issues in survey design are the sampling frame and sample size. The sampling frame refers to the population or universe of sampling units (households, schools, farms, children under five in a refugee camp, etc.) from which the sample will be selected. Sampling frames can be developed from existing sources (e.g. an aerial survey map) or constructed for the survey (e.g. by listing all households in the survey area). However, constructing a sampling frame can be an expensive and time-consuming business, requiring for example a visit to every household within a district. Techniques such as multi-stage and cluster sampling can reduce this burden, and are also applicable when a complete list of sampling units is unavailable. General guidance on sample size can be found in Module 7.3: Planning

and managing a baseline study. It is important to remember that it is sample size in *absolute* terms that determines the precision of the estimates gained in a sample survey, not the *sampling proportion* (e.g. 10% of all households).

8.2.5 Beneficiary Contact Monitoring (BCM) – monitoring the likelihood that objectives will be achieved

BCM is about *beneficiary access to, use of, and satisfaction with the goods and services delivered by the operation*. Implicit in the logframe is the hypothesis that ***if*** *Outputs are delivered* ***and*** *assumptions hold true,* ***then*** *the Purpose will be achieved.* BCM indicators provide information about the *likelihood* that delivery of the Outputs will lead to achievement of the Purpose, based on the following logic:

- If the target group does not have access to operation outputs, then they will not experience any benefit.
- If the target group has access, but they have chosen not to use the outputs, then they will not experience any benefit.
- If the target group is using operation outputs, but is not satisfied with the services or facilities they are receiving, then they are unlikely to use them in the longer term and therefore their experience of benefits will be limited.

BCM requires a systematic investigation of the responses of beneficiaries to operation outputs and activities. Taking account of the different groups participating (men, women, children and other vulnerable groups), the following questions should be explored:

- Is the operation reaching the targeted beneficiary groups – who has access, who does not; who is participating, who is not?
- Are the operation's outputs useful to them – food, assets, skills available through training, etc?
- Is food aid playing its intended role – how is food aid influencing the behaviour of participating beneficiaries?
- Are any beneficiary groups encountering specific problems?
- In what way do they see their lives improving as a result of the operation?

Follow-up action then takes place according to the response by beneficiaries - if the operation is going according to plan, management can continue with implementation; if problems are identified a more detailed investigation may be necessary to determine what action management needs to take.

BCM can be used in International Federation and National Societies-assisted operations at two levels:

- **Level 1** – During any regular field visits staff must meet with beneficiaries and explore their response to the operation. These interviews will become part of regular on-site field monitoring and reporting. Level 1 monitoring should be undertaken on virtually all operations.
- **Level 2** – On operations where the need for a more detailed investigation is identified and where the resources and management capacity exist in-country, the Operational Contract or Memorandum of Understanding for the operation could include provision for specific studies. Level 2 monitoring would normally be undertaken with assistance from locally contracted experts having appropriate skills, and in close collaboration with government and with International Federation and National Societies. Unlike Level 1, its use will be restricted to selected operations.

8.2.5.1 Level 1 techniques for monitoring BCM indicators

Interviewing individuals: Qualitative interviews differ from the traditional structured interviews in which formal questionnaires are used by not being limited to a set of predetermined questions to be asked in sequence. Instead the interviewer uses a checklist of topics to guide the interview, pursuing avenues that open along the way. Initial questions usually involve informal discussions about the operation. Once the staff member has identified issues that need thorough coverage, the informal interview would be superseded by a topic-focused interview, or by a semi-structured interview with questions prepared before the interview and set out in a checklist. The checklist should probably contain no more than twenty questions, with the interview lasting no more than half an hour.

- **Informal interviews** – These aim to elicit information via conversations between interviewers and respondents. They explore, broadly, the views, experiences and values of the respondent by giving the interviewer freedom to pursue issues as they arise. In view of the interview's informal nature few notes are taken during the interview.
- **Topic-focused interviews** – These make use of an interview guide to direct the interviewer through the main topics to be covered. From this the interviewer develops his/her questions and format to fit the individual respondent. There is no time limit on the response to each topic or sub-topic and pursuit on topics of particular interest is permitted.
- **Semi-structured, open-ended interviews** – Open-ended questionnaires with lists of questions to be asked. However they differ from traditional structured interviews by having open-ended questions, which allow for expansion on the points raised; a flexible sequence of questions which allow for interviewer discretion; and leave room for additional questions to be asked.
- **Group interviews:** Interviews with individuals are not always the best approach on International Federation and National Societies operations. They are time consuming, need a large number to gain a representative picture for the operation as a whole, and for some topics interviewees may be reluctant to speak truthfully if they fear their views might be unwelcome. A group interview can overcome some of these problems. They can be used for a whole community, or for a specific set of people such as a work gang or a group of teachers or health-care professionals. The open forum will encourage some people to be more frank and honest than they would be in private, especially if supported by their colleagues.
- **Community interviews** – May involve all members of a community or village. When carefully planned, community interviews have great potential for providing insights into how members of the community view operation activities and how they see the operation as affecting their lives. The following points should be borne in mind when planning and conducting community interviews:
  - the use of structured interview guides should be standard practice.
  - a few carefully selected and representative communities should be interviewed.
  - interviews should be scheduled at times when the majority of people within the -- community can attend; the evening is often the most convenient.
  - a team of interviewers is preferable to an individual as conducting a meeting with many people and taking extensive notes is beyond most people. Planning is required, particularly in letting respondents have a fair say and not allowing the interviewers to take over.
  - participation by a balanced representation of those attending is essential. Prominent individuals should not dominate.
  - aggregate and community data can be gained through these interviews. Extreme caution should be taken, however, in attempting to quantify the data.
  - meetings after the interview may be a forum for those who felt inhibited amongst a large group of people to discuss their thoughts.
- **Focus group interviews** – A more rigorous technique than community interviewing and as such requires both more extensive planning (e.g. careful selection of the participants

according to determined criteria, even greater attention to development of topic guides, more systematic analysis of results) and specialised skills. The basic principle of the technique is using the skill of a 'neutral' moderator to stimulate exchange of ideas among a small (ideally 6-10 persons) group of selected participants. Information is thus obtained through carefully listening to the interaction among participants. The role of the moderator is to guide the discussion to cover the intended topics; he/she should not participate in the discussion as such, should not 'correct' erroneous ideas expressed, and should essentially be a neutral observer. Clearly, the success of the technique depends largely on the skill of the moderator. Members of the group should be from similar social and economic strata to ease discussion and eliminate status barriers. It may be difficult to satisfy these criteria. Selection of participants can be done via a list drawn up by several key informants. Efforts should be made to include diverse participants.

8.2.5.2 Level 2 techniques for monitoring BCM indicators

Mini-surveys: The objective is to select beneficiaries at random and use a short, simple questionnaire to record their views about operation activities. If the information is to be gathered from one, or a few, locations, it may be possible to draw a simple random sample. This technique is covered in most basic statistical texts and is capable of being used by staff on most operations. Choice of sample size is not always straightforward and unless the staff member has had statistical training, professional help should be sought. As a working guide a sample of sixty should be selected from every location or group for which a separate response is to be calculated.

The sampled participants are then asked a few simple questions. For example:

- Is there a clinic in the village? [awareness of service]
- Do you have any children? [eligibility of user]
- Have you used the clinic? [use of service]
- If not, why not? [comment on non-use]
- Is the clinic what you want for your children? [relevance, comments]

These questions can be set out on a table so that ten or twenty people's answers can be recorded on one sheet. The survey can be administered very quickly, either by a single enumerator, or by two people working in pairs. The results are simple: percentage of people answering Yes or No, and some short comments. The results tell the operation how well people know about the day-nursery service, and what proportion of those with children have used it. Other questions could be used to ask if they have used it once, or are regular users.

If the results show a high level of awareness, and a high level of use, the operation can take this as evidence that the service is successful. If the results show the opposite, further study may be necessary to explore reasons why the nursery is not a success. This type of survey is very simple and the analysis should not attempt to go beyond simple percentage response.

8.2.6 Field visits

This sub-section explains the key issues to take into account when planning a field visit. For an introduction to field visits, see Module 2.4.2.4 Field visits – a valuable source of information.

8.2.6.1 Who should be on the field visit team?

Ensure that relevant government and implementing partner staff as well as International Federation and National Societies staff are able to participate. Good gender balance is important.

8.2.6.2 Site selection – where to go?

As resources for field visits are often limited, International Federation and National Societies and its partners should establish a two-tier strategy for field visits. Site selection will depend on number of staff, travel resources and time available.

1. **Purposive sampling:** A small number of sites for each operation should be selected for systematic, regular and repeated visits. The aim is to become sufficiently familiar with the localities and the people to be able to see and recognise progress and the changes brought about by the operation. Account should also be taken of the need to visit stores and distribution sites. Select information-rich cases purposively; specific type and number of cases selected depends on purpose and resources.

1. **Random sampling:** To validate regular field visit findings, and to provide a basis for confirming trends observed and to allow a broader picture of operation progress, additional sites should be visited in a random way. This adds credibility and reduces bias but does not allow full generalisation.

8.2.6.3 Who to meet?

- Men and women beneficiaries individually and in groups
- Community representatives, local leaders, traditional leaders
- Local government officials, district government officials
- Technical staff, site superintendents
- Donor, NGO representatives active in the operation area
- Private sector representatives (e.g. market vendors, truckers)
- International Federation and National Societies front-line staff

8.2.6.4 How to conduct the fieldwork?

- Be clear about the role of the observer.
- Be descriptive when taking notes.
- Stay open – gather different perspectives. Be opportunistic in following new leads and sampling purposefully.
- Cross-validate and triangulate by gathering different kinds of data: observation, interviews, documents, artefacts, recordings, and photographs. Use multiple and mixed methods.
- Use quotations: represent people in their own terms.
- Select key informants wisely and use them carefully.
- Build trust and rapport at the entry stage.
- Focus on pulling together a useful synthesis as fieldwork draws to a close.
- Be disciplined and conscientious in taking detailed field notes at all stages of fieldwork.
- Provide feedback as part of the verification process of the fieldwork. Observe its impact.
- Separate description from interpretation and judgement.

8.2.6.5 Why interview checklists are good practice?

- They help to ensure that key issues are covered during field monitoring visits.

- They help to ensure consistency and comparability of reporting.
- The discipline of checklists helps to institutionalise a system of monitoring that assists incoming staff to familiarise themselves with operations and thus become effective more rapidly.
- A formalised data collection and reporting system is an important ingredient of an institutional memory. Ad hoc systems tend to become very personalised and break down when the officers leave.
- The completed checklists provide raw data for subsequent analysis.

8.2.6.6 Analysing data collected using checklists

Checklist data needs to be analysed:

- For an ***individual site*** (e.g. one school in a school feeding activity)
  - to monitor changing performances over several visits
  - for discussion with local and senior staff about action that needs to be taken.

- For ***all sites*** taken together (e.g. all schools in a school feeding activity)
  - to show a comparative analysis of performance of sites under the operation
  - to guide government and implementing partners in setting priorities to improve implementation
  - through a summary of findings to compare results and to judge whether improvements are being made
  - to assess the overall success of the operation.

Checklist analysis is likely to raise several issues that will need further investigation. When the investigation is complete, you might find that adding another question or two to the first checklist would improve the efficiency of your regular monitoring of the operation. As an operation progresses you should be able to build up a series of checklists to help your monitoring. Inevitably they will be modified as your experience of the operation grows. Do not imagine that your first attempt at producing a checklist will result in a perfect product. Be prepared to use your experience in the field to modify your checklists over time.

8.2.6.7 Reporting – how to document and use the results

After field visits, International Federation and National Societies staff should report their findings in Field Trip Reports (FTRs). Although designed for individual operations there are some features of an FTR layout that should be standard throughout International Federation and National Societies. Each field visit should result in a short to-the-point report, and should include at least the following information:

Table 8.5: Format for a Field Trip Report

Objectives of the field trip (linked to the indicators noted in M&E plan)
People and groups met and sites visited during the visit
Methods used to collect and analyse the data
Findings
Conclusions (includes analysis)
Recommendations for action by International Federation and National Societies staff, IPs and government; and names of the people responsible and the time frame for implementing these

The report should make comparisons between the most recent findings and those of earlier visits, requiring a certain degree of consistency between the different reports.

8.3 Using Secondary Data

Before using secondary data, it must be assessed for its reliability. This can be done in several ways. If it has been collected by a professional agency such as a National Statistics Office (or equivalent) or in cooperation with a donor or other international agency, it is reasonable to assume that the data are of acceptable quality.

If the source is not evidently reputable, look for the following information in the survey report:

- A discussion of how data quality was ensured during collection, including procedures for fieldwork supervision, data validation and error checking.
- A review of the collection methods used and implications for bias and non-sampling errors, with a discussion of the implications for the results.
- A description of field-validation tools such as triangulation.

Try to get hold of a copy of the questionnaire. Is it well laid-out, easy to read and a document that would inspire good performance? Was there a survey handbook or field manual? Are there clear definitions for key variables, such as the units of study or the meaning of a 'household'?

Look at the survey report. To what extent are comparisons made with other surveys? Are the findings in broad agreement? If there are divergences, are these adequately discussed and explained?

8.4 Links to Other Technical Guidance Material

Category	Links to technical guidance material	Comment
Formal surveys	**Social Survey Methods: A field guide for development workers**, Oxfam, Development Guidelines No.6 Can be ordered from: www.Oxfam.org.uk Code: 151262 Price: £9.95	Provides comprehensive guidance on study design, assembling a fieldwork team, questionnaire design, sampling, data analysis, and presentation of findings.
	Sampling Guide, produced by Food and Nutrition Technical Assistance Project (FANTA) (1999) Available online at www.fantaproject.org/downloads/pdfs/sampling.pdf	This guide shows how to choose samples of communities, households, and/or individuals for surveys in a manner that will permit valid conclusions to be drawn as to the effectiveness of programmes. The guide emphasises the use of probability sampling methods, which are deemed essential to ensure objectivity in programme evaluations.
Rapid appraisal	Catholic Relief Services PRA Manual	Provides detailed guidance on all stages in design and conduct of rapid and participatory studies; descriptions of tools and explanations of how ton use them; case studies; and references to other useful source material.
	Rapid Appraisal Methods, edited by Krishna Kumar, 1993 (World Bank Regional and Sectoral Studies) Rapid Appraisal Methods Price: $ 22.00 ISBN: 0-8213-2523-X SKU: 12523	This book provides an overview of the origins, theory and practice of Rapid Rural Appraisal; an explanation of the main tools used; and a series of case studies illustrating how RRA has been applied in different settings.
General references	**Toolkits: A Practical Guide to Assessment, Monitoring, Review and Evaluation**, Save the Children Fund, 1995	This book provides core guidance for field workers on the principles and practice of assessment, monitoring, review and evaluation. It includes overview information on a range of tools, including PRA, surveys, and the logframe.

LESSONS TO LEARN FROM MODULE 8

DATA COLLECTION

- CONCISE
- COMPLETE
- RELIABLE
- TIMELY
- RELEVANT
- COST EFFECTIVE
- WELL PRESENTED

International Federation of Red Cross and Red Crescent Societies
Monitoring and Evaluation Division

Glossary of Evaluation and Monitoring Terms

October 2002

Terms, alphabetical

Accountability
Analysis
Analytical tools
Appraisal
Assumptions
Attribution
Audit

Base-line study
Benchmark
Beneficiaries
Beneficiary contact monitoring

Comparison group
Conclusion
Connectedness

Disaggregated data

Effect
Effectiveness
Efficiency
Evaluation
Evaluation, ex-post
Evaluation, external
Evaluation, formative
Evaluation, independent
Evaluation, internal
Evaluation, joint
Evaluation, meta-
Evaluation, mid-term
Evaluation, participatory
Evaluation, portfolio
Evaluation, process
Evaluation, sector
Evaluation, self-
Evaluation, summative

Evaluation, thematic

Feedback
Finding
Focus group
Food basket monitoring
Food insecurity
Food security

Goal

Impact
Indicator
Indicator, performance
Indicator, proxy
Input

Lessons
Logframe (Logical Framework)

Monitoring

Objective
Objective, medium-term
Objective, long-term
Outcome
Outputs

Partners
Performance
Post-distribution monitoring
Purpose

Qualitative data
Quality assurance
Quantitative data

Recommendation
Relevance
Reliability

Results
Results chain

Results-based management
Review

Stakeholders
Survey
Sustainability

Target group
Terms of reference
Triangulation

Validity
Vulnerability

Monitoring and Evaluation Glossary

Accountability: Obligation to demonstrate that work has been conducted in compliance with agreed rules and standards or to report fairly and accurately on performance results vis a vis mandated roles and/or plans. This may require a careful, even legally defensible, demonstration that the work is consistent with the contract terms.

Note: Accountability in development may refer to the obligations of partners to act according to clearly defined responsibilities, roles and performance expectations, often with respect to the prudent use of resources. For evaluators, it connotes the responsibility to provide accurate, fair and credible monitoring reports and performance assessments.

Analysis: An examination of a situation, its elements and their relations.

Analytical tools: Methods used to process and analyse information.

Appraisal: An overall assessment of the relevance, feasibility and potential sustainability of an International Federation and National Societies operation prior to approval for implementation.

Assumptions: Hypotheses about factors or risks which are largely outside the control of those responsible for the International Federation and National Societies operation, and which could affect its progress or success.

Attribution: The ascription of a causal link between observed (or expected to be observed) changes and a specific operation.

Note: Attribution refers to that which should be credited for the observed changes or results achieved. It represents the extent to which observed effects can be attributed to a specific operation or to the performance of one or more partners, taking account of other interventions, (anticipated or unanticipated) confounding factors, or external shocks.

Audit: An objective and systematic review of the activities, systems, procedures, transactions and controls of an organisation, which is carried out in accordance with generally accepted common auditing standards.

Note: An audit provides feedback and recommendations to the management of

an organisation in respect of: the effective management of the organisation and the economic use (cost effectiveness) of resources; the soundness, adequacy and application of the financial and operational systems, procedures and internal controls; the compliance of financial transactions and other procedures with established rules, regulations and instructions; the regularity of the receipts, custody, expenditure, accounting and reporting of the resources of the organisation; and the conformity of expenditure with the purpose for which the funds were authorised.

Base-line study: The analysis and description of the situation prior to the start of an International Federation and National Societies operation, against which change can be assessed or comparisons made.

Note: The data collected should be disaggregated by sex, age and other relevant variables. See "disagregated data".

Benchmark: Reference point or standard against which performance or achievements can be assessed.

Beneficiaries: AN International Federation and National Societies beneficiary is a targeted person who is provided with International Federation and National Societies food.

Beneficiary contact monitoring: A systematic investigation to monitor the beneficiaries' perceptions of an International Federation and National Societies operation.

Note: A representative range of beneficiaries should be contacted (identified by sex, age or other relevant characteristics).

Comparison group: A group of individuals who are not exposed to an International Federation and National Societies operation, but who share characteristics similar to those of the target group.

Conclusion: A conclusion draws on data collected and analyses undertaken, through a transparent chain of arguments. Conclusions point out the factors of success and failure of an operation, with special attention paid to the intended and unintended results, and more generally with regard to any other strength or weakness.

Connectedness: ensuring that activities of a short-term emergency nature are carried out in a context which takes longer-term and interconnected problems into account.

Disaggregated data: Information broken down by sex, age or other relevant variables to reveal the different needs, priorities, activities and interests of distinct groups, and their access to and control over resources, services and activities. Disaggregated data are essential for monitoring interventions and outputs in order to establish who is participating in International Federation and National Societies operations and who is benefiting from them.

Effect: Intended or unintended change due directly or indirectly to an International Federation and National Societies operation. These changes (results) can be at the output, outcome and/or impact levels.

Effectiveness: The extent to which the operation's objectives were achieved, or expected to be achieved, taking into account their relative importance.

Efficiency: A measure of how economical inputs are converted to outputs.

Evaluation: The systematic and objective assessment of an on-going or completed operation, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfillment of objectives, as well as efficiency, effectiveness, impact and sustainability.

Note: An evaluation should provide information that is credible and useful, enabling the incorporation of lessons into management decision-making.

Evaluation, ex-post: The evaluation of an operation after it has been completed.

Note: It may be undertaken directly after or long after completion. The intention is to understand the factors of success or failure, to assess the sustainability of results and impacts, and to draw conclusions that may inform other International Federation and National Societies operations.

Evaluation, external: The evaluation of an operation conducted by entities and/or individuals outside of International Federation and National Societies

and its implementing partners.

Evaluation, formative: The evaluation intended to improve performance, most often conducted during the implementation of an operation.

Evaluation, independent: An evaluation carried out by entities and persons free of control by those responsible for the design and implementation of the International Federation and National Societies operation.

Evaluation, internal: The evaluation of an operation conducted by a unit and/or individuals reporting to International Federation and National Societies management.

Evaluation, joint: An evaluation in which different partners and/or donor agencies participate.

Note: There are various degrees of "jointness" depending on the extent to which individual partners cooperate in the evaluation process, merge their evaluation resources and combine their evaluation reporting. Joint evaluations can help overcome attribution problems in assessing the effectiveness of programs and strategies, the complementarity of efforts supported by different partners, the quality of aid co-ordination, etc.

Evaluation, meta-: An evaluation designed to aggregate findings from a series of evaluations. The term can also be used to denote the evaluation of an evaluation to judge its quality and/or assess the performance of the evaluators.

Evaluation, mid-term: An evaluation performed towards the middle of the period of implementation of an International Federation and National Societies operation.

Evaluation, participatory: An evaluation in which key stakeholders (including beneficiaries) work together in designing, carrying out and interpreting an evaluation.

Evaluation, portfolio: An evaluation of a set of related International Federation and National Societies operations.

Note: In International Federation and National Societies, a portfolio includes all operations in a given country or region.

Evaluation, process: An evaluation of the internal dynamics of the implementing organisations, their policy instruments, their service delivery mechanisms, their management practices, and the linkages among these.

Evaluation, sector: The evaluation of a set of projects within one country or across countries, all of which belong to a specific sector such as health, education, agriculture, transport etc.

Evaluation, self-: An evaluation planned and managed by those who are entrusted with the design and delivery of an International Federation and National Societies operation.

Note: In International Federation and National Societies, this is an internal, reflective learning exercise undertaken by country delegation staff and stakeholders, and possibly facilitated by a consultant.

Evaluation, summative: An evaluation conducted at the end of an International Federation and National Societies operation (or a phase thereof) to determine the extent to which the planned results were produced. A summative evaluation is intended to provide information about the value of the operation.

Evaluation, thematic: The evaluation of a selection of operations, all of which address a specific International Federation and National Societies priority that cuts across countries, regions, and sectors.

Feedback: The transmission of findings generated through the monitoring and evaluation process to parties for whom it is relevant and useful so as to facilitate learning. This may involve the collection and dissemination of findings, conclusions, recommendations and lessons from experience.

Finding: A finding is an accumulation of evidence from an assessment, review or evaluation that allows for a factual statement.

Focus group: A small, homogeneous group formed to discuss open-ended questions about a certain topic. Focus group respondents are encouraged to talk among themselves so that a discussion unfolds among the participants rather than between the evaluator/researchers and the respondents.

Food basket monitoring: The selection of a random number of families at a distribution site; their rations are weighed and the results are compared with the planned ration and the family size on the beneficiary document (e.g. ration card).

Food insecurity: When people lack secure access to sufficient amounts of safe and nutritious food for normal growth and development, and an active and healthy life. Food insecurity may be caused by the unavailability of food, insufficient purchasing power, inappropriate distribution, or inadequate use of food at the household level.

Food security: When all people, at all times, have physical, social and economic access to sufficient, safe and nutritious food which meets their dietary needs and food preferences for an active and healthy life.
Note: This definition includes the following three key dimensions of food security: sufficient availability of food; adequate access to food; and appropriate utilisation of food.

Goal: The highest-level result to which an International Federation and National Societies operation is intended to contribute. It is measured by impact indicators.

Impact: Positive and negative, intended or unintended long-term results produced by an International Federation and National Societies operation, either directly or indirectly. Relates to the goal level of the logframe hierarchy.

Note: See definitions for goal, results and results-chain.

Indicator: Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement or to reflect the changes connected to an International Federation and National Societies operation.

Note: Where possible and relevant, indicators should allow for the collection of disaggregated data (by sex, age and other relevant variables).

Indicator, performance: See "indicator".

Indicator, proxy: An indicator which is substituted for one that is hard to measure directly.

Input: The financial, human, and material resources required to implement the International Federation and National Societies operation.

Lessons: Generally applicable conclusions based on evaluation or review experiences with International Federation and National Societies operations or policies that extrapolate from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome, and impact.

Logframe (Logical Framework): A management tool used to design projects and programmes. It involves identifying inputs, outputs, purpose (outcomes), and goal (impact), and their causal relationships, related performance indicators, and the assumptions or risks that may influence success and failure. It thus facilitates planning, implementation, monitoring and evaluation of an International Federation and National Societies operation.

Monitoring: A continuing function that uses the systematic collection of data on specified indicators to inform management and the main stakeholders of an ongoing International Federation and National Societies operation of the extent of progress and achievement of results in the use of allocated funds and food aid.

Objective: The purposes and goal of an International Federation and National Societies operation, representing the desired state which the operation is intended to achieve.

Objective, medium-term: See "purpose".

Objective, long-term: See "goal".

Outcome: The medium-term results of an operation's outputs. Relates to the purpose level of the logframe hierarchy.

Outputs: The products, capital goods and services which result from an International Federation and National Societies operation; includes changes resulting from the operation which are relevant to the achievement of outcomes. Relates to the output level of the logframe hierarchy.

Partners: The individuals and organizations that collaborate to achieve mutually agreed upon objectives.

Note: The concept of partnership connotes shared goals, common responsibility for outcomes, distinct accountabilities and reciprocal obligations. Partners may include governments, civil society, non-governmental organizations, universities, professional and business associations, multi-lateral organizations, private companies, etc.

Performance: The degree to which an operation or organization (International Federation and National Societies or partner) operates according to specific criteria/standards/guidelines or achieves results in accordance with stated goals or plans.

Post distribution monitoring: Information collected at the household level on the quantity of food received, the use of food aid, and its acceptability and quality.

Purpose: The improved situation that an International Federation and National Societies operation is expected to contribute significantly to if completed successfully and on time. It is measured by outcome indicators.

Qualitative data: Observations that are categorical rather than numerical, and often involve attitudes, perceptions and intentions.

Note: Where relevant and possible, data should be disaggregated by sex, age and other relevant variables.

Quality assurance: **Quality** assurance encompasses any activity that is concerned with assessing and improving the value of an operation or its compliance with given standards.

Note: Examples of quality assurance activities include appraisal, RBM, reviews during implementation, evaluations, etc. Quality assurance may also refer to the assessment of the quality of a portfolio and its effectiveness.

Quantitative data: Observations that are numerical.

Note: Where relevant and possible, data should be disaggregated by sex, age and other relevant variables.

Recommendation: Proposals aimed at enhancing the effectiveness, quality, relevance or efficiency of an International Federation and National Societies operation; at redesigning the objectives; and/or at the reallocation of resources. Recommendations should be linked to conclusions.

Relevance: The extent to which the objectives of an International Federation and National Societies operation are consistent with beneficiaries' needs, country needs, organizational priorities, and partners' and donors' policies.

Note: Retrospectively, the question of relevance often becomes a question as to whether the objectives of an operation or its design are still appropriate given changed circumstances.

Reliability: Consistency or dependability of data, with reference to the quality of the instruments, procedures and analyses used to collect and interpret data.

Results: The outputs, outcomes and/or impacts (intended or unintended, positive and/or negative) of an International Federation and National Societies operation.

Results chain: The causal sequence for an operation that stipulates the necessary sequence to achieve desired objectives - beginning with inputs, moving through activities and outputs, and culminating in outcomes and impacts.

Results-based management: A management strategy focusing on performance and achievement of outputs, outcomes and impacts.

Review: An assessment of the performance of an operation, periodically or on an ad hoc basis. In International Federation and National Societies, a review is initiated and managed by the Operations Department.

Note: A review is more extensive than monitoring, but less than evaluation. An evaluation is more comprehensive, and places greater emphasis on results, relevance and sustainability.

Stakeholders: Agencies, organizations, groups or individuals who have a direct or indirect interest in the operation, or its evaluation.

Survey: A data collection method that involves a planned effort to collect required data from a sample of the relevant population. The relevant population consists of people affected by the International Federation and National Societies operation (or, in the case of a control or comparison group, of people with similar characteristics).

Sustainability: The continuation of benefits from an International Federation and National Societies operation after major assistance has been completed.

Target group: The specific individuals or organizations for whose benefit the International Federation and National Societies operation is undertaken.

Note: Targeted individuals should be identified by sex, age and other relevant characteristics.

Terms of reference: The purpose and scope of the assessment, review or evaluation, the methods to be used, the standard against which performance is to be assessed or analyses are to be conducted, the resources and time allocated, and reporting requirements, generally conveyed in a written document.

Triangulation: The use of three or more theories, sources or types of information, or types of analysis to explore, verify and substantiate an assessment.

Note: By combining multiple data-sources, methods, analyses or theories, evaluators hope to overcome the bias that comes from single informants, single-methods, single observer or single theory studies.

Validity: The extent to which the data collection strategies and instruments measure what they purport to measure.

Vulnerability: The presence of factors that place people at risk of becoming food insecure or malnourished, including those factors that affect their ability

to cope.

Note: This is the definition used by International Federation and National Societies in relation to food security. Vulnerability is a result of exposure to risk factors, and of underlying socio-economic processes, which serve to reduce the capacity of populations to cope with those risks.

Annex 1

International Federation of the Red Cross and Red Crescent Societies

Monitoring and Evaluation Division

Evaluation of support by the International Red Cross and Red Crescent Movement to the Chernobyl Humanitarian Assistance and Rehabilitation Programme (CHARP).

Terms of Reference for the Evaluation

Draft 02-02-2002

1: Background

In 1990 the International Federation responded to a request from the three affected National Societies for assistance. The Federation Chernobyl Humanitarian Assistance and Rehabilitation Programme was launched. Since 1990 the intervention has continued to be implemented through the operating National Societies of Belarus, Russian Federation and Ukraine, focussing activity at community level throughout the region affected by the Chernobyl nuclear accident. The response by the International Community to the challenge of Chernobyl has been unique and groundbreaking. The programme is the first of its kind and has generated significant amounts of information in the course of its implementation. The intervention has been implemented over a long period of time, and in the course of the 11 years this evaluation is the fourth of its type.

More than 15 years following the disaster the consequences continue to unfold. The socio-economic context has changed in the interim with the breaking up of the "old" Soviet system. The break-up has had a dramatic effect on the access, quality and delivery of health care in the region compounded by the additional challenges resulting from the disaster. Although the radioactive fallout continues to decrease since the onset of the disaster the potential impact of exposure to radiation continues to develop and exposure to certain nucleotides continues. International institutions have set acceptable exposure criteria for people living in the affected areas. These criteria have a significant effect on local demographics and subsequently on the implementation of CHARP. Coherence and complementarity is embodied through the UN interagency task-force of which CHARP is an active member and participant.

2: Reasons for the Evaluation

The programme has been the subject of three previous interim evaluations from which recommendations emerged. The long duration of implementation has generated some interest in executing a major evaluation to assess the relevance, effectiveness, efficiency, sustainability
and impact of the intervention to date while also assessing appropriateness of designing an exit strategy.

3: Scope and Focus of the evaluation

3:1 Relevance:

- *Assess the degree of continued relevance of the initiative for the International Federation including the National Societies;*
- *Assess the role of the Federation in the process;*
- *Review the continued relevance of the intervention in so far as its current design reflects problems identified by all the stakeholders e.g. Mobile Diagnostic Laboratories, drug and vitamin provision, Psycho-Social support, training etc.;*
- *Assess whether the intervention is compatible with and reflective of IFRC policies, guidelines and standards (Gender, HIV/AIDS, Organisational Development and Capacity Building);*
- *Identify any unexpected outputs from the intervention;*

- *Suggest alternatives, adjustment or appropriate action where necessary to improve its relevance.*

3:2 Effectiveness:

- *Assess the degree to which the objectives of the intervention have been achieved;*
- *Determine the level of impact of the intervention on the demand, delivery and quality of health care to beneficiaries,*
- *Assess the impact on National Societies in terms of Training and Capacity Building;*
- *Assess the connectedness the intervention has to the host health systems, the degree of ownership and integration;*
- *Identify any constraints to the achievement of intermediate and long term objectives specifically in relation to the availability of accurate baseline information and indicators;*
- *Assess the level of coherence, complimentarity and co-operation among all stakeholders (including PNS, UN System, Governments Systems, and others) involved in the intervention;*
- *Examine the effectiveness of the working arrangements and linkages with the National Society and PNS ;*
- *Where appropriate, make recommendations on increasing the effectiveness of the intervention.*

3:3 Efficiency:

- *Examine the execution and management of the intervention and assess levels of efficiency;*
- *Examine the cost-effectiveness of the approach;*
- *Assess whether the inputs, budgets and costs for the intervention were adequate and reasonable in relation to the achievements of the intervention;*
- *Assess whether systems of financial reporting and reconciliation are appropriate;*
- *Assess the technical quality of the intervention including staffing arrangements and other support mechanisms.*

3:4 Sustainability:

- *Determine whether the intervention demonstrates financial, institutional and social sustainability particularly in terms of ongoing costs and any required capacity;*
- *Identify the factors that may influence sustainability in the short, medium and long-term;*
- *Determine the appropriateness, at this stage, of an exit strategy, reorientation or planning for future interventions.*

4: Methodology, Evaluation Team and Time Schedule

4:1 Methodology

- A critical review of IFRC/National Society documented materials including previous evaluation reports;
- An assessment of the degree to which recommendations from previous exercises have been agreed and implemented and identify unanticipated constraints to their implementation;
- Interviews and/or other approaches to a sample group of past and present programme beneficiaries selected on the basis of agreed criteria;

- Interviews and or workshops with National Society HQ and regional staff, as well as with the Federation Delegation programme team;
- Field visits to programme oblasts;
- Interviews with other key stakeholders - WHO, Ministry of Health, NGOs, UN Representatives, PNS;

4:2 Evaluation Team

The team will consist of a maximum of X participants. This will include;

- One participant nominated by each National Society as their representative;
- One representative from the Federation Secretariat Health Department;
- The team leader who will manage the process and write the report;

Potential consultants will be sought for the role(s) of the team leader and specialist in X. The team leader will write the report and have significant expertise in development initiatives preferably within the health sector(s) and specifically within an Eastern European context. Detailed knowledge of the treatment regimes for post radiation exposure will be desirable. Identification and selection of the consultant(s) will be undertaken jointly by the Evaluation Department and the Health Department in consultation with the National Society. Selection will be based on the quality of response to the TORs, availability and cost.

4:3 Time Schedule

The exercise will be implemented in April 2002. Consultant identification and selection will take place in late February. While will the schedule will seek as far as possible to facilitate the logistics, administrative needs and participation of National Societies, IFRC Secretariat PNS and other stakeholders it will be guided by the decision making process in respect of future programme activity.

5: Reporting and Feedback

The Consultant(s) will be required to produce a draft report within two weeks return from the country visit. The team will produce an *aid-memiore* for discussion at a debriefing in each region prior to departure. The final report will be presented in electronic format and will include a stand-alone executive summary. The report will be brief and concise and meet the needs of all stakeholders. Final reporting to the IFRC secretariat may also include a presentation of findings and conclusions in Geneva.

Brian Wall
Evaluation Department
02-02-02

The Fundamental Principles of the International Red Cross and Red Crescent Movement

Humanity

The International Red Cross and Red Crescent Movement, born of a desire to bring assistance without discrimination to the wounded on the battlefield, endeavours, in its international and national capacity, to prevent and alleviate human suffering wherever it may be found. Its purpose is to protect life and health and to ensure respect for the human being. It promotes mutual understanding, friendship, cooperation and lasting peace amongst all peoples.

Impartiality

It makes no discrimination as to nationality, race, religious beliefs, class or political opinions. It endeavours to relieve the suffering of individuals, being guided solely by their needs, and to give priority to the most urgent cases of distress.

Neutrality

In order to enjoy the confidence of all, the Movement may not take sides in hostilities or engage in controversies of a political, racial, religious or ideological nature.

Independence

The Movement is independent. The National Societies, while auxiliaries in the humanitarian services of their governments and subject to the laws of their respective countries, must always maintain their autonomy so that they may be able at all times to act in accordance with the principles of the Movement.

Voluntary Service

It is a voluntary relief movement not prompted in any manner by desire for gain.

Unity

There can be only one Red Cross or Red Crescent Society in any one country. It must be open to all. It must carry on its humanitarian work throughout its territory.

Universality

The International Red Cross and Red Crescent Movement, in which all societies have equal status and share equal responsibilities and duties in helping each other, is worldwide.

RED CROSS RED CRESCENT

the *power* of **humanity**



The *International Federation of Red Cross and Red Crescent Societies* promotes the humanitarian activities of National Societies among vulnerable people.

By coordinating international disaster relief and encouraging development support it seeks to prevent and alleviate human suffering.

The Federation, the National Societies and the International Committee of the Red Cross together constitute the International Red Cross and Red Crescent Movement.

40800 10/2002 E 250

COMPOSITE OF PRACTICAL TOOLKITS FOR THE IMPLEMENTATION OF THE PRINCIPLES OF EFFECTIVE GOVERNANCE OF SDGS & AGENDA 2063 IN AFRICA

—

Guiding Toolkits on Principles of Competence, Sound Policy Making and Leaving No One behind



First Edition

APRM
African Peer Review Mechanism

AFRICAN ASSOCIATION FOR PUBLIC ADMINISTRATION AND MANAGEMENT (AAPAM)
AAPAM
ASSOCIATION AFRICAINE POUR L'ADMINISTRATION PUBLIQUE ET LE MANAGEMENT (AAAPM)

المعهد القومي للحوكمة و التنمية المستدامة
National Institute for Governance & Sustainable Development

United Nations | Department of Economic and Social Affairs

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THE SUSTAINABLE DEVELOPMENT GOALS CENTER FOR AFRICA

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forward together
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SCHOOL OF PUBLIC LEADERSHIP

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national planning commission
The Presidency
REPUBLIC OF SOUTH AFRICA

OFFICE OF THE SENIOR SPECIAL ASSISTANT TO THE PRESIDENT
SDGs NIGERIA
Sustainable Development Goals

NEPAD
TRANSFORMING AFRICA
APRM
NEPAD / APRM KENYA SECRETARIAT

NATIONAL PLANNING AUTHORITY
PLANNING FOR DEVELOPMENT
Uganda

MINISTRY OF FINANCE & DEVELOPMENT PLANNING
MFDP
REPUBLIC OF LIBERIA

SDGs Advisory Unit
Office of the President
Republic of Ghana

APRM
APRM NAMIBIA

UNITY FREEDOM JUSTICE
Ministry of Political and Public Affairs Sierra Leone

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Abbreviations

AAPAM: African Association for Public Administration and Development

APRM: African Peer Review Mechanism

UN CEPA: United Nations- Committee of Experts on Public Administration

AU: African Union

SDGs: Sustainable Development Goals

NIGSD: National Institute for Governance and Sustainable Development

UN DESA: United Nations Department of Economic and Social Affairs

HLPF: High-Level Political Forum

AGA: African Governance Architecture

DPIDG: Division for Public Institutions and Digital Government

LDT : Leadership Development and Training

LDT-PAM: Leadership Development and Training in Public Administration and Management

NDP: National Development Planning Agency

LNOB: Leaving no one behind

MDACs: Ministries, Departments, Agencies, and Counties

MDIs: Management Development Institutions

PAM: Public Administration and Management

KPIs: Key Performance Indicators

MDGs: Millennium Development Goals

CGE: The Computable General Equilibrium Model

Foreword



Dr. Geraldine Fraser-Moleketi

Chairperson of Committee of Experts on Public Administration
UN Department of Economic and Social Affairs

The African Peer Review Mechanism in partnership with the African Association for Public Administration and Management (AAPAM) have jointly led continental efforts to implement the recommendations of the first baseline study developed by APRM on the implementation of principles of effective governance for sustainable development, globally known as Principles of Committee of Experts of Public Administration (UN CEPA) in Africa. These principles, endorsed by the Economic and Social Council in 2018, provides guidance to countries and civil servants on key principles and associated strategies for strengthening institutional capacities of AU member states for agile and responsive institutions.

The recommendations of the referred study were generated at a critical juncture of humanity's survival to combat COVID-19's negative impact on our societies and economies. National experts and civil society organs confirmed the relevance of the CEPA principles to promote inclusive decision-making processes in Africa. Further, COVID-19, despite its devastating impact, still offers a chance to invest and reform different principles; especially those pertinent to sound policymaking, leaving no one behind and accountability in public service scope.

The discrepancies among AU member states on the level of awareness, knowledge and the implementation of the CEPA principles - as alluded in the APRM baseline study on the CEPA principles - urged APRM and AAPAM to coordinate on preparing this guiding manual/ toolkit (first edition) on specific strategies related to leadership development and training to enhance the principle of competence at public civil service, sound policy making, social equity and inclusive monetary and fiscal policies for leaving no one behind. The toolkits are drafted by African experts in their own fields, under the coordination of APRM Taskforce on the CEPA principles and a consortium of research institutions and APRM national structures representatives (Egypt, Kenya, South Africa, Sierra Leone, Ghana and Namibia). This manual is an effort of all these key experts at different sub-regional and national levels. Hence, their dedication and voluntary contributions to make this manual feasible is highly appreciated and commended.

Allow me to seize this opportunity to thank the continental secretariat led by APRM, CEO of APRM, Prof. Eddy Maloka and Prof. George Scott, Secretary General of AAPAM, for prioritizing the implementation of the CEPA principles and its associated strategies to assist public civil service delivery in Africa and hence improve trust between African citizens and governments. Furthermore, the emphasis on youth and women participation during the preparations and validation of these toolkits during different continental meetings undoubtedly boost their credibility and relevance to institutional realities in Africa. My appreciation equally goes to members of APRM Continental Secretariat who led coordination efforts to consolidate this important manual; Mr. Jean Yves-Adou, Ag.Director of Monitoring and Evaluation and Ms. Sara Hamouda, Agenda 2063 and SDGs Continental Governance program officer.

I highly encourage African countries to utilize these toolkits alongside the general survey of APRM on the CEPA principles to concretize identified gaps in the civil service sectors and necessary reforms. The toolkits should be used as a guiding manual together with the UN DESA strategy guidance notes on the CEPA principles to apply these principles and strategies on daily tasks.

Acknowledgments

The APRM and AAPAM are honored to present this manual of toolkits to enhance awareness and implementation of the CEPA principles and its associated strategies for effective civil service delivery in Africa and support for African countries in the implementation of both Agenda 2030 and 2063 "The Africa We Want". Throughout the launch of the APRM Baseline study on the implementation of the CEPA principles in Africa, representatives of African countries and development practitioners recommended delving further into the application of the CEPA principles at national level in Africa to enhance awareness on these principles and their execution according to each country's specific national context. Furthermore, the principles can assist most APRM members to implement the recommendations of governance assessment reviews in alignment with the global and continental development agendas.

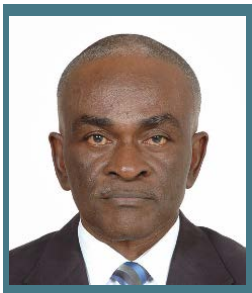
The noted discrepancies in the level of understanding and application of those principles amongst African civil servants, especially those who responded to our continental questionnaire on CEPA, urged APRM and AAPAM to build up on the baseline study recommendations and develop this first ever manual of CEPA associated strategies with specific toolkits. The strategies covered are pertinent to leadership development and training of civil servants (Competence Principle), strategic planning and foresight (Sound Policy Making Principle), social equity and the promotion of equitable fiscal and monetary policy (Leaving no one Behind Principle). All of these principles are crucial to accelerate Aspiration 3 of Agenda 2063 (Africa with good governance, democracy and rule of law) and SDG 16 (strong institutions and peaceful societies) performance in Africa.

Our appreciation goes to the members of the CEPA Task Force in Africa led by Mme. Geraldine Fraser-Moleketi and co-chaired by H.E Amara Kallon; Minister of Public Administration and Political Affairs in Sierra Leone and Chair of APR Focal Points (2021-2024). The taskforce has been meeting regularly since February 2022, and is composed of representatives from national government experts, academia, civil society and youth representatives.

We are gratefully appreciative to the voluntary efforts exerted by the authors of the four toolkits: Ms. Julie Muia Mutunga (AAPAM), Prof. Mohamed El-Karamay; Professor of Public Policy at the American University in Cairo, Prof. Sherifa Sherif , Executive Direcor of the National Institute of Governance and Sustainable Development (NIGSD), Dr. Hanan Rezk; Head of Training of Management Institutes in Africa/NIGSD, and Prof. Rafiu Aregbeshola R Adewale in International Business/Finance and Development Economics, University of Johannesburg. Your dedication to consolidate these toolkits are commendable.

We would like to express gratitude to the following experts for providing guidance, comments and feedback on the toolkits. Ms. Caroline Makasa; Acting Director of the SDGs Centre for Africa in Kigali (Rwanda), Dr. Enock Twinoburyo, Senior Economist School of Business, School of Public Leadership (Stellenbosch University, South Africa), Ministry of Public Administration and Political Affairs (Sierra Leone), Dr. Kefiloe Masiteng, National Planning Commission (South Africa), Dr. Felix Addo- Yobo; SDGs Advisory Unit at the Presidency (Ghana), Mr. Samuel Kasule and Mr. Allan Mukungu, National Planning Commission (Uganda), National Planning Commission (South Africa), Office of the Special Assistance on SDGs at the Presidency (Nigeria), Amb. Samori and Ms. Munira Mohamed; the APRM National Secretariat (Kenya), Mr. Augustus J. Flomo; Deputy Minister of Finance and Economic Development (Liberia) and Dr. Alfons Witbeen; Head of APRM National Secretariat (Namibia); Ms. Saras Jagwanth and Mr.Patrick Spearing of UN DESA.
Special thanks to the NIGSD team; Prof. Alia Aref, Ms. Miran Harfoush, and Ms. Hania El Behairy, for voluntarily editing this report.

We hope you find this manual useful for your knowledge and application of the principles of effective governance for sustainable development and Agenda 2063.



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Introduction

The African Peer Review Mechanism (APRM) has been dedicated to support African Union member states to accelerate the implementation, monitoring and evaluation of the 2030 Agenda for Sustainable Development, together with its Sustainable Development Goals (SDGs), and Agenda 2063 as guided by the APRM Revitalization process in 2019. The APRM has carried out several continental programs guided by the AU-UN Framework for the implementation of effective governance for sustainable development. The United Nations Committee of Experts on Public Administration (CEPA) adopted eleven principles of effective governance at its seventeenth session. The principles, endorsed by the UN Economic and Social Council in its resolution 2018/12, highlight the need for pragmatic and ongoing improvements in national and local governance capabilities, designed to achieve both the 2030 Agenda and Agenda 2063. The principles are designed to give effect to SDG 16 and ensure effective, accountable and inclusive government. CEPA has developed sixty-two (62) commonly used strategies for operationalization of the principles. This training manual should be read together with the strategy guidance notes developed by UN DESA, which is working with global experts to produce recommendations and suggestions for government officials to implement the principles.

The APRM has been engaged in several efforts to support the 2030 Agenda and Agenda 2063, including the implementation of the CEPA principles in Africa. In particular, the APRM forged continental efforts with other global and regional organizations and institutions to conduct a baseline study for Africa on the awareness, knowledge and implementation of the CEPA principles of effective governance for sustainable development[1] The baseline study was one of the recommendations of the APRM/ DESA Africa Regional Workshop on CEPA Principles; which was held during 30th of October - 1st of November, 2019 in Pretoria, South Africa. As an outcome of this workshop, the APRM and UN DESA resolved to undertake a baseline study on the status of the implementation of the eleven principles of effective governance for sustainable development in Africa. The CEPA principles of effective governance for sustainable development were developed to facilitate the implementation of the 2030 Agenda in synergy with the aspirations of the African Union (AU), as contained in its Agenda 2063 "The Africa We Want". Three continental workshops organized by UN DESA and the APRM were held on implementation of the CEPA principles in 2021, 2022 and 2023. The proceedings of the 4 workshops, including the inaugural event in 2019, are available on-line.

The APRM-CEPA continental workshops for Africa aimed at raising awareness among officials of African Governments and AU organs on the CEPA principles of effective governance for sustainable development. The principles of competence, sound policy making, and leaving no- one behind are designed to give effect to building effective accountable and inclusive institutions; essential elements of SDG 16 as they relate to peace, justice and strong institutions. Furthermore, the workshops aimed to support countries to assess gaps in the institutional application of the principles. The decision to undertake the baseline study was also informed by the outcomes of the 18th session of CEPA, which took place from 8th-12th April 2019. The 18th session focused on the preparations for the 2019 High-Level Political Forum (HLPF) at the Ministerial and Summit levels, including a review of the implementation of the institutional dimensions of SDG 16.

1 The APRM baseline study is available on https://sdgs.un.org/sites/default/files/2021-10/updated-version-of-the-CEPA-REPORT_English%20%281%29.pdf.

Essence and Rationale of Developing the CEPA Toolkits for African countries.

The APRM baseline study was undertaken under the auspices of the African Governance Architecture (AGA) and in partnership with the SDGs Centre for Africa in Kigali. The study seeks to develop a framework for assessing the implementation of the 11 UN CEPA principles and 62 commonly developed strategies to assess the captioned principles. Among the imperative outcomes of the APRM/CEPA study is the development of guidelines and a comprehensive instrument to assess the level of understanding, awareness and implementation of the said principles in Africa. The study mapped out challenges and good practices in the implementation of the 11 principles in 17 countries across all five (5) sub-regions of the African Union. The baseline study identified several challenges for implementing the principles including the following:

- There is a clear lack of awareness and knowledge of the principles in many African countries. Ensuring the full success of the principles and strategies to guarantee effective governance for sustainable development, remains a challenge in many countries. Thus, developing more targeted reviews to identify gaps and examine the challenges faced in the implementation of these principles at national level, as well as the development of good practices for peer learning, are needed. Potential countries for this exercise can be (Nigeria, Côte D'ivoire, Botswana, Ethiopia and Namibia).

- By applying the trigger-response modelling, the study noted that African countries have different pressures and triggers to adopt, implement and nurture some of CEPA principles based on their domestic specificities. In a nutshell, social and political repressions, lack of inclusiveness and women's empowerment, besides other structural weaknesses and constitutional reforms, urged African countries to develop strategies pertinent to CEPA principles.

- Amongst the principles which are least applied by many countries are leaving no one behind and intergenerational equity for which UN DESA/DPIDG has developed strategy guidance notes, presented at workshops in March 2022[2]. UN DESA/DPIDG also developed strategy guidance notes on the principle of subsidiarity and are presently developing notes on transparency. As per the findings of our APRM study, those strategies require further attention. These strategy guidance notes apply to countries globally, as all the notes have recent case studies and good practices to advance the CEPA principles with practical and illustrative guides. As stated above, they should be read together with the materials produced here.

- Developing a guiding manual with suggested toolkits to assist African experts on understanding the principles becomes an urgent need, because the strategy guidance notes do not specifically examine the African context. This activity will assess the extent to which the principles are being, or have been adopted in other African countries, highlighting methods of implementation on the continent, opportunities to engage in peer-to-peer learning and research. In short, building on the general information in the strategy guidance notes, this activity aims to further develop a targeted and focused assessment of the situation in Africa.

2. These will be available at: https://publicadministration.un.org/en/Intergovernmental-Support/CEPA/Principles-of-Effective-Governance

Methodology and Means of Validation by African Experts.

The presented toolkits have been prepared through a comprehensive participatory approach. A mixture of methods and approaches have been deployed to produce the referred toolkits; including literature reviews, observations, interviews and focus-group consultations with national experts (qualitative methods). Some toolkits including the competence principle show how leadership development and training for civil servants can be developed. The social equity strategy, part of the leaving no one behind principle, used quantitative methods (survey) to collect practical reflections from African countries and relevant experts. The toolkit on fiscal and monetary approaches addressing the leaving no-one behind principle deploys a modelling approach to simulate specific probable outcomes. Two toolkits were validated at continental events including the annual roundtable conference of AAPAM in Cape Town (10-12 December 2022) and the African Women Leadership Program in Cairo (Sept 2022), as well as at the diplomatic consultations in Morocco (August 2022). Means of validation and feedback from member states will be presented in detail in each chapter.

APRM Taskforce on CEPA Principles Implementation in Africa

The toolkits rationale, essence and methodology and deliberations were conducted through an initiative by the African Peer Review Mechanism Continental Secretariat. The APRM Continental Taskforce on CEPA principles were established after the launch of the APRM Baseline Study in 2021. It is composed of representatives from National Planning Commissions in Ghana, South Africa and Uganda, alongside other APRM strategic partners and countries of Sierra Leone, Nigeria, Namibia, Kenya, Egypt and Morocco. A distinguished number of experts have dedicated time and effort to develop the toolkits voluntarily to assist in raising awareness and advocacy of the CEPA principles in the African context.

The CEPA Taskforce members include African Association for Public Administration and Management (AAPAM), National institute of Governance and Sustainable Development / Ministry of Planning and Economic Development(Egypt), SDGs Centre for Africa (Rwanda), Department of Business Management (University of South Africa), School of Public Leadership (Stellenbosch University, South Africa), Ministry of Political and Public Affairs (Sierra Leone), National Planning Commission (Ghana), National Planning Commission (Uganda), National Planning Commission (South Africa), Office of the Special Assistant on SDGs at the Presidency (Nigeria), Planning and Treasury Ministry (Kenya), Ministry of Finance and Economic Development (Liberia).

Toolkits in Focus and Geographical Scope: An Outline

This manual provides - in its first edition -four toolkits on certain strategies pertinent to the CEPA Principles of competence, sound policy-making and leaving no one behind.

- Principle of Competence (related to effectiveness in SDG 16): Leadership Development and Training (LDT) of civil servants toolkit. The toolkit provides a guidance to public civil servants on

    i. key criteria and aspects for LDT including Policy/ legal/ Institutional framework,

    ii. financial/budgetary allocation and awareness,

    iii. design and delivery of LDT-PAM-Curriculum development, Competencies- knowledge, skills, attitudes and behaviors, and

    iv. impact of LDTT-PAM in four core competency areas; ethics, ethos, equity and efficiency.

- Principle of Sound Policy Making (related to effectiveness in SDG 16): Strategic Planning and Foresight toolkit. The toolkit is driven by the findings and recommendations of the APRM specialized study on NDP and disaster management framework in Africa. It provides technical guidance on aspects of strategic planning and foresight, including institutional, legislative, policy and communication elements.

- Principle of Leaving No One Behind (related to inclusiveness in SDG 16): Social equity toolkit. This toolkit is highly driven by the demands of many African countries to improve LNOB practices. It offers guidance on policy and organizational oriented policies, to implement social equity at national level. The toolkit was generated throughout different seminars and consultations with various national practitioners, government officials and youth representatives.

- Principle of Leaving No One Behind (related to inclusiveness in SDG 16: Fiscal and Monetary Toolkit. This toolkit focuses on how to achieve leaving no one behind using fiscal and monetary policies. Leaving no one behind and inclusiveness is a complex concept that encompasses various aspects of human dignity and the pursuit of social, economic, and political inclusion. There are specific guidelines in order to achieve inclusive growth and development, including equal access to ownership of land and property as factors of production, unrestricted access to gainful employment and safety nets, fundamental human amenities and lastly financial inclusion. Policy coherence is crucial for coordinating fiscal and monetary policies and directing government instruments strategically to address inequality through direct and indirect measures which are the most important measuring tools of leaving no one behind and inclusiveness.

Basic Assumptions in the Contextualization of the Proposed Toolkits

- African countries are at varied development stages on socioeconomic and political dimensions.
- The principles: competency, sound policy making and leaving no one behind are in a continuous state of flux. That is, today's relevant criteria for each principle could possibly be tomorrow's irrelevance.
- Assessing the three principles is not a perfect science; therefore, quantifiable variables are introduced to evaluate the impact of each principle. The toolkits can be cross-sectional or specific.
- The toolkit is influenced by socio-economic and socio-cultural factors.
- There is a positive correlation between enacting each principle and development

Toolkit One:

Principle of Competence: Leadership Development and Training of Civil Servants Toolkit (LDT)

Understanding the Context

The African Association for Public Administration and Management (AAPAM) partnered up with the APRM in 2020. AAPAM is a continental organization which promotes best practice, professionalism and excellence in public administration. On its own part, AAPAM programs complement and support the African government's efforts to realize developmental aspirations through the guiding principles of informing policy making, professionalizing service delivery and building the capacity of public administrators. The vision and mandate of AAPAM places it at a strategic position to build the capacity of public administrators, promote awareness on the CEPA principles and to develop a comprehensive toolkit for mainstreaming leadership development and training as a strategy for enhancing competency for effective public administration.

Through the evolving APRM/AAPAM collaboration, AAPAM hereby proposes a toolkit on the Competence principle with a special focus on leadership development and training of public servants. The toolkit is named Leadership Development and Training in Public Administration and Management (LDT) Toolkit.

Purpose of the LDT Toolkit

This toolkit proposes a guide on the implementation and evaluation of leadership development and training in public administration. The toolkit is aligned with the Agenda 2063 and Agenda 2030 and has the aim of strengthening the leadership capacity of public administrators for efficient and effective service delivery, which directly impacts sustainable development. This toolkit is designed for all levels of government including policymakers, practitioners and researchers.

Among other objectives, the toolkit seeks to inform policy making in relation to leadership capacity development at the national and local levels. It is aimed at influencing the executive level of government that is responsible for policy direction, planning and allocation of funds, in all State's Ministries, Departments, Agencies, and Counties/ Local governments (MDAC). Further, this toolkit aims to influence Management Development Institutions (MDIs) and professional organizations at regional, continental and international levels who develop curriculums or conduct training programs.

In the long-term, the objective of the toolkit is to transform and strengthen institutions to achieve their mandate of service delivery to realize the vision of Agenda 2063 and the 2030 Agenda. The (LDT) toolkit; thus, serves as a guide for reporting, monitoring, peer learning and exchanging of best practices.

The structural formation, application and alignment of the toolkit with related instruments are depicted in the figures below.

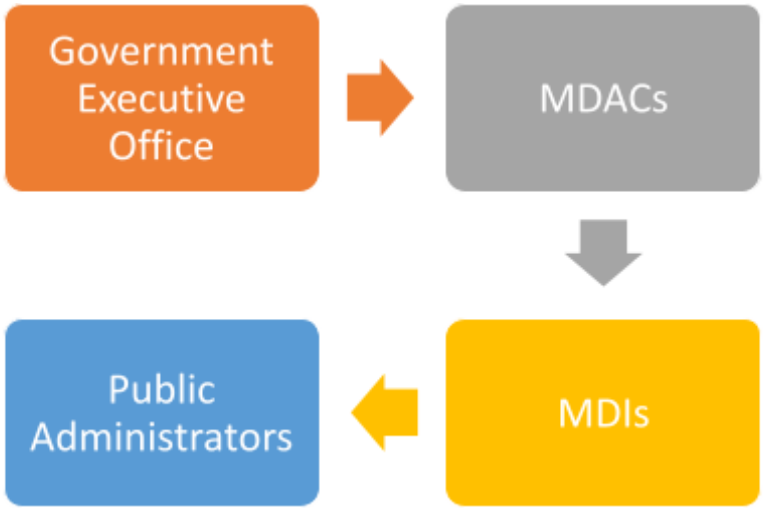


Figure 1: Policy Direction illustrated.



Figure 2: Alignment with SDGs and Agenda 2063

Accordingly, the expected outcomes of the Toolkit - are stated as:

Establish a standardized baseline for LDT toolkit needs, identify necessary gaps and opportunities in the public administration units of government across the African continent.

Mainstream the LDT Toolkit.

Calibrate an advocacy tool for promoting LDT-PAM toolkit at all levels of government as a strategy to promote Agenda 2063 and the SDGs.

Generate actionable recommendations for policy action on LDT toolkit for transformation of public institutions in Africa.

LDT Toolkit for Institutions	LDT Toolkit for Citizens	LDT Toolkit for Public Servants
• Strengthen institutions. • Increase productivity/ synergy. • Increase public trust. • Ensure organizational sustainability. • Create a conducive environment for innovations. • Reduce working in • silos.	• Efficient and effective service delivery. • Enforce public trust. • Strengthen public participation.	• Empower public servants. • Instill ethical and accountable behavior. • Enhance leadership competency. • Encourage public administrative innovation.

Specific Toolkit Assumptions

Competency within the context of this toolkit is defined as a set of knowledge, skills, attitudes and behaviors that an individual utilizes to maximize productivity. From the
11 Principles of CEPA, competency is categorized under effectiveness with the strategies of implementation focusing on:

- Promotion of a professional public sector workforce
- Strategic human resources management
- Leadership development and training of civil servants
- Performance management
- Results-based management
- Financial management and control
- Efficient and fair revenue administration
- Investment in e-governments

As a strategic component of competence, this toolkit is geared towards transforming Africa for the alignment and attainment of Agenda 2063 and the 2030 Agenda. The underlying assumptions are as follows:

- Some of the identified variables are: budgetary allocation/ budget awareness, nature of capacity building programs and performance evaluation/productivity process.
- There is a notable variation in leadership development needs across gender lines among administrators.
- Leadership competencies should be standardized across all levels of government at both the local and national levels.

The Proposed Toolkit

Aspects	Criteria/Indicators	Responsible Actors/ Agencies	Means of Verification	Guiding Notes
A. Policy/ Legal/ Institutional Framework Addresses the availability of an enabling environment for the LDT toolkit, and political commitment at the national/ local levels	1. Enshrined in the Constitution 2. Aligned with national development vision 3. Membership in APRM 4. Has the country signed the ACVPPSA? 5. Has the country ratified and domesticated the ACVPPSA? 6. Currently piloting SPAT program 7. Are there written policies, strategies and programs that support the LDT (National training policy) toolkit? 8. Is there legislation to support the LDT toolkit? 9. Are there institutions and systems in place to support the LDT toolkit?	Government level Executive, National and Local governments (President, Governor, Cabinet Secretary, Minister, Secretary to Cabinet, Head of Public Service, Permanent Secretary, Principal Secretary, CAS)	1. Constitution 2. ACVPPSA 3. Existence of National School of Administration/ Government	Responses should be descriptive; they can also be on a likert scale or discrete (yes or no response)
B. Financial/Budgetary Allocation and Awareness	1. What percentage of the national budget is allocated to the LDT toolkit? 2. Is the budget adequate for training needs? 3. How often is the training budget reviewed? 4. To what extent has austerity measures impacted the LDT toolkit budget?	-Executive (Policymakers) - Policy implementers	1. National budget 2. Number of government-spon sored programs 3. Development partner sponsored programs 4. Partnerships and collaborations (short-term,	-Actual % over 5 years -Duration of partnership -Sustainability of partnership (renewal) -Impact and effectiveness of partnership

	5. Are there partnerships in place to support training and capacity building needs? 6. Is budgeting inclusive of women, young professionals and PLWD?		medi-um-term, long-term)	
C. Design and Delivery of the LDT toolkit	-Curriculum development Indicators 1. Academic administrative nexus- Is the curriculum aligned to it? ● National development agenda ● Continental Agenda 2063 and SDGs ● Sectoral needs as-sessment 2. Curriculum stan-dardized at local and national level 3. Standards and quality assurance (accredit-ed, credible, certified programs) 4. Awards CPD points 5. Encourages development of research and new knowledge/ best practice 6. Promotes linkages between industry, research and training institutions. 7. Keeps an updat-ed database of programs and participants- skills inventory.	MDIs/ Stake-holders in ca-pacity building responsible for design, delivery of LDT toolkit (Management Development Institution, School of Government, School of Leadership, University, Professional organizations-National, continental, international, continental and interna-tional organiza-tions (AU, UN, AAPAM, APRM…)	1. Empirical evidence based public administra-tion Accredit-ing authority 2. MDIs curric-ulum (curricu-lum develop-ment process, curriculum review, agility of curriculum) 3. Capacities of MDIs (human-education level, competency, skills, experi-ence; ratio of expert to learner) 4. Infrastructure in place (both physical and technology) 5. Membership in professional bodies	This section an-alyzes the nature of LDT-PAM toolkit pro-grams and their align-ment with development agendas

	8. Offers options for training programs: - Online - Physical programs - Hybrid - Blended programs featuring online, multiple-locations - Publishes reports/ books/journals - Database of expert trainers - Availability of learning materials, digital library - Leverage ICT for learning, evaluation and continuity			
D. Competencies-knowledge, Skills, Attitudes and Behaviors Impact of LDT toolkit on 4 core competency areas ethics, ethos, equity and efficiency	• Performance contracting (how is LDT toolkit aligned to performance contracting) • Innovation and productivity (ability to find solutions to challenges previously encountered) • Career progression (promotion, more responsibilities, mentorship…) • Resource optimization (time and money) • Job satisfaction (eliminating bottlenecks of bureaucracy and glass ceiling effects) • Membership to a professional body • Skill gaps identified	Public Administrators	5. Performance evaluation and appraisal (performance contracts, Key Performance Indicators (KPI 6. Participation in LDT-PAM toolkit program per year 7. New paradigms (skills and tools to operate effectively) 8. Job evaluation 9. Staff turnover 10. Budget 11. Project management (timelines, cost, effectiveness, communication, collaboration and teamwork, conflict management…) 12. Service Delivery (citizen satisfaction)	This section is geared towards building the capacity of the individual with the ultimate goal of improving service delivery

Toolkit Two:

Principle of Sound Policy Making:

Strategic Planning and Foresight Toolkit

Understanding the Context

COVID-19 exposed structural vulnerabilities within the national social and economic systems across the world, albeit in a disproportionate manner. Owing to the speed, spread, the severity and the contagion of the coronavirus, many countries were caught unawares and response to the beleaguerment was haphazard and somewhat inadequate. While some countries were able to contain the pandemic early on due to their resilient health systems, demography, infrastructure and rapid crisis response, even the robust health systems were unable to shield the countries from overbearing devastations as a result of multiple bed admissions and untimely deaths. The socioeconomic maladies that befell most of the communities overstretched state capacity and resources and resilience to disasters and chaos bore prominently on state institutions and instruments. This explains the situation in some African countries, which, despite being the least affected by the health dimension of the pandemic (in terms of the number of cases and deaths), appeared to have been adversely affected. The lingering effects of the pandemic, coupled with backlogs of resource inadequacies, are strong pointers that both the 2030 Agenda and the Agenda 2063 (with all their aspirations), might be missed. This toolkit draws from the strategy guidance note on Strategic Planning and Foresight produced by UN DESA in February 2021.

Purpose of the Toolkit

The objective is to help African governments assess the degree to which strategic planning and foresight are incorporated into their national development policies and plans. It outlines the essential and fundamental steps that must be followed to ensure the creation of a sound strategic planning and foresight system. The toolkit consists of a list of questions grouped under different types of elements (institutional, policy, communication and coordination and constitutional and legislative elements). The questions are dichotomous, which means that they can only have a yes or no response. In other words, the questions themselves serve as indicators of whether the action or policy under consideration exists or not.

The toolkit also identifies the primary and key actors or agencies responsible for each of the actions listed under the broad elements. Those are the likely national players in charge, individually or collectively, for implementing the corresponding action. Moreover, means of verification are also presented as an additional indicator for the existence or absence of the relevant action. The toolkit is not sequential in nature, meaning that there is no proper order of

adopting certain measures/actions. Furthermore, the generated questions and actions are not listed by priority and hence no action or measure is more important than the other.

The list is comprehensive and aims to guide government representatives and policymakers in their efforts to adopt strategic planning and foresight. Given the variation among African countries in their political systems, demographics, socioeconomic indicators, geographic challenges, the actualization of every single action in the toolkit is not necessarily feasible, at least in the short run. However, the generated questions are well thought of to be broad in scope while also attempting to be context sensitive. Consequently, the application of the elements of this toolkit should be informed by individual countries' realities and dynamics.

On a final note, any toolkit is not and must not be, a static document. New realities, evolving knowledge and learning, scientific breakthroughs, rapid technological advancements, along with unpredicted natural occurrences necessitate that the toolkit should always be revised, reviewed, and updated.

Specific Toolkit Assumptions

The United Nations Committee of Experts on Public Administration (CEPA) strategy guidance note on Strategic Planning and Foresight issued by UN DESA in February 2021 defined strategic foresight as "an organized, systematic way of looking beyond the expected to engage with uncertainty and complexity[3]" The evolving, intertwined and dynamic challenges along with the complexity of policies and the problems they are targeted at solving, necessitate factoring strategic foresight into the formulation of national development planning to anticipate how the external environment might alter the development paths and policy directions. Strategic foresight can also help anticipate the developments that are likely to take place in the future and thereby help governments to allocate the needed financial, human and technological resources to pursue their development agenda.

As part of the efforts to support African countries in adopting and implementing the principles of the (CEPA), the African Peer Review Mechanism (APRM) has developed a set of toolkits to address the inadequate capacity of some African countries in applying the CEPA principles to accelerate implementation of the SDGs. This toolkit focuses on strategic planning and foresight, which is a crucial component of sound policymaking principle. Other commonly used strategies for sound policymaking include regulatory impact assessment, the promotion of coherent policymaking, strengthening national statistical systems, monitoring and evaluation, the science-policy interface, risk management frameworks and data sharing. Strategy guidance notes are available on-line.

3 https://publicadministration.un.org/Portals/1/Strategy%20note%20%20strategic%20foresight%20Mar%202021__1.pdf.

The Proposed Toolkit

Aspects	Criteria/ Indicators	Responsible Actors/ Agencies	Means of Verification
A. Institutional Elements	1. Is there a national planning agency responsible for developing the country's national development plan?	National Development Planning Agency	A national planning agency formally exists within the government system
	2. Is the national planning agency independent?		The national planning agency is not subordinated to any other government body
	3. Does the national planning agency enjoy political power?	Presidential Office Prime Minister's Office	1-The national planning agency possesses constitutional and legal powers.
		3- National Assembly	2-The national planning agency is affiliated/ report to the president/ prime minister/national assembly
	4. Does the country have a national development plan/framework?		A periodic formal national development plan/framework is issued
	5. Is the national plan/framework developed through a collaborative process using a participatory approach?	National Development Planning Agency	Multiple stakeholders participate in the development of the national development plan
	6. Is there a strategic foresight or similar unit within the national development planning agency?	National Development Planning Agency Strategic Foresight Unit 3- Ministry of Economy/Finance 4- Planning and Budgeting Committee in the National Assembly 5- Prime Minister Office	A dedicated unit mandated with analyzing and advising on uncertainties and plausible future scenarios is established in the national development agency
	7. Is there a formal mechanism (process) for participatory planning and involving multiple stakeholders in the development of the national plan?	National Development Planning Agency	A set of official/formal rules and procedures (in the form of law, regulation, or executive order) organizing the participatory planning system
	8. Is the national development plan reviewed and updated periodically?	National Development Planning Agency Prime Minister Office	A formal procedure for review is in place
	9. Does the national plan include budgetary provisions?	National Development Planning Agency Ministry of Finance/Economy	Programs and projects listed in the national development plan have corresponding budgets/ financial allocations

	10. Does the national plan define in a clear manner the roles and responsibilities of relevant stakeholders?		The national development plan identifies and assigns roles and responsibilities of all stakeholders that will take part in the implementation of respective programs/projects/ policies
	11. Is the process of formulating the national development plan decentralized, in which local governments participate?	National Development Planning Agency Ministry of Local Administration Local Administration Units	Local units of government have a formal role in national development plan preparation and adoption
B. Policy Elements	1. Does the country have an early warning system?	1- Ministry of Environment (climate change and environmental hazards) Ministry of Health (epidemics and pandemics) National Development Planning Agency. Presidential Office Prime Minister Office	The presence of a formal program/measures consisting of organized rules, procedures, responsible agencies, plans, budgets, etc.
	2. Does the country have a risk avoidance and mitigation strategy?	National Disaster Risk Reduction and Management Agency. National Development Agency.	The existence of a national formal strategy dedicated solely to risk avoidance and mitigation including the definition of risk, types of risk, sources of risk, preventive actions, stakeholders involved in executing the strategy, etc.
	3. Is the national development plan evidence-based (using accurate and reliable data)?	National Development Planning Agency	The assumptions, programs, policies and projects included in the national development plan are based on actual data. The costs and budgets are estimated based on accurate calculations, financial and economic forecasts
	4. Does the development plan/framework take into account local, national, regional and international developments and changes (external environment)?	National Development Planning Agency Strategic Foresight Unit	The national development plan develops different scenarios based on local, regional and global developments, risks and opportunities
	5. Does the national development plan connect policy areas?	National Development Planning Agency	Policies and programs listed in the national development plan cross reference each other Programs and projects are grouped under the most relevant policy area
	6. Is the performance of the national development plan evaluated?	National Development Planning Agency National Agency for Program Evaluation Prime Minister Office Presidential Office Monitoring and Evaluation Committee in the National Assembly	The national development plan includes a monitoring and evaluation framework A national agency for program evaluation exists

	7. Does the national development plan include a clear set of objectives?	National Development Planning Agency	The national development plan identifies medium- to long-term objectives to be achieved through the plan. For example, reducing unemployment or poverty by a certain percentage
	8. Does the national development plan include clear and measurable indicators to assess progress towards achieving the objectives?	National Development Planning Agency	The national development plan identifies a set of indicators for each objective through which the progress towards realizing the objectives can be assessed The indicators are objective in nature and can be measured accurately
	9. Is strategic foresight integrated within different policies?	National Development Planning Agency Strategic Foresight Unit	Alternative pathways are included in policies and programs depending on different anticipated scenarios. Policies and programs consider potential internal and external risks
C. Communic-ation and Coordinati-on Elements	1. Is there a formal mechanism for coordination and consultation among stakeholders regarding setting the national development priorities?	National Development Planning Agency	There are formal procedures in place that define the responsibilities of each stakeholder
	2. Do channels of communication exist between stakeholders involved in the national planning?	National Development Planning Agency	The presence of standard operating procedures pertaining to how stakeholders communicate with each other
	3. Is there a national taskforce that meets periodically to review and update the national development plan?	National Development Planning Agency	A national taskforce is formally established with its mandate, composition, roles and responsibilities are set forth officially
	4. Are the rules and responsibilities of involved stakeholders clear?	National Development Planning Agency	The roles and responsibilities of each stakeholder is precisely defined
D. Legislative and Constitutio-nal Elements	1. Is there a constitutional provision mandating national planning?	National Development Planning Agency National Assembly	The constitution explicitly refers to national development plan or the national agency responsible for development planning
	2. Are there relevant laws and regulations organizing how the national development plan is being formulated?	National Development Planning Agency National Assembly	The process of formulating the national development plan is stipulated in laws, regulations, presidential decrees and administrative orders
	3. Are laws and regulations harmonized to achieve the same national development plans?	The Planning Committee of the National Assembly	Cross references between laws and regulations addressing the same policy issue No contradictory provisions in laws and regulations dealing with the same policy issue Laws and regulations covering one policy issue adopt the same objectives and policy outcomes.

Source: The Sustainable Development Goals Center for Africa and Sustainable Development Solutions Network (2020)

Toolkit Three:
Principle of
Leaving No One Behind:
Social Equity Toolkit

Understanding the Context

Based on the recommendations of the APRM Continental Baseline Study on the "Implementation of CEPA Principles for Effective Governance in Africa," this toolkit is intended to be a practical guide that can be used by African civil servants to effectively implement and monitor the application of the CEPA principle of Leaving No One Behind (LNOB) across the continent. The APRM baseline study highlighted the need for further capacity building, raising advocacy and awareness for CEPA and more designated toolkits to assist member states in the implementation and monitoring of UN-CEPA principles alongside its associated strategies at national and local levels. This toolkit draws from the strategy guidance note on The Promotion of Social Equity produced by UN DESA in 2022.

LNOB is a cross-cutting principle of the 2030 Agenda for Sustainable Development and its Sustainable Development Goals (SDGs). It is a commitment by UN member states "to eradicate poverty in all its forms, end discrimination and exclusion and reduce the inequalities and vulnerabilities[4]." This toolkit provides background and a research summary on LNOB, reviews other resources and toolkits that are available to African civil servants, observes the continent's challenges with the implementation and monitoring of LNOB and outlines several brief case studies. Finally, the toolkit presents definitions of related terms and a set of questions that African agencies are encouraged to tailor according to their contexts and needs to be able to optimize outcomes while implementing the state-orientated developmental goals and trajectories.

The questions provided in this toolkit are central to evaluating the strategic importance of equity in national planning and the implementation of related policies. The leading guidelines follow two main thematic areas: a) a set of guiding questions on the national level (macro perspective) to be answered by policy makers; by the prime minister's office, or the ministry in charge of policy formulation. b) a set of questions on the operational and functional level (micro perspective) to be answered by civil servants in different public agencies on national and local levels.

It is worth mentioning that addressing the roles of the other two branches of the government (the legislative and judicial branches) with additional set of questions would be needed to complement this toolkit in order to comprehensively assess the current situation in each country and to provide guidance towards improvement.

4 https://unsdg.un.org/2030-agenda/universal-values/leave-no-one-behind.

Purpose of the Toolkit

Since 2015, 193 countries have committed to collectively achieve the 17 Sustainable Development Goals (SDGs) and 169 targets when they approved the new agenda for sustainable development: "Transforming Our World: The 2030 Agenda for Sustainable Development." The agenda builds on and continues the work of the Millennium Development Goals from 2000 to 2015 (United Nations, 2016; United Nations, 2017). However, distinguishing themselves from the MDGs, the SDGs have as a core principle "the leave no one behind" mandate, putting forth an equity framework to sustainable development. As stated, "leaving no one behind (LNOB) is the central, transformative promise of the 2030 Agenda for Sustainable Development and its Sustainable Development Goals (SDGs)… grounded in international law, including human rights" (United Nations Sustainable Development Group, 2022, p.10).

Indicators from the 2000-2015 MDGs showed significant improvement, particularly around reducing poverty; however, often the most marginalized and poor did not directly benefit from the efforts. Leaving no one behind (LNOB) "not only entails reaching the poorest of the poor but requires combating discrimination and rising inequalities within and amongst countries and their root causes' ' (United Nations Sustainable Development Group, 2022, p. 6, UN definition). The 2030 Agenda targets the most vulnerable and disadvantaged groups; children, youth, persons with disabilities, those living in rural areas, people living with HIV/AIDs, older persons, indigenous people, refugees and internally displaced persons and migrants, among others (United Nations Sustainable Development Group, 2022). Thus, LNOB seeks to reduce inequalities, build inclusive societies and protect human rights (United Nations, 2018; Kharas, McArthur & Rasmussen, 2018).

As such, LNOB cuts across the SDG Agenda underlining that no SDG will be met unless it is met for everyone, across and within countries (Leave No One Behind toolkit, n.d.; Hathie, 2020). It includes policy areas that aim to decrease vulnerability and build resilience, such as universal health care, educational services, social protection and the registration of birth, among others (Leave no one behind toolkit, n.d., p. 20). LNOB follows suit from gender mainstreaming but extends it to not just conducting "gender analysis across all goals, but to also do the same for groups marginalized by income, race, age discrimination, disability and other areas' ' (Stuart & Woodroffe, 2016, p. 74).

The principle identifies inequity vertically by individuals and households and horizontally through group-based discrimination. LNOB principle is embedded in 13 of the 17 goals (Gupta & Vegelin, 2016)[5]. For example, targeting and reaching those who are furthest behind across the SDGs, seeking to end extreme poverty (SDG #1), reducing inequalities (SDG #10), ending group-based discrimination and advancing good governance practice (SDG #16) (Stuart & Samman, 2017). LNOB, with social equity at its core, includes not only reducing disparities across income and wealth but also increasing access to basic services related to education, health, clean water and social protection programs. For example, (SDG #10) which is: reduce inequality within and among countries, in particular addressing equality and equity issues. The goal covers reducing income disparities within and among counties but also recognizes key attributes such as deprivation and disadvantage which are linked in exclusionary practices and policies in societies. Indeed, "Inequalities often stem from divisions along group lines that are socially constructed and sustained because they establish a basis for unequal access to valued outcomes and scarce resources. Discriminatory laws and practices perpetuate these inequalities and limit the potential for minorities and other excluded groups to realize their full potential" (UN-DESA/DSDG, 2019, p. 2).

5 Among the 17 SDGs, these include no poverty (SDG 1), zero hunger (SDG 2), good health (SDG 3), quality education (SDG 4), gender equality (SDG 5), clean water (SDG 6), affordable and clean energy (SDG 7), decent work and economic growth (SDG 8), industry, innovation and infrastructure (SDG 9), reduced inequalities (SDG 10), sustainable cities and communities (SDG 11), life on land (SDG 15) and peace, justice and strong institutions (SDG 16) (The SDGs Center for Africa, 2021.

At the regional level, the African Union through its 2063 Agenda, aims to address equity issues. The SDGs Center for Africa (2021) finds that there is clear overlap between the SDGs and the 2063 Agenda, citing an 86% linkage. In particular, both the SDGs 2030 and the African Union Agenda 2063 include social inclusion targets (SDGs Center for Africa, 2021,

p. xi). However, in the African context, the leaving no one behind principle is considered as a major challenge to the effective implementation and monitoring of the SDGs (The SDGs Center for Africa and Sustainable Development Solutions Network, 2020, p. 1).

The Sustainable Development Goals Center for Africa and Sustainable Development Solutions Network (2020) present several challenges in its Africa SDGs Index and Dashboards Report that are relevant to this toolkit and should be taken into consideration (Figure 1 and pp. 1-3).

Figure 1 Challenges of Leave No One Behind



Specific Toolkit Assumptions

The questions included in this LNOB toolkit are informed by the material reviewed above, primary data sources through interviews, consultations and surveys and the review of five thematic areas of the APRM: democracy and political governance, economic governance and management, corporate governance, broad social sustained economic development and state resilience to shocks and disasters. Note that the questions in this toolkit are not exhaustive and countries and agencies are encouraged to tailor questions and their approach according to their contexts and needs. The theoretical framework of the toolkit includes the below listed concepts:

Leaving no one behind (LNOB)

is a cross-cutting principle of the 2030 Agenda for Sustainable Development and its Sustainable Development Goals (SDGs). It is a commitment by UN member states "to eradicate poverty in all its forms, end discrimination and exclusion and reduce the inequalities and vulnerabilities[6]." The LNOB principle requires a social equity framing to the formation, implementation and monitoring of public policies and development goals.

Social equity

is guaranteeing access to rights, services and protections to all people so they can fully participate in the political and cultural life of a community. It includes the fair distribution of public services and promotes fairness and justice in the formation, implementation and monitoring of public policies[7].

Social equity mainstreaming

broadens the idea of gender mainstreaming, which incorporates a gender equality perspective into the formation, implementation and monitoring of all public policies.[8] Social equity mainstreaming recognizes additional groups that are facing discrimination, deprivation and disadvantage, including, but not limited to, indigenous people, persons with disability, informal workers, young people, older people, religious and ethnic minorities, refugees and displaced persons, migrants and rural populations.

Social equality

is the guarantee that every individual has the same (equal) opportunities for well-being and access to public goods and social services[9].

Social inclusion

is a process that allows for equal opportunity to fully take part in society, regardless of background. It involves creating an environment of participation and access to decision making[10].

Social integration

is a process that builds societies which are based on human rights and nondiscrimination and requires the participation of all the society, including vulnerable, disadvantaged and marginalized groups.

Poverty alleviation

is eradicating extreme poverty for all people everywhere by 2030 is a pivotal goal of the 2030 Agenda for Sustainable Development.

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6 https://unsdg.un.org/2030-agenda/universal-values/leave-no-one-behind.

7 National Academy of Public Administration, 2000; https://archive.unescwa.org/social-equity. .

8 https://www.coe.int/en/web/genderequality/what-is-%20gender-mainstreaming.

9 https://www.un.org/womenwatch/osagi/conceptsandefinitions.htm.

10

The Proposed Toolkit

Aspects	Criteria/Indicators	Responsible Actors/Agencies	Means of verification
Category One: Questions for the (National Level)			
A. The Existence and Nature of National Social Equity Strategy	1. Does the government define social equity in public policies? 2. Is social equity integrated into national development objectives? 3. Is there a legal framework that supports social equity mainstreaming? 4. Is mainstreaming social equity an integral part of the budgeting process? 5. Does the government conduct quantitative assessments of financing needs to achieve social equity goals? 6. Is there a financial mechanism (Grants, subsidies, loans, pension schemes, social bonds, social venture capital, social funds, etc.) to support social equity and combat social exclusion? 7. Does the government prioritize social-impact investments? 8. How effective are government interventions to address social inequity? 9. Is mainstreaming social equity an integral part of the design, implementation and evaluation of public policies?	(Macro level) Prime Minister's Office Ministry of Sustainable Development Agency/Unit	Demographics of political officials, gender representation of government functionaries in all the tiers of government, enabling legislations and policies towards equal opportunities for all. Equitable resource allocation across communities based on specific needs to alleviate inequality and engender social equity.
B. Multi-level Governance for the Implementation of the Strategy	1. Is social equity mainstreamed into fiscal and monetary plans? 2. Has the government identified roles and responsibilities across levels for implementing and monitoring the progress in social equity mainstreaming? 3. Has the government offered guidance on effective coordination of social equity mainstreaming across governmental organizations at different levels? 4. Is there a mechanism to ensure that the social equity strategy is well-coordinated with non-state actors, e.g., non-governmental organizations, private sector, etc.?	Prime Minister's Office	Supporting Tools: Benchmarking: Budgetary allocation and resource mobilization towards tracking the international endeavors to benchmark relevant leaving no one behind indicators and strategies. Provision of social amenities on equal basis and reduction in the gap between the rich and the poor via relevant inclusive policies; health insurance,banking services, housing…etc.

C. Monitoring and Evaluation of the Strategy	1. Has the government set a timeline and a clear action plan to achieve social equity mainstreaming? 2. Has the government identified and tracked measurable goals and indicators linked to social equity mainstreaming? 3. Does the government use updated primary data to conduct situational analysis to assess policy problems and gaps in knowledge about different populations /groups (women, youth, children, elderly, people with disabilities, etc.)? 4. Disaggregated data (to ensure that everyone is counted)? 5. Does disaggregated data inform budgeting practices and resource allocation?	(Macro level) Prime Minister's Office Ministry of Sustainable Development Agency/Unit	Concurrent control: to mainstreaming social equity, continuous monitoring, evaluation and revision of regulatory instruments to place social equity at the forefront of government policies towards poverty eradication and reduction of inequality
D. Cross-cutting Participation	1.Has the government widely disseminated and communicated its social equity strategy? 2. Do groups in marginalized situations have equal access to 1. information relating to the social equity strategy of the government?	(Macro level) Prime Minister's Office	Non-state actors from the international and the national levels in developing social equity related strategies.
	3. Does the government take measures to ensure safe space for participation and the protection of people who participate and express their views? 4. Does the government track who is not participating? 5. What are some obstacles for participation?	Ministry of Sustainable Development Agency/Uni	Effective participation of non-state actors in ensuring social equity through conducting: seminars and conferences. Providing checks and balances. Acting as the third eye of the government.
Category Two: Questions for the (Organizational Level)			

A.Implementation of the Strategies & Interventions (Key Actors)	1. Does your agency conduct social equity mainstreaming? 2. Is there any ministerial decree (or other legislation) which identifies concrete strategies for mainstreaming social equity in the services your agency offers? 3. 3. Is the "leave no one behind" principle/social equity a part of the design, implementation and evaluation of your agency's projects? 4. Is the "leave no one behind" principle/social equity a part of your agency's budget/ resource allocation? 5. Does your agency have adequate capacities and resources to mainstream social equity? 6. What capacities and resources are still needed in your agency to effectively mainstream social equity? 7. Has the government promoted training, peer-to peer learning and awareness to your agency about social equity mainstreaming? 8. Does your agency use data collection tools to implement and monitor social equity mainstreaming and the leaving no one behind principle?	(Micro Level) Line Ministries & Affiliated Organizations	Training and upskilling: Identification of training needs for the functional and operational level staff members Procedural steps: Professional public/civil service that is transparent, accountable and rewarding. Professional private sector that is rewarding and progressive irrespective gender or other discriminatory considerations. Adherence to equal reward systems across board, equal career progression and remuneration etc. Identification of left-behinds: Unrestricted access to necessities of life, such as nutritious food, clothing, decent housing, water and sanitation, a decent source of livelihood. Unrestricted access to basic social amenities and welfare, such as quality education, standardized healthcare system, energy, road network, communication, access to useful information, civil and political participation, free affiliation to religious groups and societies, etc. Concurrent control: - Objective regular assessment of progress and identification of challenges and opportunities -Regular reporting on gains and challenges of leaving no one behind to inform regulatory reforms and policy redirection. - Training and upskilling: Regular evaluation job specification for public officials, redefinition of social mandates, renewal of social compact and effective responsiveness of social needs of the people – on an equal basis.

B.Monitoring & Evaluation of the Strategy (KPIs)	1. Does your agency consider the principle of leaving no one behind? 2. Does your agency identify the "left behind" population(s) in its work? 3. 3. Is there a legal framework in your country that supports social equity mainstreaming and the leaving no one behind principle? 4. 4. Does the government require the collection of disaggregated data and statistics in your agency's work? 5. 5. Does the government offer capacity building for the collection of disaggregated data and statistics in your agency's work? 6. 6. What are some of the challenges to the operationalization of the leave no one behind principle in your work?	(Micro Level) Line Ministries & Affiliated Organizations	Concurrent control: - Objective regular assessment of progress and identification of challenges and opportunities -Regular reporting on gains and challenges of leaving no one behind to inform regulatory reforms and policy redirection. - Training and upskilling: Regular evaluation job specification for public officials, redefinition of social mandates, renewal of social compact and effective responsiveness of social needs of the people – on an equal basis.
C.Cross-cutting Partnerships	1.Does your agency engage in consultations (participatory approach) about social equity mainstreaming? e.g., including state and non-state actors and community members.	(Micro Level) Line Ministries & Affiliated Organizations	Non-state actors at the international and the national levels, through: Monitoring and reporting events and activities on policy implementations. Addressing deviations from regulatory provisions and every form of prejudice. Seeking regress on behalf of the less privileged victims of discrimination and maltreatment. Providing funding and social support to the needy and less privileged communities/people.

Toolkit Four:
Leaving No One Behind:
Fiscal and Monetary Interventions Toolkit

Understanding the Context

According to the 2020 Africa SDG Index and Dashboards Report, leaving no one behind (LNOB) was a crystal representation of inclusiveness, essentially in relation to tracking the achievements of African countries towards the attainment of the critical elements of 2030 Agenda and its redefinition in the African context, through the adoption of tailor-made African Union Agenda 2063 and all its appendage Aspirations. The leave no one behind embraces the critical distributional aspects of the 2030 Agenda, calling for an end to extreme poverty, promoting shared prosperity, curbing inequalities in opportunities and outcomes, confronting discrimination and fast-tracking inclusive progress for the ones who are furthest behind.

Specifically, SDG 10.2 indicates that by 2030, countries are expected to empower and promote the social, economic and political inclusion of all- irrespective of age- sex, disability, race, ethnicity, origin, religion or economic or other status. The recently adopted leave no one behind index takes into consideration extreme poverty and material deprivation, gender inequality, income inequality, as well as access to quality of services.

Taking a critical look at all the 17 goals of the 2030 Agenda, it could justifiably be argued that every bit of the oil-drop speaks to inclusiveness and its first cousin, equitable distribution of resources. For instance, from poverty and hunger eradication, through convergence in socioeconomic emancipation, optimal/ sustainable resource allocation and institutional adequacy of justice – all points to availability and equitable access to necessities of life by every African. From the African Union perspective, the 20 goals of Agenda 2063, all its seven Aspirations and the thirty-nine (39) priority areas point to a quintessential redefinition of disequilibrium in access and utilization of various opportunities and resources that define quality of life across the continent.

The robustness of the Agenda 2063 lies in its emphasis of social cohesion, capacity building and strengthening of peaceful coexistence among Africans. It could, however, be easily concluded that both strategic visions, that is, AU's Agenda 2063 and its first cousin, SDG 2030, converged on undisputed aspiration to reduce inequality in every sphere of human daily existence. From an egalitarian perspective, all the agendas and their aspirations are contagiously systemic in nature, and they are endogenously correlated with chequered entanglement. There is no way we can scientifically separate or draw a demarcation line between availability and access to equal institutional, political, socioeconomic and cultural opportunities. In practice, the strength of the rule of law is tested through its applicability to both the privileged elites and commoners alike and so also institutional efficiency of social compact is tested through equal job opportunities, access to unbridled education opportunity, healthcare, water and sanitation, safety nets, safety and security and every indicator of hope, aspiration and accomplishment.

Purpose of the Toolkit

Achieving Inclusive Growth and Development - At Large- through:

1. **Equal access to and ownership of land and property as factors of production** – land is a strong measure of human dignity in the African context. Given the agrarian nature of traditional African communities, land ownership was central to subsistence, self-actualization and pride. Denial of a community member's land ownership was synonymous to denying them the opportunity to earn a decent leaving, or even to survive. This may explain why most of inter-tribal uprisings in Africa have been attributed to communal border disputes and land grabbing (Urmilla, 2010). Moreso, shelter is a basic human right. Every family needs a decent shelter that they can call an abode. Thus, housing security is the most basic form of security that is aspired by every human being. The fundamentals of traditional African communities were entrenched in communal settings that comprised a number of houses/ shelters through which intergenerational bonding was created and nurtured and through which the security of every community member was guaranteed (Odgaard, 2006). This was how villages and small towns began their formations, from where big cities originated. It could thus be suggested that Africans pride themselves on their ability to provide decent shelter for their families. This aspiration is primed solidly on unbridled access to and ownership of land.

2. **Unrestricted access to gainful employment and safety nets** – unemployment is quickly becoming an undesirable binnacle in policy-making circles. Depending on the source of data and the worldview of the discussants, cumulative unemployment ranges between 35 and 60 percent across African countries. It must be admitted that a huge population of Africans are self-employed, and they operate in informal sectors of the economy (a sector that is flagrantly excluded from data gathering and representation). As such, the focus on formal employment as an indicator of economic productivity may be a miscalculation of the real employment figures on the continent. Put differently, cumulative unemployment in Africa may safely be captured in the region of 20 to 35 percent, while youth unemployment may be as high as 70 percent[11]. Whichever metric is used in this process, the fact remains that unemployment is a rapidly ticking time bomb across the continent, especially among the youths. There is no gainsaying that unemployment remains the major source of inequality in African societies. However, the role of income disparity[12], economic leakages (such as heavy dependence and unprogressive income taxes, etc.), gender bias, age differentials and systemic financial subjugation have eroded the realism of possible financial convergence, even amongst those that are formally employed with career progression. Meanwhile, various documented evidence suggests that unemployment is the major source of inequality in Africa (Chetue, & Ndeffo, 2021; Aregbeshola, 2018). However, it is equally important to note that weak social support.

3. **Fundamental human amenities** – As a derivative from fundamental human rights, availability and equal access to quality healthcare, basic quality education and technical training, sanitation, uninterrupted power and energy supplies, access to motorable roads, safety and security, fundamental human and civil rights and well-resourced symmetry justice system are enabling instruments towards human development and survival. In fact, they are in no way weak metrics to measure equality in any society (especially in African societies). In many African societies, civil unrest, violence and chequered social disorder have furthered inequality. For instance, the few privileged are able to "buy" security architecture, quality healthcare and quality education for their entire households while the fragile social system that supports the majority of people has degenerated into palpable doldrums through which daily

11 Youths generally lack the requisite tenacity for entrepreneurship and high correlation between suitable skills and employment may also aggravate these calculations.

12 Income disparities are largely arrogated to race, ethnicity, political clout, geographical locations, generational advantage and a host of other subjective and discriminatory criteria).

existence of the most vulnerable members of the society has been relegated into unbridled gamble. Evidence suggests that Africa has recorded more violence-related fatalities than from all the natural disasters (and pandemics) put together (Xu, Wang, Shen, Ouyang & Tu, 2016).

The recent COVID-19 pandemic further exposed the vulnerability of many African societies and institutional inadequacies as regards poor healthcare systems, absence of social compact, infrastructural decadents and policy incoherence (APRM, 2020). To this extent, regulatory interventions towards strengthening social support systems, bolstering social contract between the electorates and the elected, as well as institutional redefinition of inclusiveness would go a long way to reduce inequality across the continent.

4. Financial inclusion – financial inclusiveness has continued to gain traction not only among African elites that utilizes the platform for portfolio diversification but also more prominently by the unbanked and excluded members of the society (Aregbeshola, 2018).With the baseline aspiration of inclusive growth and development that is sustainable and robust to lopsidedness, financial inclusion emphasizes the need to ensure equitable access to financial assets by devolving financial power and asset concentration. The three-pronged components of financial inclusion, namely availability, accessibility and usage (Kebede,Naranpanawa and Selvanathan, 2021) provide a robust index to gauge the adequacies of the financial institutional environment as regards to supervision, the depth of financial literacy and market efficiency.

These measures reflect the strength of consumer confidence in the financial market, consumer ability and willingness to consume financial products (such as asset-backed securities and unsecured loans, bonds, currency denominated instruments, etc.), effectiveness of government regulatory/supervisory interventions and the extent to which the financial market ensures equitable access and usage of available financial products to every member of the society – irrespective of creed, clan or socioeconomic status. In the African context, financial inclusion provides the central platform to catapult several less-privileged members of the society out of abject poverty and it could also be utilized to alleviate social maladies. To this extent, it could be safely suggested that aberration from financial exclusion would provide the necessary impetus to galvanize LNOB initiative of the African Union, with the support of other unbiased and conscientious stakeholders.

From the ongoing, it is evident that the term inclusiveness is equivocally intricate. Although, the complexities that pervade the concept may encumber its full understanding, appreciation and diagnostics without adequate domestication. To that extent, our ability to diagnose this ailment would require a scientific dissection of the nucleus of the problems.

To start with and given the hydra-headed complexity of this concept, attempting to redress every form of inequality that pervades its calculus would require robust and multifaceted policy initiatives. Thus, the question that arises is: can inclusiveness be achieved through budgetary initiatives and economic planning? Put differently, can we ride on the aisle of fiscal and monetary policies to address inequality in a sustainably progressive manner? The answer to the rhetorical question would be in the affirmative. Growing evidence calls for inclusive oriented policies and budgets. SDG 10.4 calls for Adoption of policies, especially fiscal, wage and social protection policies and progressively achieving greater equality. For instance and given the specific dynamics of African societies, an integrated and robust fiscal and monetary intervention that is tailored towards unabridged access to basic necessities of life, promotion of human development and capacity building, entrenching civil liberty, restoration of human dignity, establishment of socioeconomic and political resilience and upholding communal justice would drive societies towards the attainment of equality.

Achieving Inclusive Growth and Development- Through Fiscal Policy

Fiscal policies are government instruments used to either contract or expand the economic trajectory. These tools are applied to stimulate the economy and to inject guided direction into the growth and developmental projections of the government. Fiscal policies are normally composed of government spending, tax regimes and inflation management (Sabir & Qamar, 2019). Government spending is a critical component of fiscal policy. The strategic plan of every government is reflected in how much and where the government plans to spend certain portions of the national budget. For instance, a government that strives to eradicate hunger would allocate a substantial percentage of annual budget to agriculture subsidy in order to reduce the prices of staple food items, expand spending on primary healthcare, provide potable water and sanitation, enhance access to quality education, initiate and sustain social protection and safety nets and reduce social stress. These spendings could be augmented with expanded household disposable income through income tax reduction, reduction of economic leakages and low-to-moderate inflation levels. It may equally be important to subsidize major household cost drivers, such as costs of utility, rates and rents. All else held constant, robust consumer confidence in the market and expanded consumption would galvanize economic growth and this growth should be translated into development to address inequality and ultimately leave no one behind.

Achieving Inclusive Growth and Development- Through Monetary Policy

The main objective of monetary policy is to stabilize consumer prices through price transmission in a way that creates sustainable economic growth and development, that caters for every stakeholder in an equitable and inclusive manner. That is, the twin aisles of monetary policies, namely contractionary and expansionary, should be tailored towards inclusive financial market operations, favorable interest rates regimes and regulated consumer price fluctuations. In a nutshell, monetary policies are found to prominently influence the cyclical economic structure:

1. Economic output - economic output reflects the optimal utilization of resources available to a country in order to maximize production and delivery of quality goods and services. That is, monetary policies exert crucial deterministic pressure on what is produced, how it is produced, by who and at what cost. More simply, the price stability of input resources, such as capital, materials and labor would go a long way to determine the fluidity of the production process, the effectiveness of the price mechanism and response of consumer markets (household consumption patterns) through market prices.

2. Employment creation - as indicated in the preceding paragraphs, the correlation between employment and LNOB through inclusive poverty alleviation efforts remains strong. Employment is a strong indicator of poverty level and, by extension, inclusive economic development. In the African context, an improvement in employment level would reduce poverty depending on the purchasing power of income generated through employment and the strength of such an income in meeting the basic needs of the employees and their households. It must be admitted that some forms of employment may not necessarily translate into notable purchasing power, especially if the employment is seasonal in nature or if they fall in the category of low-paying jobs. In that case, there is a possibility of an increase in poverty level rather than a decrease
– even in the face of growth in employment.

3. Consumer prices - as indicated earlier, the output costs, i.e., the marginal costs of products or services would determine the consumer price through price mechanism in an efficient market. As such, monetary policies would have direct effects on the overall cost of production (of goods and services) and, by extension, the prices that consumers pay for those goods and services. To that extent, monetary policies could be used effectively to moderate input costs in such a way that consumer prices are tamed to average affordability. This is essential to reduce not only social

stress but also to ensure that no one is left behind in being able to afford basic necessities of life, such as food, shelter, sanitation, healthcare and education. There is also an increasing need to ensure availability and affordability of basic technological tools, equipment and peripherals to promote access to creation and adoption of cutting-edge complex technological innovations, products and services.

Before proceeding to the technical aspects of the toolkit, it is important to note that policy coherence is important to ensure harmonization of fiscal and monetary policies and also to ensure that all government instruments are directed appropriately to tackle inequality in a strategic manner. However, it must be admitted that Africa is unique and the challenges facing African countries are unique. While the West and other advanced economies prioritize policies on climate change, labor market reforms, personal choices relating to woman fertility and a host of other opulent issues, many Africans contend with basic challenges of life, such as destitution, hunger, poor sanitation, poor healthcare systems, weak educational and institutional systems, poor social protection and a host of other issues that threatens human existence (Stiglitz, 2002). Although issues of choices on fertility and labor market reforms, including climate change, are important to emerging economies. They in no way take precedence over factors that inhibit decent living standards. This toolkit, especially this aspect that deals with leaving no one behind through fiscal and monetary policies, would approach this developmental issue from African peculiarity.

Specific Toolkit Assumptions

1- The most important indicators of the principe of leaving no one behind are:

Unabridged access to and affordability of shelter, basic food items, quality healthcare system, quality education, potable water, sanitation, energy and power supply, safety and security and social protection. These indices are now cascaded into specifics under direct and indirect measures.

2- Proposed fiscal and monetary measures/ indicators:

A. Direct measures

Disaggregated employment statistics and trend as a percentage of the population; average cost of living as a percentage of average national per capita income; annualized consumer price index, trend of exchange rates, power supply/energy per every 1000 people in the population; cost of power to households as a percentage of total household expenditure; potable water supply per 1000 people in the population and cost; trend of budgetary allocations to education, healthcare, sanitation, policing, social grants (and other forms of financial supports for the vulnerable groups); desegregated throughput rates at various school levels, crime statistics and statistics on different types of shelter and density.

B. Indirect measures

Infant mortality rate, location of different levels of hospitals and distance from most densely populated areas, operating hours of hospitals and accessibility, healthcare staff as a percentage of population, cost of basic drugs and hospitalization, number of schools as a percentage of school-age children, location of schools and distance travel by average child to attend school, teachers' percentage to total enrolment, trend in the cost of stationeries and basic educational materials.

3. Mathematical model to track leaving no one behind

The derivatives of the mathematical models that give rise to the simulation presented in the table below is presented in the technical note to this toolkit. The Computable General Equilibrium Model (CGE) is proposed. This mathematical approach is favored because the simulation is robust to contemporaneous shocks, volatilities and uncertainties. It is robust in comparing the socioeconomic, political and structural effects of various fiscal and monetary policy instruments, interventions and their economy-wide implications. The reverse loop of the model can be manipulated to simulate potential revenue (direct and indirect) from various alternative trajectories/ policy directions (especially for government parastatals and self-sustaining enterprises). The proposed models are flexible for manipulation to achieve specific government objectives and goals. However, the practical application of the models require specialized skills in various aspects of the imputation, ranging from government policy formulation, budgetary and financial analysis, governance architecture and statistics. The results presented in the toolkit/ Table are simulated from generic aggregate continental dataset and are in no way derived for any specific country. It is important to note that results will vary widely based on the quality and type of dataset deployed, specific government targets/macroeconomic trajectories, time horizon and quality of expertise involved in the entire simulation process.

Aspects	Criteria/ Indicators	Responsible actors/ Agencies	Means of verification	Guiding notes
A. Employment Technically competent employees to drive the knowledge economy. Policy targets to embark on the production of high-tech items and tools to revolutionize industrialization Exchange rates stabilization to infuse market confidence among investors (domestic and foreign).	1. Increase employment tax incentives by 50 basis points for unskilled youth and create an atmosphere for ultimate self-reliance through robust skills development and entrepreneurship. 2. Through fiscal intervention, increase entrepreneurial development and skills transfer by 2% to 5% within the short/medium term.	Central Banks Ministries of Finance Ministries of Planning & other related ministries	Creation of a robust middle-income class and bridging the technical gap between employment brackets. Creation of technically mobile employees suitable for various lateral tasks across industry. Create a robust economy with a diversified industrial base, which reduces unemployment by absorbing both highly technical and lower-skilled workforce. Reduction in dependency rates and promotion of savings, while augmenting household purchasing power.	The multiplier effects of job creation initiatives through fiscal and monetary policies may reduce unemployment by between 100 and 350 basis points in the short/medium term. This may tower over 5% reduction within 5 to 6 financial years.
B. Bridge Income Gap Policy intervention to remove every vestige of socioeconomic and political discrimination (race, gender, age, creed, political affiliation, etc). The reduction in income tax and an increase in corporate tax.	Progressive review of household disposable incomes through: 1. reduction in income tax levels by 50 to 150 basis points within short/medium terms. Tax is a general leakage in the economic productivity cycle. 2. Increase basic/minimum income/wage on a staggered 25 to 30 basis points within the short/medium terms.		The reduction in income gap. The improvement in household purchasing power. The reduction in the need for social protection, especially for low-income earners. The reduction in economic leakage and promotion of savings while augmenting household purchasing power.	The reduction in household poverty level by 15% to 35% within the medium/long term.

C. Price Stabilization Supply-side price stabilization through input costs moderation - moderation of energy costs, exchange rates stabilization and other supply-side costs that may have a bearing on the cost of production/operation.	Moderate supply-side costs by 150 basis points within the short/medium terms, to: 1. Stabilize production costs in the short/medium term. 2. Reduce production costs by 3% to 7% in the medium to long term.		Consumer price stability. The reduction in the cost of living. Lesser need for household subsidy. Enhanced purchasing power and currency stabilization.	Enhance cumulative household consumption by 50 basis points in the short run, between 120 and 250 basis points in the medium term and more than 6% in the long run.
D. Education Budget allocation to ensure adequate staffing, equipment and tools for practical subjects, technological adoption and innovative curriculum. Easy access to schools and efforts towards creating a generally conducive education environment.	Increase fiscal support for basic education by 250 to 300 basis points within the short and medium terms.		Empowerment and development of a highly skilled workforce that is capable of driving a knowledge-based economy. Innovations and development of high-tech products and services that would drive sustainably competitive growth and development and, ultimately, individual and collective national prosperity.	Reduce unemployment through skills shortages by between 150 and 200 basis points in the medium term. Improve standard of education by between 250 and 400 basis points in the long term. Improve the quality of skilled workforce by between 250 and 450 basis points in the medium term.
E. Social Amenities Budgetary allocation to improve service delivery, especially services that directly impact household livelihood - such as potable water, sanitation, good road network, uninterrupted and affordable power/energy supply, affordable information and communication technology, safety and security, good and affordable healthcare services, sports and recreation etc.	Increase fiscal support for the provision of basic necessities of life by between 2% and 8% on a continuum in the short/medium term.		Reduction in social stress. Improvement in quality of life. Reduction in cost of living as households would not have to spend on provision of such amenities privately. Social cohesion by staying in regular contact with family and friends and other social support systems.	Reduce violence protests, civil unrest and crime rate by almost 8% in the medium term and by more than 80% in the long run. Improve trust and social compact between 3% and more than 90% in the long run.

F. **Healthcare** Improvement in the quantity and quality of medical practitioners and support workforce. Adequate supply of requisite equipment and tools to deliver world-class healthcare. Standardized consequence management and care guideline to augment dedication to care-giving. Professional management and administration of the healthcare system, procedures and processes.	Increase budgetary allocation to: 1. Upgrade and improve available medical facilities and operational efficiency by between 250 and 500 basis points in the short/medium terms. 2. Increase budgetary allocation for innovative medical praxis and processes by 5% in the short run.		High-quality healthcare delivery and affordable costs. Competitive healthcare system that may attract medical tourism. Reduction/ elimination of various inefficiencies within the medical system. Highly competitive, sustainable and efficient healthcare system that works for all - and LNOB.	Half the prevalence and outbreak of communicable diseases within the medium term. Reduce infant mortality and other avoidable deaths by almost half in the long term. Improve human longevity by between 2% and 20% over the medium and long term.

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Monitoring and Evaluation Training Guide

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This Guide is. . .

The material in this module is intended to help facilitate training in monitoring and evaluation in the results framework.

The materials include exercises, session notes and agendas for conducting training sessions ranging from one and a half hours to two days. Reference materials that the facilitator will need are mentioned but not part of this package, as they are available elsewhere both in the printed form and online.

This guide could be used by trainers who are new to their role in facilitating training activities but have significant experience with the concepts.

Instructions to the facilitator on how to conduct the sessions are provided as well as instructions to participants; also included are discussion points and answers to questions in the exercises. For easy reference the material is colour coded.

Instructions to the participant are to be copied and handed out before each activity.

Assessing Needs

It is advisable to conduct a Needs Assessment before planning a course. Ideally this should be done about 4 weeks before the training so that the participants have time to respond and you have time to prepare the materials. Depending on their needs you may want to add or drop sessions or decide to allocate time differently than what is presented here.

Getting Ready

Involve your co-trainer in all the decision-making regarding the course. Review materials and share needs assessment feedback with him/her. Inform participants of start and end dates and times, and send them a reading list early.

Reference Documents

Handbook on Monitoring and Evaluating for Results, Evaluation Office, UNDP, 2002

Advancing Results-Based Programming and Simplification of Programme Procedures UNDP/PROG/01/02 16 November 2001

New Country Programme Format, Review and Approval Process UNDP/PROG/01/03. 28 November 2001

Capacity Assessment and Development In a Systems and Strategic Management Context Guidelines, MDGD/January1998

List of Sessions

Session 1: A Basic Introduction to the Monitoring & Evaluation Framework	**1 ½ hours**
Session 2: A Basic Introduction to the Monitoring & Evaluation Framework (2)	**2 ½ hours**
Session 3: Essentials of Monitoring & Evaluation: Indicators and Outcome Monitoring	**½ day**
Session 4: Essentials of Outcome Monitoring and Outcome Evaluation	**½ day**
Session 5: Essentials of Monitoring & Evaluation	**1 day**
Session 6: Essentials of Monitoring & Evaluation (2)	**2 days**
Session 7: Essentials of Monitoring and Evaluation for Project Staff	**½ day**

List of Exercises

Exercise 1 Analysing Issues, Preparing an Action List	**1 hr 15 min**
Exercise 2 Designing Monitoring Tools	**1 hr 15 min**
Exercise 3 Getting Partners Involved	**2 hrs**
Exercise 4 Annual Project Review (Project Staff)	**1 hr 30 min**
Exercise 5 Introducing Monitoring Tools (Project Staff)	**1 hr 15 min**
Structured Discussion on Compliance and Evaluation Planning	**1 hour, 30 min**
Exercise 7 Designing Monitoring Tools-Irugao (UNDP staff)	**2 hrs 30 min**
Exercise 8 Planning an Outcome Evaluation	**2 hrs 30 min**
Exercise 9 Using Feedback from M & E	**1 hour**

To prepare for conducting the training…

Select the materials for the session you plan to deliver. This will depend on the time available to you and the needs expressed by your participants. If you are going to create your own session, select exercises, quiz cards and slides. Review the materials and the reference documents.

The timing used here is approximate and works best with a group of about 25. You need to give yourself additional time to open and close sessions and introduce participants. No break times are included, so allow additional time than what is given here.

Review and duplicate the Instructions to Participants' sheets, and prepare copies of presentation slides as handouts. Check each day's agenda to see what materials you will need.

Materials you will need

Name cards for each participant

Flipchart stands- about 6

Flipchart pads

Lots of thick markers- in colours

Index cards in three or four colours- can be made by cutting A4 size paper in half.

A computer that can be used for presentations and screen for projection

A side table for materials and documentation

The presentations saved in a computer hard- drive or diskette.

Quiz cards 4 complete sets.

Training facilities

Most activities involve working in small groups. Arrange the room so that 4 or 5 participants can sit around a small work- table, while still being able to hear and see you. Have enough flipchart stands for group work. A pleasant well-lit room that is away from ringing telephones, with plenty of wall space for posting flip charts, is ideal. Break out space would be needed for group work.

How to adapt these materials to your needs

You can use these materials to deliver a short 1 ½ hour session to a 2-day course or if you wish you can use the individual sessions in larger courses with other related topics. There are 7 sessions provided here, but you can create more.

Following are some ways in which you may adapt the materials.

Cases-You may use participants' own cases instead of the examples given here.

Exercises- Examples in the exercises may be replaced by participants own projects, outcomes, outputs and indicators.

Presentations -There are three slide presentations on the Evaluation Office Website. Mix and match the slides according to the interests of your audience.

Lecturettes- There is one lecturette on Indicators. Feel free to develop your own. Always keep it under 20 minutes, always ask questions and bring in examples.

Quiz cards- Select what is appropriate to the overall content of your session or course. It is not recommended that you use quiz cards for more than one activity, he duration of which should be about 45 minutes. People are likely to get bored. The quiz cards are intended for self-study, for use as an introduction to a topic or "a filler" if one group of participants finishes before others.

How to create new sessions and courses

You can use the materials in this collection as building blocks to create new sessions or courses. The overall objectives will change depending on what you want to accomplish.

Facilitation

Interaction is critical for learner participation in training. Learning is at an optimum level when participants are able to share their knowledge with each other and apply their experience to understand new concepts presented through the training. The exercises and group work are meant to fulfil this purpose.

The best way to obtain feedback is through asking good questions. Most activities conclude with "process questions" which would help the trainer summarise and close the session as well as give participants an opportunity to share their ideas.

At the start of the course as well as the beginning of each activity it is most important to clarify the objective or purpose and describe the agenda. This gives structure and direction to what the facilitator intends to do.

For maximum participation the facilitator should respond to the needs expressed during the course. Feel free to deviate from your plans or the agenda provided here, if it is in response to what participants want.

Working with a co-facilitator

Working with a co-facilitator will reduce anxiety considerably. A joint training venture-- a team effort, where responsibility is shared-- will reduce stress and prevent burn out. Having two training styles and a change of face is less tedious for participants as well.

If conducting this course with a co-trainer (it is highly recommended!) be sure to clarify both the tasks and the roles with your colleague before the start of the training. The person who has most knowledge of the subject matter would need to assume the role of the lead trainer.

Here are some Do's for working with another person.

- Go over the materials and divide the main tasks, such as- introducing the topic, delivering content, writing on the flip chart and doing the wrap up.

- If one trainer decides to take the speaking role the other can take the task of recording or charting on the flipchart.

- Whatever the role or task, stick to the agreement, don't change mid-stream and throw the other person off guard.

- If yours is a supportive role, to back up the trainer if s/he forgets to point out an important fact, stay out of the discussion, until you get your cue from the other trainer to join in. Seeming to "fight" in front of the group could create tension for everybody.

- Having one trainer sit in the back of the room and intervene when invited to do so, to reinforce a point or add something that may have been left out, is both helpful and supportive.

- Always review the collaboration at the end of the day and discuss what worked and why and where improvement may be necessary.

Session 1: A Basic Introduction To The Monitoring & Evaluation Framework

Objective:

At the end of the session participants will be able to:

- Explain the new framework for monitoring and evaluation and describe what has changed

What we will learn

1. Concept and Framework for M & E
2. What has changed

Total time 1 hour 30 minutes

Agenda

Time	Activity	What is needed
	Activity 1 Presenting Concept and Framework for M & E	Presentation saved on disk and computer or slides. Handout of slides printed out- 1 copy per participant.
45 minutes	**Activity 2** Discussion on what has changed	10 page note on the Changes Flip charts and markers.

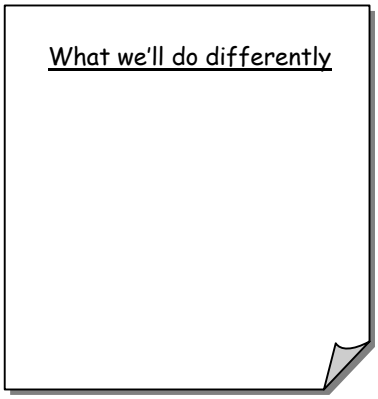
- Introduce the Objective of the session and the activities

Activity 1

- Make the presentation

Activity 2

- Hold a discussion: "What do you think you will do differently in light of the new monitoring and evaluation framework-?" Use a flip chart to aid you.
- Sum up the main points
- Refer audience to the web site and other resources



Session 2: Basic Introduction to the Monitoring & Evaluation Framework (2)

Objective:

At the end of the session participants will be able to:

- Describe the new framework for monitoring and evaluation
- Identify practical steps for making the shift to the results environment

What we will learn

1. Concept and Framework for Monitoring & Evaluation
2. Main issues and concerns and practical steps

Total time 2 hour 30 minutes

Agenda

Time	Activity	What is needed
1 hour 15 minutes	**Activity 1** Presentation "Concept and Framework for M & E" Discussion targeting main issues/concerns	Presentation saved on disk and computer or slides. Handout of slides printed out- 1 copy per participant. Flip charts and markers.
1 hour 15 minutes	**Activity 2** Exercise#1- Making an Action List	Flip chart and markers Participants Instructions Sheet #1

- Introduce the Objective of the session and the activities

Activity 1

- Make the presentation using a computer or slides

  - Ask participants "What are the main issues/concerns on changing the way we monitor and evaluate UNDP supported projects and programmes?

  - Make a list on a flip chart. Don't spend time "justifying" or explaining the issues. Just list what ever comes up. In- depth discussion will be held in small groups.

Activity 2

- Refer to Exercise #1 (next page) Instructions to the Trainer.
- Distribute copies of Instructions to Participants' Sheet #1, which sets out the tasks they have to work on. Explain if needed.
- Tell them how much time they have.

Exercise # 1 Analysing Issues and Concerns and Formulating an Action List

Purpose:	To increase motivation and ownership
Method:	Group work using list of issues/concerns generated from presenting the M & E concept
Total Time:	1 hour 15 minutes
Materials:	Flip chart pads, markers
Target Audience:	UNDP programme staff, project staff, representatives, of government and partners
When to use:	Always use after a presentation of the concept

Instructions to the Trainer:

- Divide large group by counting so that you will have 3 –4 groups for a total of 20 participants.
- Divide the "issues/concerns" among the groups and refer participants to the task described in Instructions to Participants' Sheet #1. Explain the task and the time allotted to them.
- After the small groups present their work, hold a discussion with the large group using the following questions:
  - From the presentations, identify the common theme or themes
  - Did any ideas emerge on how the issue or concern may be addressed- if so, what were they?
  - What will you do in the next 3 months?
  - What do you envisage in the next year?
- Allocate time for group work: Allow 45 minutes for the exercise and 30 minutes for the discussion with the total group. However these time allocations are very likely to change depending on how many issues came up earlier and how much was already discussed.

Instructions to Participants' Sheet # 1

Task 1
Analyse each issue/concern using the following as a guide

- What major challenges do you see?
- How do you plan to meet the challenges?
- What will you do to ensure your colleagues/supervisors/ governments collaboration?
- What support are you likely to need?

Use bullet points; write clearly.

Task 2

Present your work to the large group; you have 2 minutes.

Session 3: Essentials of Monitoring & Evaluation: Indicators and Outcome Monitoring

Objective:

At the end of the session participants will be able to:

- Describe the new framework for monitoring and evaluating for results and what has changed
- Be able to distinguish when as indicator is appropriate and when it is not.
- Design monitoring tools for an outcome

What we will learn

1. Concept and Framework for Monitoring & Evaluation
2. What is an appropriate indicator
3. Design tools for outcome monitoring

Total time 3 hour 30 minutes (half day)

Agenda

Time	Activity	What is needed
1 hour	**Activity 1** Presentation "Concept and Framework for M & E" Discussion	Presentation saved on disk and computer or slides. Handout of slides printed out- 1 copy per participant. Flip charts and markers.
1 hour 15 minutes	**Activity 2** Group work using Quiz Cards Card # M1, M3, M7, E7, E9, E10, P5, TR4, T1, T3, T7, T8, TR2, IN1, IN2, IN4, IN5, IN7, IN6 Discussion on Indicators	Flip chart and markers Designated Quiz Cards
1 hour 15 minutes	**Activity 3** Exercise #2 Design Monitoring Tools for an Outcome Closing Discussion	Copy of the Instructions to Participants Sheet #2 (if they work with their own project, then the outcome output table and outcome indicator table

- Introduce the Objective of the session and the activities

Activity 1 (1 hour)

- Make the presentation using the set meant for UNDP Programme staff
    - Hold a discussion "What do you think you will do differently in light of the new monitoring and evaluation framework?"

Activity 2 Quiz Cards (1 hour 15 minutes)

- Divide the large group into four small groups through counting

- Give a set of quiz cards (20 in each set – to each group. The cards are distributed to each participant who reads out the question to the group. The answer is on the back of the card. (When preparing cards, ensure that the answer is printed upside down) Missed or incomplete answers are noted and discussed with the facilitator.

NOTE: you may have to reduce the number of cards to 12 or 10 depending on the level of knowledge demonstrated during the earlier discussion- otherwise they may run out of time and feel overwhelmed

- Discussion

Use the points below to clarify important points on indicators after all the groups have finished. As appropriate indicators are fundamental to being able to monitor and outcome or output, this discussion is important before moving to the next activity.

A note on indicators is given below. You may incorporate it in your discussion. Try to draw out answers from participants.

What is an indicator? *Collect responses on newsprint.*

- ✓ Signs that show the extent of change that resulted from projects or programmes.
- ✓ Indicators help to measure what actually happened in terms of quantity, quality and timeliness against what was planned.
- ✓ They measure progress in achieving outputs & outcomes.

When are indicators established? For what purpose and by whom?

Indicators are established at the formulation stage by stakeholders and programme managers to help them measure the extent to which the project interventions contribute to outputs and outcomes.

What do indicators show?

Relevance

- ✓ Are the results valid and pertinent to the overall goals?
- ✓ Do the results meet the aspirations and the needs of stakeholders?

Performance (effectiveness)

- ✓ What progress is being made towards the outcome?
- ✓ Are these the right actions for achieving the outcome?
- ✓ Is this the right strategy to follow? (efficiency)
- ✓ Are the outputs delivered in a timely manner?

Progress (towards meeting outputs/ outcomes)

- ✓ What changes have occurred?
- ✓ Is there a plausible association between the changes and outputs?
- ✓ Do the outputs lead to the expected positive changes or outcomes?

Activity 3. Exercise #2 Designing Monitoring Tools to Monitor and Outcome

- ❑ Refer to Exercise # 2 (next page) Instructions to the Trainer.
- ❑ Distribute copies of Instructions to Participants' Sheet #2, which sets out the tasks they have to work on. Explain if needed.
- ❑ Tell them how much time they have.

Exercise # 2 Designing Monitoring Tools to Monitor an Outcome

Purpose:	Learning to design monitoring tools
Method:	Group work using outcome and output table and outcome and outcome indicator table from UNDP Islandia
Total Time:	1 hour 15 minutes
Materials:	Flip chart pads, Markers,
Target Audience:	UNDP programme staff, project staff, representatives, of government and partners
When to use:	May be used after the presentation of the concept or inserted into a session on the project/ programme cycle You may replace the Islandia case provide here with the participants' own case

Instructions to Trainer:

- This is an excerpt from the SRF of UNDP Islandia:
  Outcome and outputs table
  Outcome and Outcome Indicators table

Islandia- Poverty

OUTCOMES	OUTPUTS
1. Policy frameworks developed and implementing institutions at all levels established and functional in co-ordinated manner. **Outcome Indicator** **Poverty reduction and prevention measures implemented on national and local level.**	Poverty reduction action plans developed and implemented Mechanisms for implementation of poverty reduction measured on national and regional levels established
2. Poverty situation is regularly monitored and poverty reduction measures targeted more effectively.	Standards and mechanisms for poverty monitoring are established

Outcome Indicator **Monitoring system serves the government to better target poverty reduction measures and promote more efficient pro-poor macro-economic and sectoral policies**	

- Explain the task in the Participants Instruction Sheet
- Each group has 45 minutes for the task.
- No presentations of group work, because of lack of time, but everyone sees a copy of the outputs and outcomes and can participate in the discussion.
- Hold a brief discussion- 15 minutes

  Suggested questions:

  - Are the outputs likely to lead or contribute to the outcome in the Islandia case?
  - How will you monitor that the outputs will contribute to the outcome? What tools will you use?
  - How will you monitor implementation strategy?

Instructions To Participants Sheet #2

TASK

1. Are the outputs likely to contribute to the outcome?
2. How will you monitor that the outputs are contributing to the outcome? What methods will you use?
3. How will you monitor if the implementation strategy is working?
4. If indicators or outputs need refining please do so. You have 45 minutes.

Islandia- Poverty

OUTCOMES	**OUTPUTS**
Policy frameworks developed and implementing institutions at all levels established and functional in co-ordinated manner. **Outcome Indicator** **Poverty reduction and prevention measures implemented on national and local level.**	Poverty reduction action plans developed and implemented Mechanisms for implementation of poverty reduction measured on national and regional levels established
Poverty situation is regularly monitored and poverty reduction measures targeted more effectively. **Outcome Indicator** **Monitoring system serves the government to better target poverty reduction measures and promote more efficient pro poor macro-economic and sectoral policies**	Standards and mechanisms for poverty monitoring are established

ANSWERS- Islandia

(a) Will Outputs lead to the outcome

Outcome (1) needs to be refined by splitting it into its component parts:

- State what the "implementing institutions at all levels" are:
- Define what a "coordinated manner" means

The outputs need to be stated in such a way that

- Their achievement can be identified and measured in terms of quantity, quality, time and place; the production of the action plans can be easily measured

- All outputs that contribute to the outcome are listed, and are seen to clearly relate to the outcome; the outputs listed here are insufficient because they will not lead to the outcome- action plans alone are not enough. The people who are expected to use them (presumably those who work for the implementing institutions have to be able and motivated to use them.

- There is no output that relates to how coordination among the institutions at all levels will be achieved.

- There is nothing to explain what "established" means. Does this relate to having plans on paper or are the meetings? Could they mean a data-base?

- After the outcomes and outputs are refined, devising a method to monitor if the institutions are capable for carrying out their tasks in a co-ordinated manner can easily be developed.

(b) Indicator needs to be refined in the following manner:
Who in government?

What does co-ordinated mean?

How is "efficient" defined?

(c) Monitoring methods
A survey to ascertain

- How often the monitoring system is used
- Who uses the system for what purpose
- What has it contributed to "better" targeting of poverty reduction methods

(d) Implementing Strategy
Not clear from the information given in the Outcome /Output table

Session 4: Essentials of Outcome Monitoring and Outcome Evaluation

Objective:

At the end of the session participants will be able to:

- Describe the new framework for monitoring and evaluation
- Design monitoring tools for outputs, outcome, partnership strategy, implementation strategy and soft assistance

What we will learn

1. Concept and Framework for Monitoring & Evaluation

2. Designing tools for outcome monitoring using the Irugao Project

Total time 4 hours (½ day)

Agenda

Time	Activity	What is needed
1 hour 15 minutes	**Activity 1** Presenting Concept and Framework for M & E followed by discussion	Presentation saved on disk and computer or slides. Handout of slides printed out- 1 copy per participant. Flip charts and markers.
2 hours 30 minutes 15 minutes	**Activity 2** Exercise #7 Designing monitoring tools for output, outcome, partnership strategy, implementation strategy and "soft assistance" using the Irugao project Closing discussion	Exercise #7 – Instructions to Participants sheet #7

- Introduce the Objective and session agenda then proceed from Activity 1

Activity 1. Presentation and discussion (1 hour 15 minutes)

- Select the slides according to your audience. If there are project staff in the audience you may want to select the presentation that targets their specific needs.

- The discussion may simply be on the questions participants raise or it may focus on a specific aspect such as: "What we will do differently in light of the new monitoring and evaluation framework-"

Activity 2

- Refer to Exercise # 7 Designing Monitoring Tools (Irugao Project) Instructions to the Trainer (next page)

- Distribute copies of Instructions to Participants Sheet #7, which sets out the tasks they have to work on as well as the Irugao project Outcome, Output table. Explain very briefly, if needed

- Tell them how much time they have

- The answers or solutions to the tasks are provided on the pages following the exercise.

Exercise #7 Designing monitoring tools (Irugao Project)

Purpose:	Design monitoring tools
Method:	Group work on the Using the Irugao Project Outcome outputs table
Total Time:	2 hours 30 minutes
Materials:	Flip chart pads, markers
Target Audience:	UNDP programme staff, project staff, representatives of government and partners
When to use:	Use after a presentation of the concept. This is a complex and well thought out project, brings out issues such as monitoring soft assistance and implementing strategy.

Instructions to Trainer:

- Distribute the Instructions to Participants sheet # 7 and the Irugao Project outcome/output/indicator sheet. (You can replace this with material from participants own project or programme if you wish).
- Divide participants into groups. Explain the tasks.
- Ask for presentations of the monitoring tools from each group.

Instructions to Participants Sheet #7

Task 1
What are the ways that a UNDP programme officer can monitor:
a) Whether the outputs are being achieved?
b) Whether the outputs contribute to the outcome?

Task 2
a) How can the implementation strategy be monitored?
b) How can the partnership strategy be monitored?

Task 3
a) What soft interventions may very likely have to be made for the success of this project?
b) What form will they take?
c) Who will be most likely to be involved?
d) How will this activity be monitored?

If you find that the indicators need refining, do so.

Goal: G1- Governance						
Sub- Goal:G1 SGN3- Local Governance SAS: G1 SGN#- SAS N1 Participation at Sub National Level						
Outcome	Outcome Indicator	Baseline	SRF End Target	Indicator Val.	Output	Target set for Output
Convergence and localization of anti-poverty programmes, policies and processes; and improved capacities of local government units to effectively manage devolved anti- poverty programmes and of basic sectors to participate in key decision- making bodies.	Existence of institutionalized mechanisms for regular consultation between local governments and civil society organizations on economic and social policies	Consultation mechanisms are enshrined in the constitution and Local Government Code and Poverty Alleviation Law	Full implementation of existing consultation mechanisms at the local government level	Series of dialogues conducted between cooperatives and LGUs identify common areas of partnerships,	Documented and disseminated best/ bad practices in convergence/ localization/ decentralization.	Experience of 5 pilot provinces practicing decentralized capability building documented for possible replication-2000. Series of Conferences on best/ bad practices 20001
	Budget programming based on localized anti-poverty programmes	Special fund for poverty alleviation in support of Local Government 2.5 B was suspended. Internal revenue allotment and the budget planning linkage through a standard performance indicators system are being initiated,	Policy measures issued to adopt budget reforms in local governments. Draft legislative support measures reach advance stage of legislation.	Internal Revenue Allotment form being reviewed as well as the review of the Local Government Code. Draft Bill supporting 20 initiative passed first reading. New anti-poverty budget allocation 100B being proposed.	Packaged and disseminated information, education and communication materials on lessons learned, including a manual on best/ bad practices.	Local Productivity and Performance Measurement System integrated as an instrument of local government capacity building needs identification; manual released September 2000
	Well-defined transparent processes including criteria for representation of basic sectors in key decision- making processes and mechanisms contained in policy directives of national and local government bodies.	Implementing rules & regulations on the selection of basic sectors in policy making bodies have been formulated by requires some review and modifications	Support for a review of existing policies on basic sector representation in major policy- making bodies.	Exploratory talks underway for possible UNDP support.	Poverty reduction and sustainable development strategies and targets formulated through local anti poverty and Agenda 21 action plans	Manual on best practices and other information, education and communication materials developed. 2001 Vo1.1 Vol 2 in 2002. Local Poverty Action Plans produced in 6 pilot provinces and covering 41 municipalities; Draft Guidebook for poverty-focused local development plans prepared-2000
	Increase capacities of basic sectors to conduct participatory poverty assessments and lobby for reforms (manifested by policy position papers, collective lobby efforts, information networking, etc.)	Only 5-10% are members of peoples organisations in the D/E class bracket	At least 80% of targeted organisations increase their capacities.	A number of Peoples Organisations have limited capacity building interventions		Baseline situational poverty assessments and sustainable development, training on poverty focused local development plans conducted in selected

Goal: G1- Governance						
Sub- Goal:G1 SGN3- Local Governance SAS: G1 SGN#- SAS N1 Participation at Sub National Level						
Outcome	Outcome Indicator	Baseline	SRF End Target	Indicator Val.	Output	Target set for Output
						areas. 5 provinces produced local anti poverty & Agenda 21 plans. Guidebook produced. 2001 10 other provinces produce their local anti poverty and Agenda 21 local plans. 2002
					Trained local government units on convergence/ localization/ design and management of anti-poverty programmes including poverty focused budgeting.	Capability building for cooperative and local government unit partners provided for the establishment of joint projects in basic services, local public enterprises and agribusiness. 2000 Piloted training of 5 local government units on convergence/ localization/ design and management of anti- poverty programmes. 2001 Assess the results of the pilot training and develop a policy for replication. 2002.
					Rationalized good governance indicators for local government units and national government agencies.	Adopt policy on replication of LGU training. 2003 Workshop to consolidate local governance indicators conducted. Local Governance indicators standardized.-

Goal: G1- Governance						
Sub- Goal:G1 SGN3- Local Governance SAS: G1 SGN#- SAS N1 Participation at Sub National Level						
Outcome	Outcome Indicator	Baseline	SRF End Target	Indicator Val.	Output	Target set for Output
						2001 Adoption and mainstreaming of good governance indicators. 2002 Community Based Poverty Indicator Monitoring System and Annual Poverty Indicator Survey have produced data useful for poverty focused programme targeting and community mobilization 2000 Developed pilot scheme using Community- Based Poverty indicator Monitoring System and Annual Poverty Indicator Survey for budgetary allocation and national government agencies- local government units co- financing. 2001 Developed guidelines for using Community- Based Poverty indicator Monitoring System and Annual Poverty indicator Survey for budget allocation and programming . Incentive scheme for local government units developed. CBPIMS and APIS installed in 10 LGUs. 2002
					Applied the Community Based Poverty indicator Monitoring System and Annual Poverty Indicator Survey for an incentive scheme for national- local government resource sharing for anit- poverty programming and prioritization.	

Goal: G1- Governance						
Sub- Goal:G1 SGN3- Local Governance SAS: G1 SGN#- SAS N1 Participation at Sub National Level						
Outcome	Outcome Indicator	Baseline	SRF End Target	Indicator Val.	Output	Target set for Output
					Adopted transparent and functional mechanisms and processes of representation of basic sectors and non-government organizations in key decision- making bodies	Partial completion of analyses of mechanisms and processes of representation of basic sectors in official decision- making bodies/ mechanisms. 2001 Full report on gaps in legal provisions and processes for effective representation of basic sectors, including recommendations for policy measures 2002 Policy measures and enhanced mechanisms for increased and more effective participation and representation installed. 2003
					Strengthened organizational capacities of basic sector formations for collective action for anti – poverty reforms	Multi – level capacity assessment of organizations of the informal sector, indigenous peoples and small farmers with recommended capacity building plans completed.2001 Database system for organizational profiles and representation of people's organizations for the elected sectors established. Training conducted on key capacity building needs of basic sector organizations for effective participation in

Goal: G1- Governance						
Sub- Goal:G1 SGN3- Local Governance SAS: G1 SGN#- SAS N1 Participation at Sub National Level						
Outcome	Outcome Indicator	Baseline	SRF End Target	Indicator Val.	Output	Target set for Output
						governance. 2002 Training Conducted on key capacity building needs of basic sector organisations for effective participation in governance Conferences/ caucuses held for consensus building on policy issues, responses and reform lobby agenda. 2003

Answers for Exercise #7:

Task 1

a) What are the ways that a UNDP programme officer can monitor that the outputs are being achieved?
b) Do the outputs contribute to the outcome?

The outputs are products. They include the preparation of manuals, conducting of surveys, integration of a performance measurement system, preparation of education and communication materials among others. Monitoring if these systems, manuals and materials are produced can be done through:
- reports from project management

They can be validated through:
- checking out the manuals and materials themselves.

However, a wide gap may exist between the production of manuals, preparation of materials, holding of conferences, and actual change. In order to see how the outputs and their achievement contribute to the outcome, the programme manager should go further and monitor to what extent the manuals are being used. If the materials serve their purpose-- in other words to what extent old practices have changed as a result of the outputs.
This can be done through:
- Interviews with the users of the materials.
- Evaluation forms filled out by users of manuals or materials, which would provide both the project director and the programme manager with valuable data on the use of the manuals and materials.

This brings the programme manager to the Outcome level and the Outcome Indicators:

Indicator 1
Existence of institutionalized mechanisms for regular consultation between local governments and civil society organisations on economic and social policy.

Monitoring the indicator

Assuming that these are regular meetings, the programme manager needs to monitor:
- The number of meetings held. Who participates in civil society? Men? Women? Rich, land- owning elites? Poor? Minorities?
- What is discussed at the meetings?

- What is the follow- up to these meetings?
- How many anti – poverty programmes have been influenced by what has been discussed at the meetings?

You may want to refine the indicator to add clarity thus:

Refined indicator

The number of pro- poor programmes and policies that have been discussed at the meetings between civil society and local government and to what extent they reflected the views or the needs of civil-society, especially the poor and minorities.

Monitoring the indicator- the tools

- Meeting agenda, and minutes, list of participants
- Interviews with meeting- participants to ascertain to what extent change in attitudes had taken place and if civil society members (poor/ minorities, women and others) who felt their voices were heard.

Indicator 2
Budget programming based on localized anti- poverty programming.

Monitoring the indicator

- Interviews with local government budget officials after budgets have been prepared to find out to what extent budgeting is based on localized anti- poverty programming

Indicator 3
Well-defined transparent processes including criteria for representation of basic sectors in key decision-making processes and mechanisms contained in policy directives of national and local government bodies

Monitoring the indicator
After defining "well- defined, transparent processes"

- Conduct periodic review of how decisions are made
- Review policy directives of national and local government bodies.

Indicator 4
Increased capacities of basic sectors to conduct participatory poverty assessments and lobby for reforms (manifested by policy position papers, collective lobby efforts, information networking, etc.)

Monitoring the indicator

{Here there is an attempt to define "increased capacity" by specifying capacities for what (ability to lobby collectively/ use information networking/ prepare policy position papers)}

- Records of the number of targeted organisations, which are able to perform the tasks, mentioned above regularly, to influence the outcome of anti- poverty measures planned at local and national levels.

Task 2

a) How can the implementation strategy be monitored?
b) How can the partnership strategy be monitored?

Answers

a) The implementation strategy hinges on good coordination between all the stakeholders, and commitment to achieve the goal. A lot may depend on good communication and interpersonal relations. To monitor this activity a programme officer may need to read minutes of meetings and have a system of regular pulse taking to see that a good team spirit continues to flourish, and that communication systems actually serve the needs of the stakeholders.

b) The partners are local governments and peoples' organizations- when monitoring the implementation strategy as described above, the programme manager or project manager will also obtain valuable information on whether the partnership is working.

Task 3

a) What soft interventions may very likely have to be made for the success of this project?
b) What form will they take?
c) Who at UNDP and the project management will be most likely to be involved?
d) How will this activity be monitored?

Answers

a) Soft- interventions are actually built in to the intervention and mentioned in the targeted outputs- "Conferences/ caucuses held

for consensus building on policy issues, responses and reform lobby agenda”

b) Other likely forms of soft assistance may include:
Informal meetings with local leaders, provincial governors, mayors, NGO leaders and community elders, social activists etc to advocate for reform as well as the news media.

c) Programme Officer, Senior Management of UNDP, Project Manager, champions of anti- poverty policies

d) Monitoring soft interventions
   - Monitor the outcome of effects of the conferences / caucuses to measure how they contribute to the outcomes
   - Note down the outcome of meetings and informal gatherings or telephone conversations and how often they were held and how much time and effort went into the interventions. This is important to measure the effectiveness and will be helpful when looking at overall strategy.
   - Collect newspaper clippings and favourable statements made by political leaders in public gatherings

Session 5: Essentials of Monitoring and Evaluation

Objective:

At the end of the session participants will be able to:

- Describe the new framework for monitoring and evaluation
- Use appropriate indicators
- Develop methods to monitor outputs, outcomes, partnership strategy, implementation strategy and soft assistance
- Guide external evaluators to do an outcome evaluation

What we will learn:

1. Concept and Framework for Monitoring & Evaluation
2. Using indicators: Quiz Cards
3. Design monitoring methods
4. Preparing for an outcome evaluation

Total time 7 hours (1 day)

Agenda

Time	Activity	What is needed
1 hour 15 minutes	**Activity 1** Presenting the Concept and Framework for M & E followed by short discussion	Presentation saved on disk and computer or slides. Handout of slides printed out- 1 copy per participant. Flip charts and markers.
45 minutes	**Activity 2** Quiz Cards on Indicators. Numbers IN#1-7	Print out cards with answers printed on the back upside down, a set for each group.
2 hours 30 minutes	**Activity 3** Exercise #7 for designing monitoring tools for output, outcome, partnership strategy, implementation strategy and "soft assistance"	Exercise #7 – Instructions to Participants sheet #7
2 hours 30 minutes	**Activity 4** Exercise #8 Planning an Outcome Evaluation	Exercise # 8 Instructions to Participants sheet # 8 Case materials from Exercise #7 Guidelines for Outcome Evaluators- Companion Series #1

- Introduce the Objective and session agenda then proceed from Activity 1.

Activity 1. Presentation and discussion (1 hour 15 minutes)

- Select the slides according to your audience. Don't spend too much time on the discussion of the concept- use the time to answer questions from the audience. Since this is a one-day session they have a more time to learn how the concepts are applied.

Activity 2. Quiz cards on Indicators (45 minutes)

- Distribute index cards, 1 set to each group. After 30 minutes, discuss any cards that participants were puzzled by or disagreed with. A thorough understanding of indicators is needed to benefit from the next two activities.

Activity 3. Exercise #7 (2 hours 30 minutes)

- Refer to the directions for Exercise #7 in Activity 2 of Session 4.

Activity 4. Exercise #8 (2 hours 30 minutes)

- Participants use the same case, that now they are very familiar with. Distribute Instructions to Participants Sheet # 8. Explain the tasks if needed.

- The time required may be less than what they needed in the earlier activity because everyone knows the case well by now.

Exercise # 8 Planning an Outcome Evaluation

Objective	At the end of this exercise, participants' would be able to • Define the scope of an outcome evaluation • Write the terms of reference and • Plan the evaluation exercise and recruit a team of evaluators
Method	Group work using a case study
Total Time	2 hours 30 minutes
Materials	Irugao Case study Handbook on Monitoring and Evaluating for Results: Part 2 Chapter 5
Target Audience	UNDP staff
When to Use	Ideally, this exercise should follow Exercise #7. If used as a stand alone, allocate more time for participants to study the case and become familiar with the design. This may be done either during the session, or before.

Instructions to Trainer

- Divide participants into 3 or 4 groups. Every group works on tasks 1-3 (described in Instructions to Participants Sheet # 7) but each group will present only 1 of the tasks- to save time presentations should not take more than a minute, to allow time for the group work and the final discussion.

- If there is time pressure ask the groups to only do tasks 1 and 2. Discuss the process in the final discussion.

Task 1
Please define the scope of the outcome evaluation

The outcome as stated in the Irugao case is:

Convergence and localization of anti-poverty programmes policies and processes; and improved capacities of local government units to effectively manage devolved anti- poverty programmes and of basic sectors to participate in key decision-making bodies

Answer
The scope should cover the following
(Here the outcome has been deconstructed to articulate its component parts)

The most important points to cover are:

- Has there been change in the outcome? Specifically:
  - Is there a convergence of anti poverty programmes, policies and processes- do they relate to each other in a logical manner, is there aligned among programmes and policies do they complement each other to maximize the benefits?
  - Whether the anti poverty programmes, policies and processes respond to real and localized needs of the poor sectors of civil society and do the beneficiaries perceive them as such.
  - Whether the local government units have the capacity to manage devolved anti poverty programmes.
  - Whether the representatives of the sectors that anti- poverty programmes policies and processes target, participate in the decision-making processes.
  - If any or all, of the above have not been achieved, has there been progress made towards its achievement.
- What the underlying factors affecting progress in the outcome have been.
  - What are enabling or constraining factors in the policy environment that affect anti-poverty policy formulation, adoption and implementation?
  - What is happening on the political, economic, social, etc. fronts?
- Whether UNDP's outputs and other interventions can be credibly linked to the achievement of the outcome.
  - Did the key outputs, and soft assistance contributed to the outcome.
- How effective was UNDPs overall strategy- in its approach to supporting this intervention vis-à-vis the following players?
  - local government
  - basic sector- organisations
  - the national government
  - project management

The Key Outputs are

- Poverty reduction and sustainable development strategies and targets formulated through local anti poverty agenda 21 Action Plans
- Annual Poverty Indicator Survey for allocation for local government resources for anti- poverty programming
- Basic sector organizations strengthened do participate in collective action for anti - poverty programming reform
- Local government units trained on convergence localization and design of anti- poverty programming including allocation of budgets
- Rationalized good governance indicators for local government units and national government agencies
- Best/ bad practices in convergence, localization and design of anti-poverty programmes and policies documented and disseminated

Task 2

Using Guidelines for Outcome Evaluators (Companion Series #1) write the Terms of Reference for the Evaluation Team.

Introduction

Objective of the evaluation—this will also depend upon the evaluation's timing…

- To learn if the convergence and localization of anti- poverty programmes, policies and processes was achieved and how it was achieved
- If capacities were built in the local government units
- How the capacities were built
- If civil society participation in decision making was achieved and how successful it was

Scope of the Evaluation
The scope of the evaluation should track with that listed under Task 1 above—namely, 1) change in outcome; 2) factors affecting the change; 3) UNDP's contribution; and 4) UNDP's partnership strategy.

In addition, the following questions might be addressed, depending upon what the country office and stakeholders desire to learn from the exercise:

- To what extent are the results sustainable- specifically, will the sectors of civil society continue to participate after the funding period ends?

- How usable and relevant are the products- ie, Guidebooks, Manuals, communication and educational materials, training courses to the purpose they were intended for?

- Will the production of guidebooks, outputs, manuals, training programmes continue to be produced, conducted or updated after funding ends?

- How will activities for maintaining the benefits continue to be funded?

- Will the national capacities built through the process take root within the institutions that they were intended to support?

- What innovative practices or methodologies did the interventions generate that may be useful for future interventions in the area of civil society participation in anti- poverty programmes, policies or processes? What may be useful lessons learnt for poverty alleviation in general?

- What were the most effective strategies adopted? What were least effective? What were most /least efficient practices in the use of resources for:
  - Building national capacities?
  - Devolving anti- poverty programming?
  - Basic sector participation?

- How replicable are the capacity development initiatives?

Products Expected from the Evaluation

- What is the most effective vehicle for advocating policies and programmes at the local government level?
- What are suggestions for an organisation like UNDP to influence budget reform among local governments and initiate change in internal revenue allocations in favour of poverty alleviation?

- What are the Dos and Don'ts for the convergence and localization of anti- poverty programmes policies and processes?

- What are the best ways of building capacities among LGU staff?

- How can capacities be built among peoples' organisations to enable them to take a stronger role in policy-level decision making? Who is best able to do this? What are the most effective entry points?

Methodology

- A combination of desk studies for verifying statistical data, assessing materials.
- Focus groups to learn perception of civil society members to ascertain their involvement in decision- making processes at the field level.
- Interviews with LGU staff, provincial government staff and political leaders

Evaluation Team Composition and Expertise

A two-member team.

- Familiarity with local conditions and culture, experience in community organising and peoples participation in decision-making at local government, knowledge of local dialects an asset.

- Knowledge and experience in design and implementation of anti-poverty strategies and programmes and policy initiatives that support poverty alleviation

- Team members should have both theoretical and practical knowledge

- One member of the team should have some experience with government organisations at the local level.

Implementation Arrangements

- List all the tasks involved in facilitating the evaluation, divide the tasks among the major stakeholders- all those in the focal team
- Clarify who will do what

Task 3

Please describe the process you will follow in preparing the TOR for the Evaluation Team

- Form a small 3 to 5-member evaluation focal team for organising the evaluation comprising members of the UNDP programme unit (and perhaps representatives from Government, Projects, LGU and peoples' organisation representatives, etc.)
- Involve stakeholders and partners from the inception- (this may mean inviting everyone who may have a role or interest in the outcome from UNDP resident coordinator and provincial government representatives, to community members- to a brainstorming session in which what and how to evaluate is discussed)

- Decide, with them, on what specifically the evaluation should focus on
- Decide with partners and stakeholders which methods will be used
- Decide who will manage the evaluation,
- If funds or resources are to be contributed by partners, discuss who will contribute what
- Arrange the logistical details, such as- how to access the data bases and information system Poverty Action plans, etc
- Devise a way to interview and select candidates for evaluation team with partners and get their approval before hiring.
- Include partners requirements in list of products expected from the evaluation

Instructions to Participants # 8

Note that this project is expected to conclude late 2003. An outcome evaluation has been planned for the end of March in the same year.

The outcome as stated in the Irugao case is:

Convergence and localization of anti- poverty programmes policies and processes; and improved capacities of local government units to effectively manage devolved anti- poverty programmes and of basic sectors to participate in key decision- making bodies

The following terms used in the case study are defined for the purpose of this exercise in the following manner:

Basic sector- Section of the community which includes poor, women, disadvantaged groups and minorities who most need to be reached by anti-poverty programmes

Convergence- aligned with, supporting

D/E class Bracket- Those peoples organisations that are able to participate in national and local level decision – making.

Processes- How interventions are carried out, how participation is achieved, how decisions are made and approved.

LGU- Local Government Units

CBPIMS and APIS- poverty related information data- bases and systems of measurement used for planning and budget allocation

You may use the Guidelines for Outcome Evaluators.

Task 1
Please define the scope of the outcome evaluation and identify key outputs. (Scope encompasses the outcome and the extent to which this specific intervention, any soft assistance and partners contribution)

Task 2
Using Annex B in the Handbook on Monitoring and Evaluating for Results, write the Terms of Reference for the Evaluation Team.

Task 3
Please describe the process you will follow in preparing the TOR for the Evaluation Team.

Please write clearly, so others can read your work when you have posted them on the wall. You have only about 1 minute to present 1 task. Bullet points will do.

Session 6: Essentials of Monitoring and Evaluation
A 2-day Course

Objective:

At the end of the session participants will be able to:

- Describe the new framework for monitoring and evaluation
- Develop SMART indicators
- Design methods to monitor outputs, outcomes, partnership strategy, implementation strategy and soft assistance
- Guide external evaluators to do an outcome evaluation
- Know how to use M & E feedback

What we will learn

1. Concept and Framework for M & E
2. How to Use Indicators
3. Getting partners Involved- Exercise #3
4. Design monitoring methods- Exercise #7
5. Preparing for an outcome Evaluation- Exercise #8
6. Using information from monitoring and evaluation- Exercise #9
7. Compliance and Evaluation Planning- structured discussion

Total time 2 days

Agenda

Time	Activity	What is needed
1 hour 15 minutes	**Activity 1** Presenting the Concept and Framework for M & E followed by discussion	Presentation saved on disk and computer or slides. Handout of slides printed out- 1 copy per participant. Flip charts and markers.
45 minutes	**Activity 2** Quiz Card-Select what you want from among Quiz cards on Indicator (or IN #12-20)	Print out cards with answers printed on the back upside down, a set for each group.
2 hours	**Activity 3** Getting Partners Involved, Exercise #3	Exercise #3-Instructions for participants Sheet #3 Markers in red, blue, green
L U N C H B R EAK		
2 hours 30 minutes	**Activity 4** Exercise #7 Designing monitoring tools for output, outcome, partnerships implementation strategy	Exercise #7 – Instructions to Participants sheet #7

Time	Activity	What is needed
2 hours 30 minutes	**Activity 5** Exercise #8 Planning an Outcome Evaluation	Exercise # 8 Instructions to participants sheet # 8 Case materials from Exercise #7 Guidelines for Outcome Evaluators- Companion Series #1
1 hour	**Activity 6** Exercise #9 Using Feedback from Monitoring and Evaluation	Exercise #9 Instructions Sheet for Participants #9
L U N C H B R E A K		
1 hour 30 minutes	**Activity 7** Structured Discussion- on Compliance and Evaluation Planning	Evaluation Compliance Technical Note
20 minutes	Evaluation and closing	

- Introduce the Objective and session agenda then proceed from Activity 1.

Activity 1. Presentation and discussion (1 hour 15 minutes)

- Select the slides according to your audience. Don't spend too much time on the discussion of the concept- use the time to answer questions from the audience. Since this is a one-day session they have a more time to learn how the concepts are applied.

Activity 2. Quiz cards on Indicators (45 minutes)

- Distribute index cards, 1 set to each group. After 30 minutes, discuss any cards that participants were puzzled by or disagreed with. A good understanding of indicators is needed to benefit from the Exercises #8 and #9

Activity 3. Exercise #3 Getting Partners Involved (2 hours)

- Refer Exercise # 3 Getting Partners Involved (next page)

- Distribute copies of Instructions to Participants Sheet #3, which sets out the tasks they have to work on Explain briefly, if needed

- Tell them how much time they have

Exercise # 3 Getting partners involved

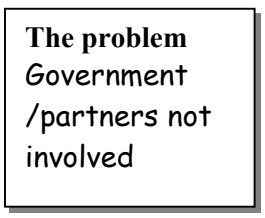
Purpose:	Motivate others, and getting reluctant partners involved
Method:	Group work using a question brainstorming that separates possibilities, realities and needs.
Total Time:	2 hours Introducing the exercise, reading introductions (15 min) Brainstorming (45 min) Answering questions in groups (20 min) Presenting answer and discussion (40 min)
Materials:	Flip chart pads, Markers
Target Audience:	UNDP programme staff, project staff, representatives, of government and partners
When to use:	Use after a presentation of the concept

Instructions to Trainer:

Colour questioning is a structured form of question brainstorming in which the category of questions may be restricted to a particular colour.
Only questions pertaining to the following categories may be posed. Anyone can pose any number of questions, which the facilitator will jot down in green blue or red.

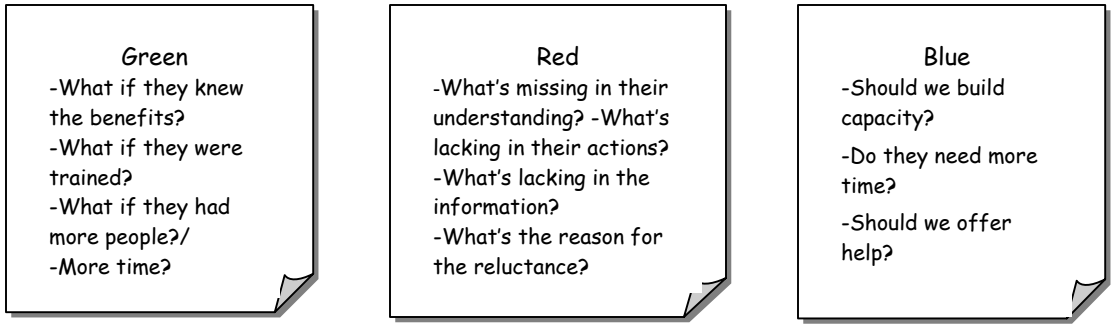
Green is for discovering **possibilities** (what if…)
Red is for getting at descriptions of **fact** (what is..)
Blue is for **needs** (what should…)

Step 1
Write the problem and post it on the wall
Write the Goal and post it next to the problem statement





Step 2
Start Question Brainstorming. The different types of questions should be written on flip chart paper posted on the walls using coloured markers of blue, red and green. Write the questions as they are posed. The regular rules of brainstorming apply. No editing or judging.



Step 3
Divide the group into three, to each group give one set of questions to answer. After each group has formulated and presented their answers. A composite picture should emerge on the facts or reasons for the non-involvement, and what can be done about it as well as what is needed to get to the achievement of the goal. Red group will present first. Followed by green then blue.

Step 4
Hold a final discussion on the following points:

- What we just did was a problem solving exercise that can be applied to other problems as well. This can be taken further and an action plan developed.
- What did we learn through this exercise about the problem and the possible solution?
- What did we learn about working together on a problem?

This exercise would be very effective if done with a mixed audience of government representatives and project staff.

Instructions to Participants Sheet # 3

Colour questioning is a structured form of question brainstorming. You brainstorm questions but the questions have to belong to the particular colour categories given below.

Anyone can pose a green question, blue question or a red question. The facilitator will jot down in green blue or red.

Green is for discovering **possibilities** (what if…)
Red is for getting at descriptions of **fact** (what is...)
Blue is for **needs** (what should…)

The regular rules of brainstorming will apply. No editing, or judging except to decide if the category fits.

Activity 4. Exercise #7 Designing Monitoring Tools (Irugao Case)

- Refer to the directions for Exercise #7 in Activity 2 of Session 4.

Activity 5. Exercise #8 Preparing for an Outcome Evaluation (group work)

- Refer to the directions for Exercise #8 in Activity 4 of Session 5.

Activity 6. Exercise #9 Feedback from monitoring and Evaluation

- Refer to Exercise #9 (next page)
- Distribute Instructions to Participants sheet# 9 which describes the tasks
- Distribute the tasks (A, B and C) among 3 groups. One group will do one task

Exercise # 9 Using Feedback from Monitoring and Evaluation

Purpose:	Learning what to do with monitoring and evaluation data
Method:	Group work using information from the Irugao case (Exercise #7)
Total Time:	1 hour
Materials:	Flip chart pads, Markers, SRF and Output, Indicator table from Exercise #7
Target Audience:	UNDP programme staff, project staff, representatives, of government and partners
When to use:	Always after Exercise #8 on Outcome Evaluation

Instructions to Trainer:

- Distribute Participants instructions sheet that describes the tasks.
- Distribute Tasks A, B and C.
- One group will do one task.
- After groups have made their presentations hold a discussion using the following questions.
  - How will you transfer the knowledge or information to stakeholders?
  - What steps can you take to integrate the learning into the design? Or the system? (Local Government, provincial government, UNDP national government)
  - Would you consider transferring the information to the communities- the poor and minorities?
  - What sort of time frame would you be working in?
  - What resources would you be looking for?
  - What format or channel would you use for sharing the learning- why?

Instructions to Participants Sheet Exercise # 9

The evaluation report provided you with the following information:

1. The most effective vehicles for advocating policies and programmes at the local government level

2. Suggestions for UNDP on how to influence budget reform among local governments and initiate change in internal revenue allocations in favour of poverty alleviation

3. Some Dos and Don'ts for the convergence and localization of anti-poverty programmes policies and processes

4. The best strategies for building capacities among LGU staff

5. How capacities can be built among peoples' organisations to enable them to take a stronger role in policy-level decision making- Who is best able to do this- and what are the most effective entry points

Imagine that you work for UNDP Irugao and describe how you would use the data (learning) to accomplish the following:

A. Improve design and delivery, implementation strategy and partnership strategy of this particular project

B. Improve poverty alleviation policies and how they are designed and implemented

C. Improve designs of capacity development initiatives within the country and within UNDP

Group 1 will work on A
Group 2 will work on B
Group 3 will work on C

<u>Bullets points are OK. Write clearly. You have 2 minutes to present.</u>

Answers

A. To improve design and delivery, implementation strategy and partnership strategy of this particular project you would need to ask:
   - What were the reasons for events that happened or did not happen, consider the events in relation to the context (outside the control of the project)
   - What additional inputs may be needed- funds, training etc.
   - What are the political implications of changing strategy or design? How will we get the stakeholders on board?
   - If there were any unexpected learning- or surprises that you did not capture in your monitoring methods- how did it happen?
   - How can we substantiate the recommendations of the evaluation before changing design or strategy?

B. To improve poverty alleviation policies and how they are designed and implemented you would need to:

   - Analyse if the recommendations on poverty alleviation policies are applicable in any context or is it peculiar to this one.
   - Transmit the learning to stakeholders, policy makers and the general public and hope it would generate a dialogue that would influence policy makers.
   - Analyse which policies were most effective and which were not so effective and why and transmit this information as well.
   - Analyse if the success of the policy depends on how it's implemented and by whom- who is able to best implement on poverty.

C. To improve designs of capacity development initiatives within the country and within UNDP you may have to:

   - Analyse the report to find out if the findings validated or resonated with the thinking behind capacity development (UNDP theories as well as the country's own practices).

   - Consider what factors outside the control of this specific result may have impacted on it.

   - Consider how you would share this data with UNDP and the planners within the country. What channels would you use?

Activity 7. Structured discussion (1 hour 30 minutes)

- Give participants 15 minutes to skim through the Evaluation Compliance Technical Note

- Divide large group by counting so that you will have 3 –4 groups for a total of 20 participants.

- Ask each group to discuss Compliance and Evaluation Planning and formulate 3 issues/questions/ comments/concerns they might have. They have 10 minutes for this.

- After the groups have finished (one issue or concern may surface in several groups) Narrow down the list and assign priority. Priority #1 is the issue or concern that most groups bring up regarding compliance and evaluation planning.

- Divide the time you have left among the topics for discussion. You may want to follow the structure below:

    - What are the facts (realities) pertaining to the issue/or concern?
    - What are ways that others have resolved this issue/question?
    - What are some concrete steps or suggestions resolving this issue/concern?

Session 7: Essentials of Monitoring & Evaluation: for Project Staff

Objective:

At the end of the session participants will be able to:

- Describe the new framework for monitoring and evaluation
- Use appropriate indicators
- Develop methods to monitor outputs, outcomes, partnership strategy, implementation strategy and soft assistance

What we will learn

1. Concept and Framework for M & E
2. Using indicators
3. Monitoring methods used by projects
4. Introduction to the Annual Project Review

Total time 4 hours 30 minutes (½ day)

Agenda

Time	Activity	What is needed
1 hour 15 minutes	**Activity 1** Presenting the Concept and Framework for M & E followed by short discussion	Presentation saved on disk and computer or slides. Handout of slides printed out- 1 copy per participant. Flip charts and markers.
30 minutes	**Activity 2** Quiz Card numbers-Indicators IN#1-7	Print out cards with answers printed on the back upside down, a set for each group.
1 hour 15 minutes	**Activity 3** Introduction to Monitoring Tools for Project Staff, Exercise #5	Participants Instruction Sheet #5 and Annex E of the Handbook on Monitoring and Evaluating for Results
1 hour 30 minutes	**Activity 4** Introduction to the Annual Project Report, Exercise #4	Participants Instruction Sheet #4 and Annex C of Handbook

- Introduce the Objective and session agenda then proceed from Activity 1.

Activity 1. Presentation and discussion (1 hour 15 minutes)

- Select the slides set meant for project staff

Activity 2. Quiz cards on Indicators (30 minutes)

- Distribute index cards, 1 set to each group. After 30 minutes, discuss any cards that participants were puzzled by or disagreed with. A good understanding of indicators is needed to benefit from the next two activities.

Activity 3. Exercise #5 Monitoring Tools used by Project (55 minutes for tasks 1 and 2, 20 minutes for discussion)

- Distribute, Participant Instruction Sheet #5. Introduce the Tasks 1 & 2

Exercise # 5 Introducing Monitoring Tools to Project Staff

Purpose:	Introduce Monitoring the different monitoring Tools for Project level monitoring
Method:	Group work
Total Time:	1 hour 15 minutes Introducing the exercise, selecting the project 10 Brainstorming 20 Answering questions in groups 10 Presenting answer and discussion 30
Materials:	Flip chart pads, markers, Annex E Menu of Monitoring Tools, Handbook on Monitoring and Evaluating for Results
Target Audience:	Project staff, government counterparts, UNDP programme management
When to use:	Use after a presentation of the concept

Instructions to trainer:

Introduce tasks 1 and 2

After the groups have finished ask them to exchange their work sheet with another group and make corrections (if any) as you discuss the answer sheet.

Hold a short discussion using the questions below on data sources and methods used for gathering data for monitoring.

- What methods do you use most frequently?
- Why do they seem most reliable?
- Which methods allow you to get direct feedback from the clients?
- How do you validate your results? How do you check if the outputs actually contribute to the outcome as they should?

Answer Task 1

Results	Monitoring Method
a. Output-Poverty monitoring and mapping activities at national & district levels initiated by the Poverty Unit b. Output-Central Coordination unit (for management of energy and national resources) established and performing efficiently c. Output-Advocacy campaign initiated to achieve 30% quota for women in decision-making positions in public sector d. Output-Judicial officers and support staff trained (using a manual) in understanding of gender violence using a developed training manual e. Output-A legal awareness & guidance process introduced to augment the delivery of legal aid f. Outputs-Trained legal specialists on procedures relating to human rights treaties	

Sources
Where would you go to gather data, examples may be clients, government officials, official records, training course participants Minutes of meetings

Methods
What ways would you collect data from the sources, methods include; surveys, content analysis, interviews etc.

Participants Instructions Sheet #5

Task 1

- What are possible data sources to gather data to monitor the following outputs?
- What methods of data collection would you use?

This data would be provided by the project manager to the UNDP programme manager, when reporting progress.

Results	Monitoring Method
a. Output-Poverty monitoring and mapping activities at national & district levels initiated by the Poverty Unit b. Output-Central Coordination unit (for management of energy and national resources) established and performing efficiently c. Output-Advocacy campaign initiated to achieve 30% quota for women in decision –making positions in public sector d. Output-Judicial officers and support staff trained (using a manual) in understanding of gender violence using a developed training manual e. Output-A legal awareness & guidance process introduced to augment the delivery of legal aid f. Outputs-Trained legal specialists on procedures relating to human rights treaties	

Task 2

Which of these methods have you used in your project? Describe how you used it-- to your group—describe also how effective it was.

You have 55 minutes for both tasks

Activity 4. Exercise #4 Introducing the revised APR format (1 hour 30 minutes)

- Distribute, Participant Instruction Sheet #4. Introduce the Tasks 1 & 2.

Exercise #4 Introducing the revised APR format

Purpose:	Introduce the revised APR format to project staff
Method:	Group work using an actual project
Total Time:	1 hour 30 minutes 1 hour for group work 30 minutes for discussion
Materials:	Worksheet # 4, Annex C of the Handbook on Monitoring and Evaluating for Results- (Annual Project Report)
Target Audience:	Project staff, government counterparts, UNDP programme managers
When to use:	Use after a presentation of the concept

Instructions to trainer:

- Ask participants seated in groups to select a project to discuss. Ideally, all who work for a project should sit together in one group, if this is not possible, have people who work for similar projects sit together for this exercise.

- Distribute the Instructions to Participants' Sheet #4. Explain the tasks. After the tasks have been completed hold a discussion through these questions:

Discussion questions:

- In the APR you may contribute comments on the contribution the project outputs are making/have made to the outcome- and comment on an observable changes. This is done with the Programme Manager, who has primary responsibility to provide the update on the outcome progress. Have you provided such comments in an APR of your project? If so, how were you able to comment on the outcome?

- What is the partnership strategy that you follow in your project? How do you monitor the strategy?

- What do you envisage doing differently now in respect to monitoring and data gathering?

Participants Instructions Sheet #4

Task 1

Select a project to discuss in your group. To select a project the group members will describe their projects to each other and the group will select the project they want to work on.

Task 2

Use the worksheet below, which is a reproduction of the annual Project Report format for discussing the selected project. You don't need to record the answers- just discuss them in the group.

Use Annex C Annual Project Report- for reference.

You have 1 hour for the two tasks.

ANNUAL PROJECT REPORT (APR)

The format of the APR is **fully flexible**. It must, however, cover the essential elements on results, namely progress towards outcome, outputs produced and relevant efforts on partnerships and soft assistance. Any other element can be added by each office, depending on project and results.

For project: _____*[Insert number and short title: CTY/99/002/D/99 – Poverty alleviation]*

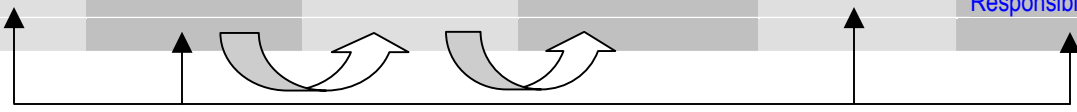
Period covered: _____*[Put the period since last APR. Normally the fiscal year, Jan 2002-Dec 2002]*

PROJECT PERFORMANCE - CONTRIBUTION TO THE SRF GOALS

[The table below briefly analyzes the contribution of the project during the period of review towards the attainment of an outcome. The Project Manager will concentrate on column "Update on outputs" but as the technical expert may have input or views for the column "Update on outcome" as well. Any given project contributes to one outcome. If the project or programme is large with several components it may contribute to more than one outcome – if so, include these as well, or cross-refer outputs to the outcome.]

SRF Goal: [imported from SRF]	**SRF Sub Goal:** [imported from SRF]	**Strategic Area of Support:** [from SRF]

Outcomes	**Update on Outcome**	**Annual outputs**	**Update on Outputs**	**Reasons if progress below target**	**Update on partnership strategies**	**Recommendations and proposed action**
Outcome [from SRF]	A brief analysis on the status of the situation and any observed change, any project contribution.	For SRF outputs, use SRF targets. For other outputs, use project document or workplan.	Achievements of the project in outputs (marking if strategic). Use data from workplan if no SRF targets set.	If applicable. Explores underlying factors and reasons for gaps in output and target.	Brief update on any achievement and/or problem (exception reporting).	Actions on any matter related to outcome, progress of outputs, and/or partnerships. Corrective measures. Responsibilities.



PROJECT PERFORMANCE - IMPLEMENTATION ISSUES

[There may be problems that are generic and not related to any specific output, or that apply to all of them. If so, the Project Manager fills out the "top three" such challenges. If considered indispensable, more can be added, although when the top problems are solved other issues will normally improve, too. If the issues have been covered through the table above, this section can be left empty.]

List the three main challenges (at most, if any) experienced during implementation and propose a way forward. Note any steps already taken to solve the problems.

1. _____
2. _____
3. _____

RATING ON PROGRESS TOWARDS RESULTS

[if the CO has decided to use rating of progress as a tool, the Project manager indicates his/her rating of progress for outputs; subsequently the Programme Manager indicates agreement (or rates differently) and rates progress towards outcome. These ratings can be used by the country office and/or Headquarters for the ROAR analysis, as well as for input to evaluations and other purposes for results validation.]

For outcomes:

- ☐ **Positive Change** (determined by evidence of movement from the baseline towards the end-SRF target measured by an outcome indicator)
- ☐ **Negative Change** (reversal to a level below the baseline measured by an outcome indicator)
- ☐ **Unchanged**

For outputs: Applied to each output target [for the strategic outputs only. If the parties want rating of all outputs, the ones not in the SRF would be based on the Project Document, work plans or any other agreement on expected results.]

- ☐ **No** (not achieved)
- ☐ **Partial** (only if two-thirds or more of a quantitative target is achieved)
- ☐ **Yes** (achieved)

SOFT ASSISTANCE NOT PROVIDED THROUGH PROJECTS OR PROGRAMMES

[Soft assistance contributes to the outcome and/or outputs. This section provides the Project Manager to inform of any activities or issues conducted *not* envisaged in the work plan or yet with concrete results. It aims to identify additional or specific activities that are required to ensure progress towards the outcome. This section of the APR could contribute to the reporting section in the ROAR regarding narrative on "advocacy and policy dialogue", and allows the country office and the project to work in the same direction in advocacy and dialogue. If soft assistance is not an issue for the project or too sensitive to address, this section can be left empty.]

What are the key activities (if any) of soft assistance undertaken by the project?

_____

What are the main constraints in progress towards outcome that require additional soft assistance?

1. _____
2. _____
3. _____

Please propose elements for soft assistance strategy for the next year: _____

LESSONS LEARNED

The lessons learned from the APR should serve as input to the performance analysis of the ROAR as well as the annual review that allows the partners to compile and exchange lessons learned from all projects and APRs.

Describe briefly key lessons learned during the year:

1. _____
2. _____
3. _____

Prepared by: _____ (Project management, name and title)

[Note: Since reporting should as much as possible be electronic for efficiency, signature is not required. The Project Director can transmit it in an Email, through a website or a computer programme.]

Lecturette on Indicators

A note on indicators is given below. You may incorporate it in your discussion. Try to draw out answers from participants.

What is an indicator? *Collect responses on newsprint.*

- ✓ Signs that show the extent of change that resulted from projects or programmes.
- ✓ Indicators help to measure what actually happened in terms of quantity, quality and timeliness against what was planned.
- ✓ They measure progress in achieving outputs & outcomes

When are indicators established? For what purpose and by whom?

Indicators are established at the formulation stage by stakeholders and programme managers to help them measure the extent to which the project interventions contribute to outputs and outcomes.

What do indicators show?

Relevance

- ✓ Do the results meet the aspirations and the needs of stakeholders?
- ✓ Are the results valid and pertinent to the overall goals?

Performance (effectiveness)

- ✓ What progress is being made towards the outcome?
- ✓ Are these the right actions for achieving the outcome?
- ✓ Is this the right strategy to follow? (efficiency)
- ✓ Are the outputs delivered in a timely manner?

Progress (towards meeting outputs/ outcomes)

- ✓ What changes have occurred?
- ✓ Is there a plausible association between the changes and outputs?
- ✓ Do the outputs lead to the expected positive changes or outcomes?

Forging ‘Leave No One Behind’ Principle in Africa: Perspectives of Female Executives on Social Equity

Summit of the Future APRM Policy Brief



Authored by: Dr. Hanan Rizk (NIGSD-Egypt), Dr. Enock Nyorekwa Twinoburyo (SDGCA-Rwanda), Ms. Sara Hamouda (APRM Continental Secretariat, South Africa)
Reviewed by: Dr. Sherifa Sherif, and Ms. Caroline Makasa

What's social equity and why it matters for LNOB?

Leave No One Behind (LNOB), a core principle of the 2030 Agenda for Sustainable Development and its Sustainable Development Goals (SDGs), is a commitment by UN member states "to eradicate poverty in all its forms, end discrimination and exclusion and reduce the inequalities and vulnerabilities". The United Nations Committee of Experts of Public Administration endorsed LNOB as a key principle for effective governance for sustainable development, aligning it with the goals of Agenda 2063. Social equity emerged as a crucial strategy for achieving LNOB at the national level, particularly in areas like gender equality (SDG5).

Figure 2 Challenges of Leave No One Behind

Figure 1 Challenges of Leave No One Behind

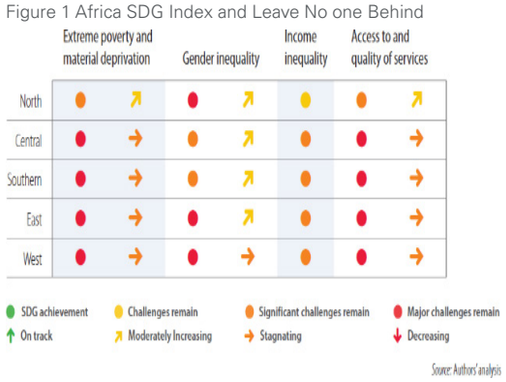


LNOB addresses inequity both vertically, amongst individuals and households, and horizontally, through group-based discrimination. This principle is central to 13 of the 17 goals (Gupta & Vegelin, 2016)[1]. For example, it focuses on reaching those furthest behind across the SDGs, including ending extreme poverty (SDG #1), reducing inequalities (SDG #10), ending group-based discrimination and advancing good governance practice (SDG #16) (Stuart & Samman, 2017).

LNOB, with social equity at its core, includes not only reducing disparities across income and wealth but also increasing access to basic services such as education, health, clean water and social protection programs. For example, SDG#10 aims to reduce inequalities both within and between countries, addressing equality and equity issues. This goal not only covers income disparities but also recognizes key attributes such as deprivation and disadvantage that are linked in exclusionary practices and policies in societies.

The Leave No One Behind principle is considered as a major challenge to the effective implementation and monitoring of the SDGs in Africa (The SDGs Centre for Africa and Sustainable Development Solutions Network, 2020, p. 1). The **Leave No One Behind Index** from the **Africa 2020 SDG Index and Dashboard** highlights that stagnation remains the dominant trend across the continent (see Figure 1)[2]

Figure 1 Africa SDG Index and Leave No one Behind



Source: Authors' analysis

1 Among the 17 SDGs, these include: no poverty (SDG 1), zero hunger (SDG 2), good health (SDG 3), quality education (SDG 4), gender equality (SDG 5), clean water (SDG 6), affordable and clean energy (SDG 7), decent work and economic growth (SDG 8), industry, innovation and infrastructure (SDG 9), reduced inequalities (SDG 10), sustainable cities and communities (SDG 11), life on land (SDG 15) and peace, justice and strong institutions (SDG 16) (The SDGs Center for Africa, 2021).

2 The Sustainable Development Goals Centre for Africa and Sustainable Development Solutions Network (2020). Africa SDG Index and Dashboard

The Index further highlights several critical challenges that are relevant to the toolkit and warrant careful consideration in the context of LNOB implementation (see Figure 1). These challenges offer valuable insights into the barriers faced by African countries in achieving the Sustainable Development Goals and emphasize the importance of targeted strategies for addressing gaps in social equity and inclusion.

Source: The Sustainable Development Goals Centre for Africa and Sustainable Development Solutions Network (2020)

The LNOB principle necessitates a social equity framing to the formation, implementation and monitoring of public policies and development goals.

Social equity is about ensuring that all individuals have equal opportunities to participate fully in the political and cultural life of a community. This includes guaranteeing access to rights, services and protections, as well as ensuring the fair distribution of public services. It promotes fairness and justice in the formation, implementation and monitoring of public policies[3]. It ensures that every individual has the same (equal) opportunities for well-being and access to public goods and social services[4].

Social equity goes beyond ensuring equal opportunities for well-being and access to public goods and social services. It contributes to the overall social inclusion and cohesion of society by creating an environment of participation and access to decision making[5]. This allows individuals from all backgrounds to fully take part in society, regardless of their circumstances.

Initiated toolkit on Social Equity: Objectives and Assumptions

The African Peer Review Mechanism, a self-monitoring governance mechanism, has incorporated aspects of Leave No One Behind (LNOB) into its governance review process. This is evident in the APRM base questionnaire, which includes elements on socio-economic governance policies and disaster preparedness – both crucial aspects of achieving LNOB. Guided by its mandate to support African countries in monitoring progress towards the 2030 Agenda and Agenda 2063, the APRM also collaborated with other organizations to conduct a baseline study on Africa's awareness, knowledge and implementation of effective governance for sustainable development [6].

This baseline study stemmed from recommendations made during the APRM Africa Regional Workshop on CEPA Principles, held in Pretoria, South Africa (30th of October – 1st of November, 2019). As a result of the workshop, the APRM and the United Nations Department of Economic and Social Affairs (UN DESA) decided to conduct a join study on the implementation of the eleven principles of effective governance for sustainable development in Africa.

The baseline study identified "Leaving No One Behind" and "Intergenerational Equity" as the principles least implemented by many countries. To address this, UN DESA/DPIDG developed strategy guidance notes, presented at workshops in March 2022. Additionally, the APRM consulted countries on the most pressing issues governments should consider post-COVID-19 to promote responsive and agile public institutions. Social equity was identified as a key strategy, offering a positive opportunity to address social inequalities exacerbated by the pandemic's negative consequences.

Given these insights, the APRM in collaboration with the National Institute of Governance and Sustainable Development (NIGSD) and other experts, developed a toolkit on social equity designed to enhance monitoring of this strategy in Africa. The toolkit consists of a set of questions that African agencies are encouraged to tailor according to their contexts and needs to optimize outcomes while implementing state-oriented developmental goals and trajectories.

1 National Academy of Public Administration, 2000; https://archive.unescwa.org/social-equity.

2 https://www.un.org/womenwatch/osagi/conceptsandefinitions.htm.

3 https://www.un.org/esa/socdev/documents/compilation-brochure.pdf.

4 https://publicadministration.un.org/Portals/1/Images/African_regional_workshop/final_report.pdf.

The questions included in the LNOB toolkit are informed by a literature review, primary data sources through interviews, consultations and surveys alongside the five thematic areas of the APRM: democracy and political governance, economic governance and management, corporate governance, broad social sustained economic development and state resilience to shocks and disasters.

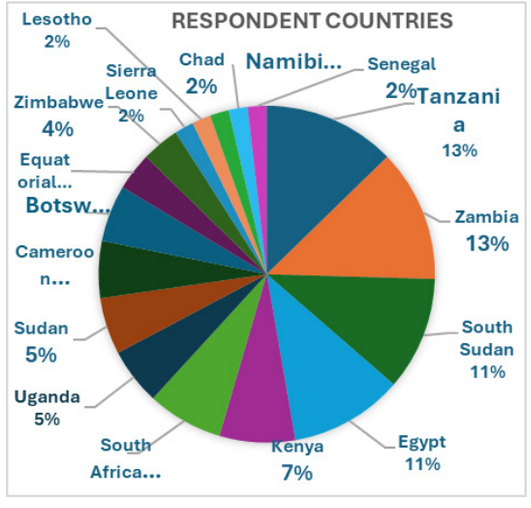
Note that the questions in this toolkit are not exhaustive and countries and agencies are encouraged to tailor questions and their approach according to their contexts and needs.

Findings of the Social Equity toolkit

The validation of the highlighted toolkit took place in different continental forums, including the African Association for Public Administration Conference in Cape Town 2022 and the Women Leadership program in Cairo March 2024. The following results emerged:

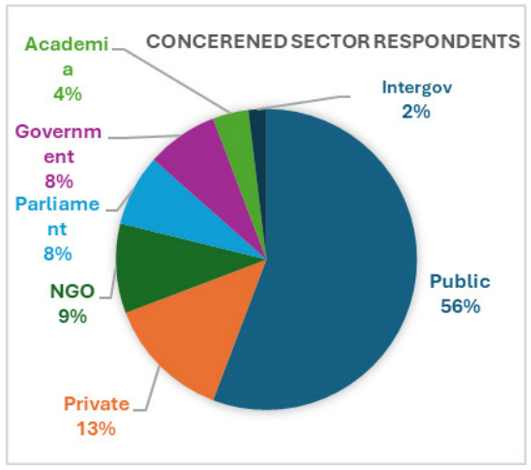
The purposive sample (see Figure 3) of fifty-five (55) African female executives from seventeen (17) African countries was selected for the toolkit validation. This sample was chosen to ensure representation from diverse regions and backgrounds within Africa.

Figure 3 Respondent African countries to the APRM-NIGSD Toolkit:



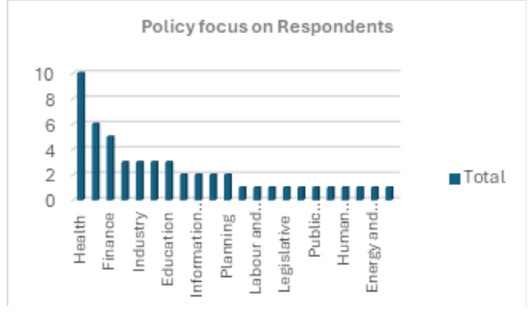
The female respondents also have diverse professional backgrounds (See Figure 4), but the majority represent public sector institutions (52%), followed by 11% from the private sector, 9% from Non-Governmental Organisations, 8% from the Parliament, 6% from the Government and 4% from academia. The selection of government officials as respondents in the LNOB policy brief reflects their role in policy formulation, access to key data, decision-making authority, and institutional accountability, providing critical insights into the implementation and challenges of LNOB initiatives.

Figure 4: concerned sector of respondents



Most of the respondents to the toolkit are also working for important sectors (see Figure 5), including health, finance, industrialization, as well as gender, communication and information.

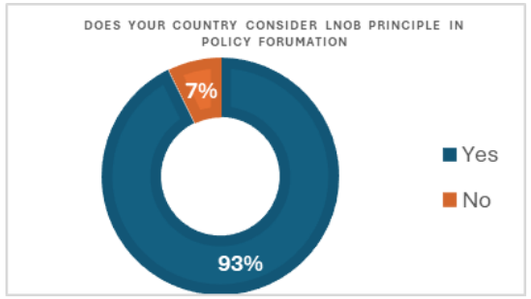
Figure 5 Policy area of focus by respondents



Application of LNOB at national level

Majority of respondents (93% as shown in Figure 6) confirmed that their countries adopt national policies to promote the Leaving No One Behind principle.

Figure 6. Consideration of LNOB by the Gov



The responses can be categorized according to the following:

- **Inclusive Policy and Legislative Frameworks**

  African countries such as Egypt, Tanzania, Zambia, Kenya, Botswana and South Africa incorporated LNOB through the formulation of inclusive policies. For example, they enshrined LNOB in their Constitutions and legal frameworks, developed policies and laws for inclusive participation, implemented the Economic Inclusion Act, and adopted gender equality and social inclusion strategies.

  Respondents highlighted the importance of gender mainstreaming policies and affirmative action initiatives to promote inclusive participation. For instance, one respondent noted, **"Empowering women to take leadership roles through affirmative action has been essential in ensuring that marginalized voices are heard in decision-making processes."** Countries like South Africa and Kenya have shown success in increasing female representation in parliament and government roles as a direct result of these policies.

- **Access to Healthcare and Services**

  Several African countries, such as Namibia, Kenya, and Uganda, highlighted various ways they are incorporating the Leave No One Behind (LNOB) principle into healthcare services. These countries are committed to providing public healthcare services to all citizens, regardless of their social or economic status, ensuring that healthcare is a universal right. They have subscribed to universal health coverage (UHC), a system that guarantees healthcare accessibility for all people, particularly those in marginalized groups. As one executive stated, **"Providing free healthcare services for vulnerable populations, including women and children, has significantly improved health outcomes."**

  This commitment is reinforced by the redistribution of national resources through targeted safety nets and social protection programs, focusing on vulnerable populations like women, youth, and the less privileged.

  For example, **SAGE** (Social Assistance Grants for Empowerment) a Ugandan government program of cash transfers (also known as Senior Citizens Grant) provides a bimonthly cash grant to those above the age of 80 (60 and 65 in some areas). SAGE has significantly reduced poverty, improved the lives of many vulnerable Ugandans, and contributed to broader economic development by stimulating local economies and increasing household spending[7].

- **Training and Capacity Building**

  Countries like Cameroon and Tanzania have prioritized **training and capacity building** as essential tools for fostering inclusiveness and gender equality within their governments. They offer **continuous**

7 https://documents.worldbank.org/en/publication/documents-reports/documentdetail/099135006292235162/P177616052869 00b10899b0798dcd703d85.

training and sensitization seminars for civil servants on the significance of Leaving No One Behind. Additionally, these governments run **training programs for public administrators and employees** across various sectors to promote inclusivity in public service. Capacity building is further enhanced through **workshops, conferences, and participatory approaches** to decision-making, where public servants can actively contribute to policy development and implementation. These initiatives empower public sector employees with the tools to integrate inclusivity into their daily work, ultimately fostering a more equitable environment.

- **Economic and Social Empowerment**

Experts from Namibia, Equatorial Guinea, and Zimbabwe highlighted the importance of **economic and social empowerment** in achieving social equity. One key focus is the **empowerment of women and youth**, particularly in leadership roles and entrepreneurship. These countries have launched programs to **support women in business**, with a particular emphasis on preparing them to become export ready. This economic empowerment is further strengthened through the **redistribution of resources**, aimed at addressing economic inequalities and promoting social protection for vulnerable groups. These efforts ensure that LNOB is not just a social principle, but also an economic one, contributing to the overall prosperity of the nation.

- **Inclusive Participation and Engagement**

Inclusive participation is a cornerstone of the LNOB principle, as highlighted by respondents from various countries. The importance of **engaging stakeholders in decision-making and service delivery** is paramount to achieving equity. Respondents emphasized the need for **inclusive participation in planning, implementation, and reporting**, ensuring that all voices are heard throughout the process. In this regard, **multisectoral collaboration** between Civil Society Organizations (CSOs), government, the private sector, and development partners is essential. Moreover, engaging marginalized communities through **intergenerational dialogue** ensures that LNOB strategies are inclusive and reflect the needs of all segments of society.

- **Monitoring, Accountability, and Impact Assessment**

Furthermore, respondents also stressed the critical role of **monitoring, accountability, and impact assessment** in the implementation of LNOB strategies. Identifying **who is being left behind** and addressing the root causes of their exclusion is a key priority. This requires **monitoring and measuring progress** to ensure that policies are achieving their intended goals. Additionally, ensuring **accountability for LNOB principles** is essential, particularly through impact assessments of funded projects to confirm they are inclusive and equitable. These mechanisms help governments track the effectiveness of their interventions and make necessary adjustments to ensure that no one is left behind.

- **Public Engagement and Representation**

The role of public engagement and representation is critical to ensuring sustainable and inclusive development. Respondents noted the importance of contributing to sustainable development initiatives, ensuring that the benefits are long-lasting and accessible to all. Parliament's role in law-making, representation, and oversight is crucial in driving the LNOB agenda forward. By addressing issues of equality across all sectors of society, governments can work towards creating an inclusive society that benefits everyone. In addition, ensuring that the content and tools for building an inclusive society are accessible to all citizens is a fundamental aspect of public engagement.

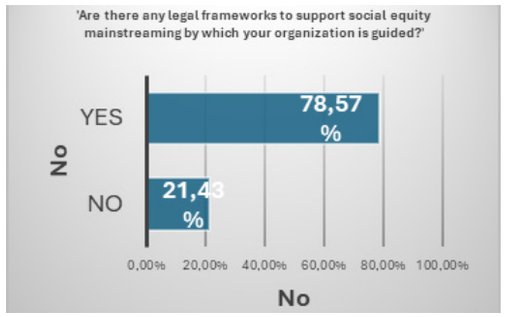
Successful initiatives for promoting social equity

Countries across Africa have implemented initiatives focused on enhancing social equity, particularly through **gender mainstreaming policies** and **affirmative actions**. These efforts are central to ensuring that disadvantaged groups, including women, youth, and the physically challenged, are given equal opportunities to participate in national development. Furthermore, they are essential for creating a more just and equitable society.

- **Gender mainstreaming policies and affirmative actions**

One of the prominent strategies has been the development of policies on gender, social inclusion, and equity. These policies establish a legal framework for promoting equality across all sectors. In many countries, inclusion laws have been implemented to ensure that marginalized groups are represented and given a voice in governance. Furthermore, three quarters of respondents indicated that their legal frameworks support social equity mainstreaming. For instance, the establishment of Gender Mainstreaming Committees within governmental ministries in several nations ensures that gender equity is actively pursued in all public sector decision-making processes.

Figure 7. Legal Frameworks to support social equity mainstreaming



Countries like Uganda have implemented an additional strategy by providing equal quotas for disadvantaged groups, including women and the physically challenged, to ensure their representation in public office. This policy ensures their representation in public office, for example, by allocating each district a Women Member of Parliament, bringing the total number of District Women Representatives to 146.In total, there are 189 Women MPs, including 14 Ex officio Members, constituting 34% of the 11th Parliament[8].This form of affirmative action ensures that women's voices are included in national governance. Similarly, in some countries, women are granted 34% of seats in Parliament as part of permanent constitutional provisions, highlighting the success of gender mainstreaming efforts in fostering political inclusivity.

Additionally, governments have adopted measures such as reserving certain procurement opportunities for marginalized groups. This initiative ensures that disadvantaged members of society have access to government contracts and economic opportunities, thereby empowering them economically and socially.

Efforts to combat **gender-based violence** (GBV) have been essential for advancing social equity. In this regard, **South Africa** has enacted the **Domestic Violence Act**; **Kenya** has prohibited **sexual offenses, domestic violence, and FGM**; **Uganda** has criminalized **sexual assault, rape, and domestic violence**; and **Nigeria** has passed the **Violence Against Persons Prohibition Act**, covering various forms of GBV. Through **awareness creation and social campaigns**, governments and civil society organizations have worked together to raise awareness about the impacts of GBV and to promote a culture of gender equality and non-violence for all individuals, regardless of gender. These campaigns help shift societal attitudes, reducing the incidence of violence and promoting gender equality. Awareness

8 https://www.parliament.go.ug/page/uganda-women-parliamentary-association-uwopa.

efforts are further complemented by legal reforms that aim to protect women and other vulnerable groups from violence and discrimination.

- **Health and Well-being**

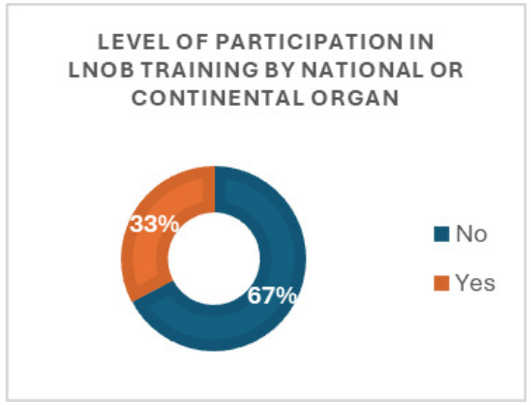
Countries have adopted several health-focused initiatives to promote social equity and ensure the well-being of marginalized groups. The introduction of **Universal Health Coverage (UHC)** and the deployment of **Community Health Promoters in rural areas** have significantly improved access to healthcare for underserved populations. Furthermore, legal frameworks are crucial for leveraging Universal Health Coverage (UHC) in many African countries, ensuring efficient, sustainable, and equitable health systems for all populations[9]. These initiatives ensure that even the most remote communities receive essential medical care. Additionally, the **provision of free healthcare services to pregnant women and under-five children** has contributed significantly to reducing maternal and infant mortality rates. In addressing life-limiting illnesses, **cross-generational initiatives in palliative medicine** have been introduced to support patients and their families. **Social exemptions** are also provided to marginalized groups, enabling them to access critical health services without financial barriers. Some countries have taken a further step by **registering all households for mandatory healthcare insurance**, ensuring comprehensive health coverage for all citizens.

- **Education and Capacity Building**

In the realm of education and capacity building, various initiatives have been introduced to foster social equity. **Training programs on anti-corruption strategies and women empowerment** have demonstrated success in creating a more inclusive society. For example, a study by the United Nations Office on Drugs and Crime (UNODC) in Nigeria found that anti-corruption training programs enhanced women's knowledge and skills, enabling them to play a more active role in their communities[10]. Similarly, **awareness creation on gender roles** and **education on human rights, gender studies, and political participation**—such as the South Sudan Women Leadership Forum—empowers women to advocate for themselves and participate in governance. Furthermore, initiatives that promote **high-quality education** for all, especially in disadvantaged regions, ensure that individuals from marginalized communities are better prepared to participate in the workforce and contribute to national development.

According to Figure 8, only 33% of respondents have participated in LNOB training, indicating a significant gap in awareness and capacity building. This highlights the need for enhanced training initiatives to ensure that LNOB principles are widely understood and implemented.

Figure 8: Level of Participation in LNOB training at national/ continental level



- **Economic Empowerment, environmental and sustainability programs**

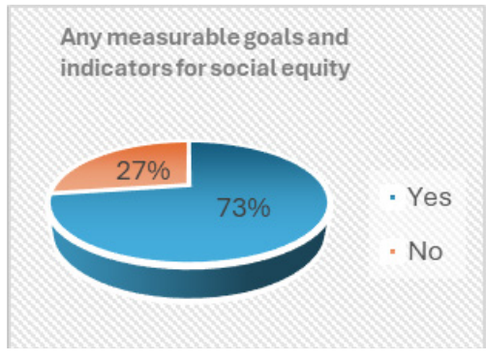
Respondents emphasized the crucial role of economic empowerment in advancing social equity, particularly by focusing on the empowerment of women and youth. Initiatives such as business development programs for female entrepreneurs and leadership training for youth have significantly contributed to economic growth and social inclusion. One respondent highlighted the success of targeted interventions, stating, "Support for women-owned businesses has increased access to markets and opportunities," illustrating the significant positive impacts of empowering marginalized groups. Other initiatives include cash transfers to informal sector employees impacted by COVID-19 lockdowns, cash benefits to vulnerable community members, and the increased allocation of Constituency Development Funds (CDFs). The establishment of Parliamentary Budget Offices has further enhanced transparency in budget analysis and spending. Additionally, programs aimed at supporting disabled individuals through the provision of specialized equipment have promoted equal opportunities. Furthermore, environmental sustainability efforts, such as Botswana's Biogas digester initiative and the global single-use plastic movement, are also instrumental in fostering inclusive and eco-conscious communities.

- **Public Administration and Policy**

Respondents discussed reforms focused on promoting social equity. Efforts include the development of strategic reform plans for public administration structures and legislation designed to reduce disparities. Notable examples include Egypt's "**Hayah Karema**" initiative, which focuses on improving the quality of life for disadvantaged groups, and the introduction of the Parliamentary Budget Office for comprehensive budget analysis.

Additionally, the promotion of female leadership, as highlighted by the appointment of the first female Prime Minister, not only symbolizes gender equality but also reflects a broader commitment to embedding measurable social equity goals into policy and governance structures. This is further emphasized by the 73% of respondents (See Figure 9) who have already implemented such goals and indicators, showcasing the strategic efforts to reduce inequities across various regions.

Figure 9: Measurability of Social Equity



- **Cultural and Community Initiatives**

Cultural and community-based initiatives also play a significant role in promoting social equity and supporting vulnerable groups. The celebration of International Women's Day (IWD) 2024 at the Women's Jail at Constitution Hill, a site with deep historical significance, highlights the ongoing struggle for equality and justice. Additionally, other community-driven initiatives, such as cross-generational palliative care programs and various development projects, aim to uplift vulnerable populations by ensuring access to basic services and creating a more inclusive society. These categories cover a broad range of initiatives aimed at promoting social equity, improving public health, empowering marginalized groups, and fostering sustainable development.

Key challenges to the Leave No One Behind principle in African context

Respondents argued certain constraints including:

- **Resources**

Limited resources were identified as a major constraint to social equity policies across African countries. Many nations face difficulty in mobilizing the necessary human and financial resources

9 WHO Africa Newsletter Q2_2024.pdf
10 https://www.unodc.org/conig/uploads/documents/Gender_Corruption_Dec2020.pdf.

to implement and sustain inclusive policies. Factors like poverty, economic instability, and reliance on foreign aid can all contribute to this challenge.

The lack of resources is particularly evident in the area of healthcare, while many African countries have incorporated Universal Health Coverage (UHC) into their national health strategies, progress in mobilizing sufficient domestic resources, improving development assistance, and ensuring equitable, high-quality health services with enhanced financial protection has been slow[11]. As a result, less than half of the population in Africa has access to the healthcare services they need[12].

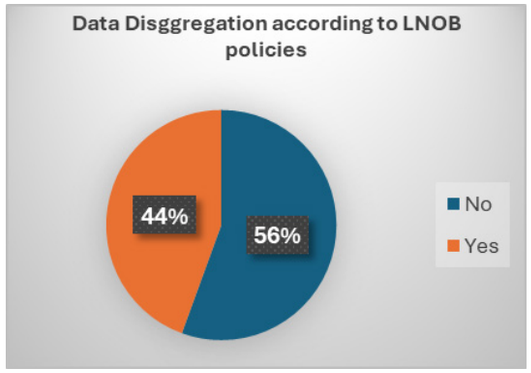
Limited resources can also hinder progress in other areas crucial for social equity, namely education, economic empowerment programs, and social safety nets. To address these challenges, African countries may need to explore innovative financing mechanisms, improve tax collection efficiency, and attract more foreign investment focused on social development.

- **Data availability**

  Limited access to accurate and disaggregated data is another critical challenge that hampers the effective targeting of vulnerable populations. Without reliable data, it becomes difficult for governments to identify who is being left behind, tailor programs accordingly, and ensure efficient resource allocation and effective policy implementation. **Data privacy concerns**, such as data security, consent, and the misuse of personal information, can also hinder data collection and dissemination. Additionally, communication challenges between national actors, including lack of coordination, different data standards, and language barriers, can contribute to the problem.

  Only 42% of respondents (See Figure 10) have data disaggregated by Leave No One Behind (LNOB) criteria, highlighting a significant data challenge in addressing equity gaps

Figure 10. LNOB Data Disaggregation



As one executive noted, 'Without proper data, it's difficult to know who is being left behind and to tailor programs to reach them.'

- **Infrastructure and connectivity**

  Poor infrastructure, particularly in remote and rural areas, presents significant barriers to accessing essential services such as healthcare, education, and social safety nets. **Geographic and accessibility barriers**, compounded by underdeveloped infrastructure, make it challenging for vulnerable populations to benefit from these critical services. Limited access to transportation due to poor roads can prevent people from reaching healthcare facilities or participating in economic opportunities.

  Additionally, **language and cultural barriers** further hinder the delivery of critical services. A lack of translated materials or culturally insensitive service providers can create obstacles for marginalized groups in accessing essential services.

  This lack of adequate infrastructure also limits the deployment of assistive technologies, which are necessary for bridging the equity gap. The findings are corroborated by a recent SDGCA study[13] that revealed a disparity in access to quality infrastructure for rural areas and a correlation with higher levels of social exclusion, particularly impacting women and youth.

- **Participation, Engagement and awareness**

  Ensuring broad participation and engagement from marginalized communities remains a significant challenge. Many countries have trouble in encouraging inclusive participation, partly due to a **lack of representation**, reluctance among disadvantaged groups to participate, and fear of discrimination. Community leaders play a crucial role in addressing these concerns and promoting participation. Strategies to increase participation and engagement include community-based initiatives, education programs, and communication campaigns that raise awareness about available services and rights. By addressing these challenges and implementing effective strategies, governments and civil society organizations can create a more inclusive and equitable society.

- **Mindset and Behavioural Challenges**

  Prevalent mindset and behavioural attitudes within communities and the workforce are significant barriers to social equity. Many individuals demonstrate a poor mindset towards financial independence, often relying on handouts rather than seeking self-sustaining solutions. This dependency culture stifles innovation and entrepreneurship, leading to poverty, social exclusion, and limited economic opportunities. Underlying causes of these mindsets and behaviours may include lack of education, cultural beliefs, or past experiences of discrimination. Additionally, there is resistance to learning and adopting new technologies or innovative practices,

  further slowing progress toward inclusive economic participation. In the labour market, many workers show disinterest in engaging at various job levels, preferring limited roles that match their current skills, which constrains the opportunities for skill development and economic mobility.

- **Legislative, Policy and Institutional weakness**

  The shortcomings of legal and policy frameworks featured prominently amongst responses from women executives. **Inconsistent and incomplete laws** lead to inconsistencies and loopholes that fail to protect vulnerable populations. **Weak enforcement mechanisms**, due to limited resources and corruption, further undermine these frameworks. Additionally, **limited public awareness and understanding** of legal rights contribute to non-compliance and discrimination. Moreover, social **exclusion and cultural barriers** hinder marginalized groups' access to justice. Finally, **high legal costs** and **geographic barriers** further restrict access to legal remedies for those most in need.

  These interconnected obstacles collectively hinder the realization of the LNOB principle. For instance, the **lack of resources** directly affects the ability to improve **infrastructure** and **data systems**, both of which are critical for identifying and supporting marginalized populations. Similarly, **data challenges** impede the monitoring and evaluation of programs, making it difficult to assess the impact of policies on vulnerable groups. Addressing these challenges requires a holistic approach that recognizes the interconnected nature of these issues, ensuring that efforts to improve one area are complemented by progress in others.

11 https://www.worldbank.org/en/topic/universalhealthcoverage/publication/universal-health-coverage-in-africa-a-framework-for-action.
12 https://ahaic.org/download/the-state-of-universal-health-coverage-in-africa/.
13 https://sdgcafrica.org/wp-content/uploads/2021/07/20210721_Full_Report_Final_Web_En.pdf.

Conclusion

In conclusion, promoting social equity through the lens of LNOB is critical for achieving sustainable development in Africa. Social equity contributes to improved economic growth, increased social cohesion, and enhanced environmental sustainability. By ensuring that all individuals have equal opportunities and access to essential services, we can create a more just and prosperous society for all.

This toolkit[14] is an initial effort by African experts to enhance LNOB/Social equity measurability at the national level. The African Peer Review Mechanism can leverage this toolkit to enhance reporting on socio-economic governance policies.

The insights gathered from African female executives highlight both the achievements and challenges in implementing LNOB policies.

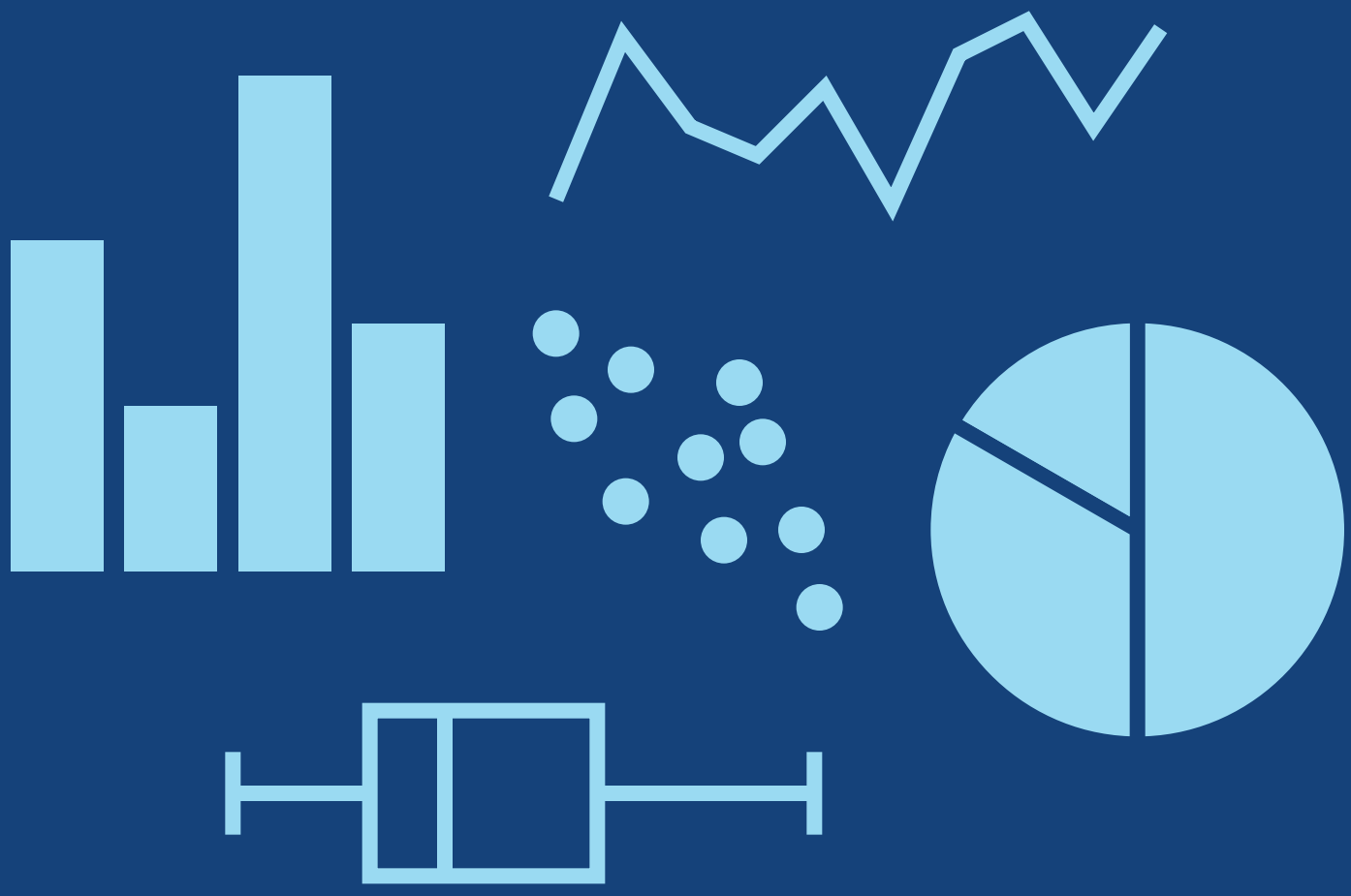
Significant progress has been made, but to ensure that no one is left behind, targeted and evidence-based interventions are essential. Governments and development partners must prioritize the development of robust legal frameworks, invest in comprehensive, disaggregated data systems, and expand Universal Health Coverage (UHC), education reforms, and economic empowerment programs.

Furthermore, addressing gaps in resource mobilization, data availability, and community engagement is crucial. Governments should focus on enhancing inclusive policy frameworks, improving data collection mechanisms, and strengthening monitoring and accountability systems. Strengthening gender mainstreaming across all sectors, expanding healthcare and social protection services to marginalized groups, and promoting economic empowerment initiatives for women and youth will be pivotal.

To truly embody the promise of Leave No One Behind, it is essential to foster a culture of transparency and accountability, coupled with active public engagement. Coordinated, transparent, and inclusive efforts are necessary to ensure that the 2030 Agenda and Agenda 2063 are achieved, making the vision of social equity a reality for all.

14 the toolkit is available in the APRM publication https://aprm.au.int/en/documents/2024-04-08/composite-practical-toolkits-implementation-principles-effe.

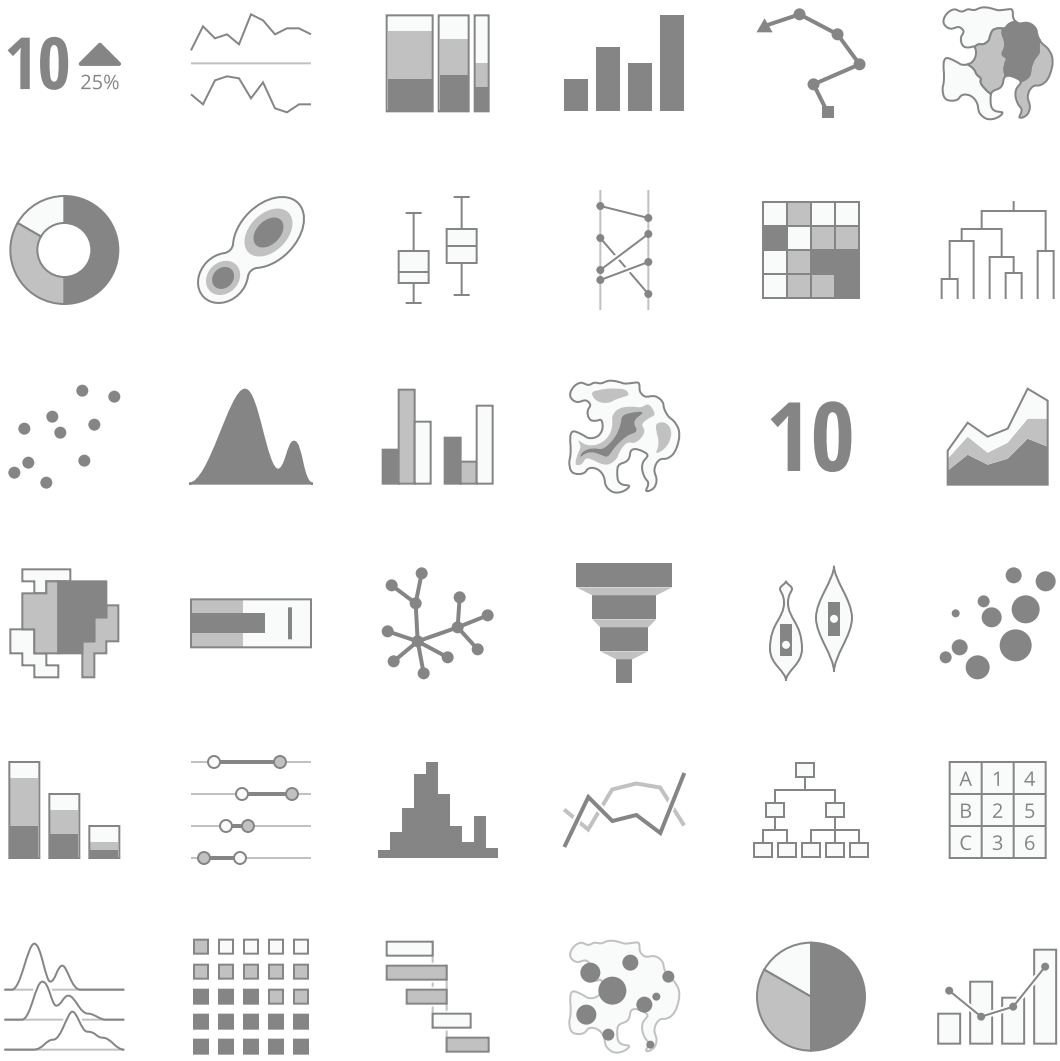
How to Choose the Right Data Visualization



CHARTIO

How to Choose the Right Data Visualization

by Mike Yi



CHARTIO

Introduction

Data visualizations are a vital component of a data analysis, as they have the ability to efficiently summarize large amounts of data through a graphical format. There are many chart types available, each with their own strengths and use cases. One of the trickiest parts of the analysis process is choosing the right way to represent your data using one of these visualizations.

When deciding on a chart type, first think about the type of role the chart will serve. Common roles for data visualization include:

- showing change over time
- showing a part-to-whole composition
- depicting flows and processes
- looking at how data is distributed
- comparing values between groups
- observing relationships between variables
- looking at geographical data

Next, consider the types of data you want to plot. The type of chart you use will depend on if the data is categorical, numeric, or some combination of both. Certain visualizations can also be used for multiple purposes depending on these factors. This book is organized with this approach in mind, with one chapter for each visualization role, each with multiple chart types to cover common types of data and subtasks.

Note that this document should only serve as a general guideline: it is possible that breaking out of the standard modes will help you gain additional insights. Experiment with not just different chart types, but also how the variables are encoded in each chart. It's also good to keep in mind that you aren't limited to showing everything in just one plot. It is often better to keep each individual plot as simple and clear as possible, and instead use multiple plots to make comparisons, show trends, and demonstrate relationships between multiple variables.

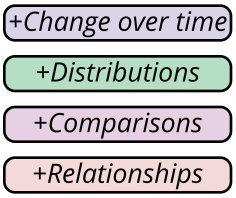
How this book is organized

This book is divided into chapters, one for each of the main categories for using a data visualization. Each chapter is headed by a short introduction, followed by a list of chart types falling in that category. Each chart type is accompanied by a short description and one or more icons. Below is a key for decoding these symbols:

- **BASIC:** Chart types with this icon represent typical or standard chart types. When you need to create a data visualization, try to see if one of these chart types works first, before deciding on an uncommon or advanced type.

- **UNCOMMON**: Chart types with this icon are slightly more unusual than the most common chart types. Use cases for these charts are more specialized than other chart types in that same category or more frequently seen in other roles.

- **ADVANCED**: Chart types with this icon are even more specialized in their roles. Make sure that the chart type is the best one for your use case before implementing it. Sometimes, these chart types will not be built into visualization software or libraries, and additional work will need to be done to put these types of chart together.



Connection icons: Some chart types appear in multiple chapters of the book, having either multiple use cases or use cases that straddle multiple roles. In these cases, you'll see a rounded rectangle with its entry noting the other chapters in which that chart type directly appears.

Chart types seen in boxes represent sub-topics within each visualization role; these will have more specialized and advanced use cases.

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Raw numbers: just showing the data

It is important to keep in mind that you don't always need to use a chart to depict your data. Sometimes, just showing the data as text is the most effective way of conveying information.



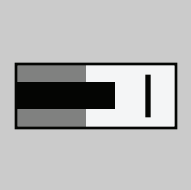
Single value chart ●

When you just have one number, it's best to just report it as-is. Plotting a single value graphically (such as with a bar or point) usually isn't meaningful if there aren't other values to compare it to.



Single value with indicator ●

An indicator compares the single value to a second number. This is often to compare a metric's value between the current period and the previous period.



Bullet chart ●

Chart type comparing a single value to another number, often a benchmark rather than another data point. The single value is shown with a bar's length, while comparison points are shown as shaded regions or a perpendicular line.

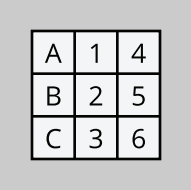


Table ●

Compares data points (rows) across multiple different attributes (columns). Usually sorted by an important or prominent attribute to improve utility.

Charts for showing change over time

One of the most common applications for visualizing data is to see the change in numeric value for a feature or metric across time. These charts usually have time on the horizontal axis, moving from left to right, with the variable of interest's values on the vertical axis.



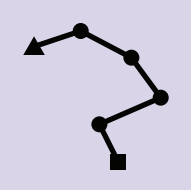
Line chart ● *+Comparisons*

Most common chart type for showing change over time. A point is plotted for each time period from left to right; each point's vertical position indicates the feature's value. Points are connected by line segments to emphasize progression across time.



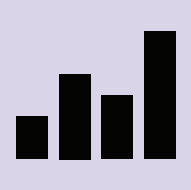
Sparkline ● *+Comparisons*

A miniature line chart with little to no labeling, designed to be placed alongside text or in tables. Provides a high-level overview without attracting too much attention. Can also be seen in a sparkbar form, or miniature bar chart (see below).



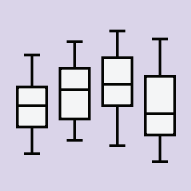
Connected scatter plot ◆ *+Relationships*

Shows change over time across two numeric variables (see scatter plot in *Relationships*). Line segments still connect points across time, but they may not consistently go from left to right like in a line chart.



Bar chart ● *+Distributions* *+Comparisons*

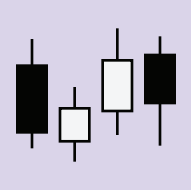
Each time period is associated with a bar; each bar's value is represented in its height above (or below) a zero-baseline. Works best when there aren't too many time periods to show.



Box plot +Distributions +Comparisons

Each time period is associated with a box and whiskers; each set of box and whiskers shows the range of the most common data values. Best when there are multiple recordings for each time period and a distribution of values needs to be plotted.

Tracking change over time is of key interest in the financial domain. One specialist chart developed for this field includes the following:



Candlestick chart

Looks like a box plot, but each box and whiskers encodes different statistics. The box ends indicate opening and closing prices, while color indicates the direction of change.

Charts for showing part-to-whole composition

Sometimes, we need to know not just a total, but the components that comprise that total. While other charts like a standard bar chart can be used to compare the values of the components, the following charts put the part-to-whole decomposition at the forefront.



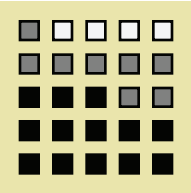
Pie chart 

The whole is represented by a filled circle. Parts are proportional slices from that circle, one for each categorical group. Best with five or fewer slices with distinct proportions.



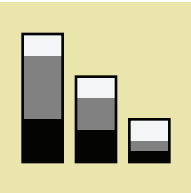
Doughnut chart 

A pie chart with a hole in the center. This central area can be used to show a relevant single numeric value. Sometimes used as an aesthetic alternative to a standard progress bar (see stacked bar chart below).



Waffle chart / grid plot 

Squares laid out in a (typically) 10 x 10 grid; each square represents one percent of the whole. Squares are colored based on categorical group size.



Stacked bar chart 

A bar chart (see *Change over time* or *Distributions*) where each bar has been divided into multiple sub-bars to show a part-to-whole breakdown. A single stacked bar can be used as an alternative to the pie or doughnut chart; people tend to make more precise judgments of length over area or angle.



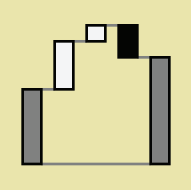
Stacked area chart ●

A line chart (see *Change over time*) where shaded regions are added under the line to divide the total into sub-group values.



Stream graph ◆

Modified version of the stacked area chart where areas are stacked around a central axis. Highlights relative changes instead of exact values.



Waterfall chart ◆

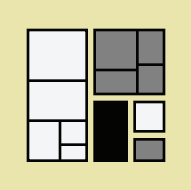
Augments a change over time with a part-to-whole decomposition. Bars on the ends depict values at two time points, and lengths of intermediate floating bars' show the decomposition of the change between points.

Certain part-to-whole compositions follow a hierarchical form. In these cases, each part can be divided into finer parts on lower levels. Here are a couple of more specialized chart types for visualizing this type of data:



Mosaic plot / Marimekko chart ■

Can be thought of as a stacked bar divided on both axes. A box is divided on one axis based on one categorical variable, then each sub-box is divided in the other axis based on a second categorical variable.

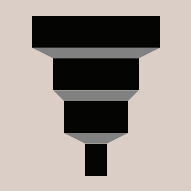


Treemap ◆

Can be thought of as a more generalized Marimekko plot. Sub-boxes do not need to have a consistent cut direction at a particular hierarchy level, and there can be more than two levels of hierarchy.

Charts for depicting flows and processes

A more specialized use for charts related to decomposition of a whole is the tracking of the flow of amounts across a multi-stage process. At their most advanced, these charts can efficiently show how multiple inputs are transformed into multiple outputs.



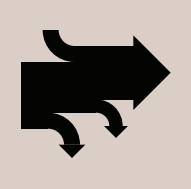
Funnel chart ■

Seen in business contexts, showing how people encounter a product and eventually become users or customers. One bar is plotted for each stage, whose lengths reflect the number of users. Connecting regions emphasize connections in stages and give the chart type's namesake shape.



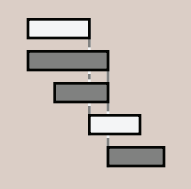
Parallel sets chart ◆

Multiple part-to-whole divisions on different dimensions are depicted as parallel stacked bars. Connecting regions show how different subgroups relate to one another between dimensions.



Sankey diagram ◆

The width of the colored region shows the relative volume at each part of a process. Allows for multiple sources of inputs and outputs to be visualized.



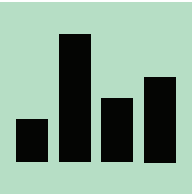
Gantt chart ■

Used for project scheduling, breaking them down into individual tasks. Each task is associated with a bar, providing a timeline for when each task should begin and end.

Charts for looking at how data is distributed

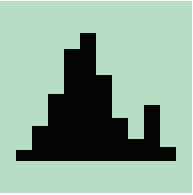
One important use for visualizations is to show how data points' values are distributed. This is particularly useful during the exploration process, when trying to build an understanding of the properties of data features.

Note: Charts for visualizing data distributions across two or more variables are covered in the Relationships chapter.



Bar chart ● *+Change over time* *+Comparisons*

Used when a variable is qualitative or takes discrete values. The height of each bar indicates the amount of each categorical group.



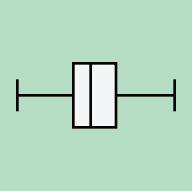
Histogram ●

Similar to a bar chart, but used when a variable takes continuous numeric values. The variable's numeric range is divided into bins for aggregating counts. Bars are plotted flush against each other to emphasize the variable's continuous nature.



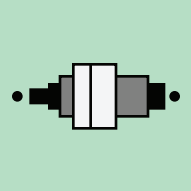
Density curve ●

An alternative to the histogram when a variable takes numeric values. Each data point contributes a small amount of local area; the areas are summed across all points to form the full curve.



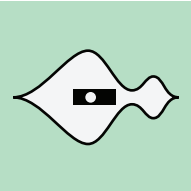
Box plot ■ *+Change over time* *+Comparisons*

A box and whiskers shows the range of the most common data values. The ends of the box outline the central 50% of the data. More often used to compare distributions between groups rather than as an overall summary.



Letter-value plot ◆ *+Comparisons*

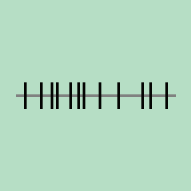
Extends the box plot's marking of quartiles with additional boxes that denote eighths, sixteenths, and smaller quantiles. Best when there are lots of data available to make estimates stable.



Violin plot ■ *+Comparisons*

Combines a density curve plotted on a center line with a box plot as a statistical summary. More often used to compare distributions between groups rather than as an overall summary.

The violin plot usually includes a box plot to provide statistical detail to the density curve. The internal box plot may sometimes be excluded, or another type of linear distribution chart can also be used instead. All of the below are best with few or a moderate number of data points; with many data points, a summary like the box plot is best.

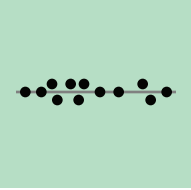


Rug plot ■

All data points are plotted as tick marks on a straight line with value corresponding precisely with position.

Strip plot ■

Like a rug plot, but with dots instead of tick marks. Sometimes plotted with points randomly jittered up or down to reduce overlapping.



Swarm plot ◆

Like a strip plot, but deliberate shifting is performed to prevent overlapping. Some horizontal jitter may be needed in order to keep the dot swarm compact.

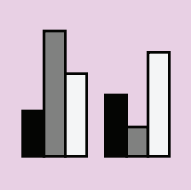
Charts for comparing values between groups

A very common application for data visualization is to compare values between distinct groups. This is frequently combined with other roles for data visualization, like showing change over time, or looking at how data is distributed. As a result, this is the largest category of chart types.



Bar chart *+Change over time* *+Distributions*

Most basic way of comparing numeric values between groups or categories. Each group is assigned a bar; each bar's value is represented in its height above (or below) a zero-baseline.



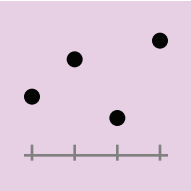
Grouped bar chart *+Relationships*

Extends a bar chart to compare data across two categorical variables. Each bar corresponds to an intersection of variable levels: categories for one variable are indicated by the bar cluster positions, while the second variable is indicated by bar color or position within each cluster.



Lollipop chart

Replaces the bars of a bar chart with lines and dots. Useful for when there are a lot of groups or categories to plot.



Dot plot

Replaces the bars of a bar chart with just dots. Since value is indicated by position instead of length, the dot plot can be good when a zero baseline is not useful.



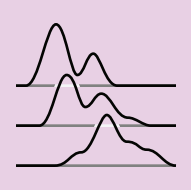
Line chart +Change over time

Each line in a line chart shows how values (vertical position) change across time (horizontal). One line is plotted for each group to be compared. Best when there are five or fewer groups to plot.



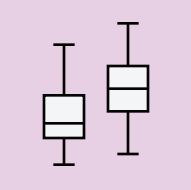
Sparkline +Change over time

Smaller line charts typically with little to no labeling. Designed to show a high-level overview inline with text or tables, but also useful when there are many groups to plot.



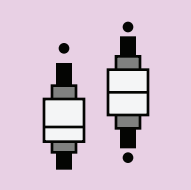
Ridgeline

A series of line charts or density curves (see *Distributions*) with partially offset axes used to compare distributions between groups. Best when there are distinct patterns across groups.



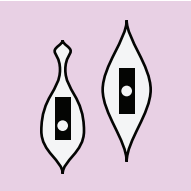
Box plot +Change over time +Distributions

Compares a statistical summary of numeric values between groups. A set of box and whiskers depicting the range of the most common data values (see *Distributions*) is assigned to each group or category.



Letter-value plot +Distributions

Used in a similar way as the box plot, but a letter-value plot (see *Distributions*) is assigned to each group instead. Best used when there are lots of data in each group so that statistical estimates are stable.



Violin plot +Distributions

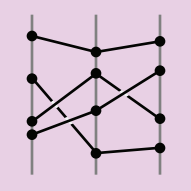
Compares distributions between groups. A violin assembly of density curve and box plot (see *Distributions*) is assigned to each group or category.

One sub-category of comparison charts comes from the comparison of values between groups for multiple attributes.



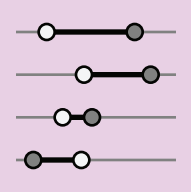
Slope chart

Specialized type of line chart. Two parallel lines indicate different times, with vertical position indicating value. One line segment is drawn between the two times for each data point. Useful for when there are many data points; line slopes provide a quick indicator for direction of change for each one.



Parallel coordinates plot

Extension of the slope plot for multiple dimensions. Each vertical line now indicates a different variable; each may have its own scale. Useful for observing patterns and relationships in the data. When there are only two variables, a scatter plot (see *Relationships*) is often easier to read.



Dumbbell plot

Used to compare two data points across multiple variables. Similar to parallel coordinates, each data point has a value plotted on each line. In contrast, line segments connect points *within* each variable, emphasizing the difference in value. Can be used as an alternative to the slope chart to show change between two time periods for multiple groups.

In certain cases, you might be interested in just the ranking between groups without needing to see the actual values.



Bump chart

Modified version of a line chart where vertical position corresponds to rank rather than value. This change allows it to support more categories than a standard line chart.

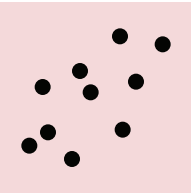


Grouped bar chart

Normally, grouped bar charts will plot the bars within each group in a consistent order. However, they can instead be sorted by value within each group to emphasize ranking, at the cost of making it more difficult to find each sub-category.

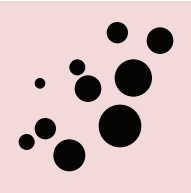
Charts for observing relationships between variables

One task that shows up in data exploration is understanding the relationship between data features. The chart types below can be used to plot two or more variables against each other to observe trends and patterns between them.



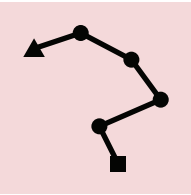
Scatter plot ●

Standard chart type for showing relationships between two numeric variables. Each point's position on the horizontal and vertical axes indicate value on the associated variable.



Bubble chart ●

Scatter plot with point size dictated by a third numeric variable. Scatter plots can be extended in other ways: point shapes can encode a categorical variable, and color can be used to indicate either categorical or numeric data. It is best to keep a scatter plot to a maximum of three variables to maintain understandability.



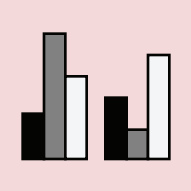
Connected scatter plot ◆

When a third variable represents time, points in a scatter plot can be connected with line segments to show progression in values across time.



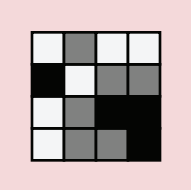
Dual-axis bar-line plot ◆

A bar-line plot shares a horizontal axis (typically time) across two chart types: the bar chart and line chart. Useful for when the variables plotted with each chart type are related, but are on different numeric scales.



Grouped bar chart ● +Comparisons

Extension of bar chart (see *Comparisons* or *Distributions*) to two categorical variables. Bar clusters are associated with levels of one variable, while color or position in each cluster indicates levels of the second variable. The length of each bar at the corresponding intersection of levels indicates a value for that group, like data frequency or a summary of a third numeric variable.



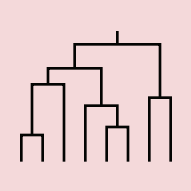
Heatmap ●

Extension of bar charts and histograms (see *Distributions*) to two variables, each of which can be categorical or numeric. Each axis represents groups or bins of values for one of the variables, forming a grid. Cell colors indicate data frequency or a summary of a third variable for each intersection of axis variables.



2-d density curve ◆

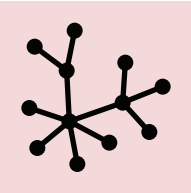
Extension of density curves (see *Distributions*) to two numeric variables. Colors are mapped to values like in a heatmap, but applied smoothly across the plotted area rather than in discrete bins. Somewhat confusingly, this chart is sometimes also known as a heatmap.



Dendrogram ◆

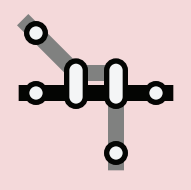
Specialized chart type to show similarity between data points. The lower the branch connecting two data points is, the more similar they are. Sometimes plotted with an accompanying heatmap to depict the underlying data.

Sometimes the form of a relationship is that of a network of connections. A mathematical graph consisting of nodes connected by edges is a basic form, but other chart types exist for showing this type of data.



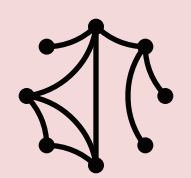
Network diagram ◆

Points (nodes or vertices) represent individual entities. Lines (edges) connect entities with a particular relationship. Line thickness may be used to encode value. Vertex positions do not necessarily have any inherent meaning, and may simply be placed just to make connections as clear as possible.



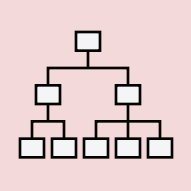
Transit map ◆

Practical application of network diagrams for train and subway systems. Frequently, these take a fair level of abstraction, emphasizing connections between stations rather than their actual geographical locations.



Chord diagram ◆

Like a standard network diagram, but vertices are arranged in a circle.



Tree diagram ◆

A network diagram organized to show hierarchical relationships. The direction of each edge corresponds to a relationship between the connected nodes, such as parent-child or senior-junior relationships.

Charts for looking at geographical data

Sometimes, data includes geographical information like latitude and longitude or regions like country or state. While plotting this data might simply extend an existing visualization onto a map background (such as those in the previous chapter for depicting relationships), there are some chart types that specifically take the mapping domain into account.



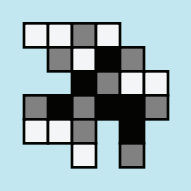
Scatter map ●

Scatter plot built on top of a geographical map, using geographic coordinates as point positions.



Bubble map ●

Bubble chart built on top of a geographic map, where point size is an indicator of value. Can also be used to group together points in a scatter map if they are too dense.



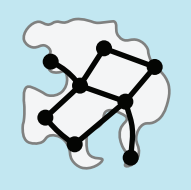
2-d histogram ●

Heatmaps can be built on top of geographic areas. Sometimes seen with a hexagon-shaped grid rather than a rectangular grid. May distort the geography on its edges.



Isopleth / contour map ◆

2-d density curve built on top of a geographic map.



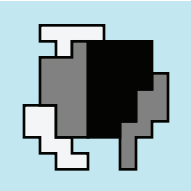
Connection map ◆

Network information and flows built on top of a geographic map.



Choropleth ●

Similar to a heatmap, but colors are assigned to geopolitical regions rather than an arbitrary grid. Values are often in the form of rates or ratios to avoid distortion due to population density.



Cartogram ◆

Geopolitical regions sized by value. This necessarily requires distortion in shapes and topology.

Appendix A: Essential charts for data analysis

This guide covers dozens of chart types, and many more exist for even more specialized use cases. It can sometimes be daunting to figure out which chart will work best for the data at hand.

To help with the chart choosing process, the next page contains a full-page graphic featuring eighteen common chart types for data analysis. Most visualizations for dashboards and reports will be served well one of these chart types. Feel free to print the graphic out and use it as a quick reference for any time you need to visualize your data.

When using the chart picker, don't forget to keep in mind three points:

1. What kind of **role** or analysis will the chart perform?
2. What **types of data** do I have – categorical or numeric – and how many variables am I going to plot?
3. After creating the chart, does it **convey useful information**? If not, try a different chart type or a different way of encoding variables. You may need an uncommon or advanced chart type not found in the diagram, or need to use more than one chart.

Essential Charts for Data Analysis

Raw Number



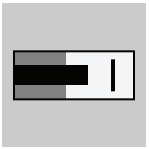
Single Value Chart

Show a **raw singular value**



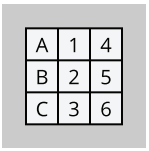
Single Value w/ Indicator

Comparison of a **single value** against a **previous value**



Bullet Chart

Comparison of a **single value** against a **benchmark value**



Table

Show raw values for **multiple data points** on **multiple variables**

Change over Time



Line Chart

Change over time for a **numeric** variable or to **compare 1-5 groups**



Sparkline

Miniature **line charts** to **compare many groups**

Distribution



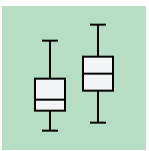
Bar Chart

Comparison or **distribution** by a **single categorical** variable



Histogram

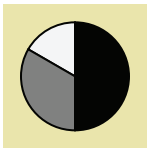
Distribution by a binned **single numeric** variable



Box Plot

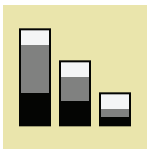
Compare distribution summaries across a **categorical** variable

Part-to-Whole



Pie Chart

Part-to-whole breakdown by a **single categorical** variable



Stacked Bar Chart

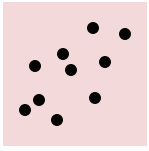
Bar chart with additional **part-to-whole** breakdown



Stacked Area Chart

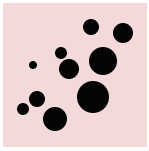
Line chart with additional **part-to-whole** breakdown

Relationship



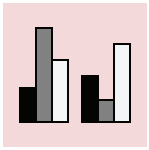
Scatter Plot

Relationship between **two numeric** variables



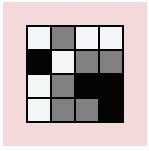
Bubble Chart

Relationship between **three numeric** variables



Grouped Bar Chart

Comparison or **distribution** by **two categorical** variables



Heatmap

Distribution by **two binned** variables (**categorical or numeric**)

Geospatial



Bubble Map

Bubble chart built on top of a **geographic map**



Choropleth

Comparison between **geopolitical regions** by **color**

Appendix B: Charts that should be used judiciously

There are a few chart types excluded from the guide that probably wouldn't be considered too rare or specialized. Chart types like the ones in this section have been excluded since they are less efficient than other, more common chart types, or have flaws that make them more difficult to understand. Only use these charts when you have a unique or specific point that would benefit from an alternative representation.



Pictogram / Isotype

Used to compare values between groups and other places a bar chart might be used. Each icon represents a specific quantity; values are usually rounded to the nearest whole number of icons. Thus, this loses some precision compared to the more common bar chart.



Circular / radial bar chart

A bar chart, but with bars plotted in concentric arcs. However, this distorts each group's value, since it is not clear whether values are indicated by bar angles or arc lengths. It is better to just stick with a standard bar chart.



Radar / spider plot

Used to compare values between data points on multiple attributes. Each attribute is a spoke, with value indicated by distance from the center. One polygon is traced for each data point. However, people often perceive value based on polygon area, which depends on the order of attributes. It is usually better to use a parallel coordinates plot or multiple grouped bar charts to avoid this distortion.

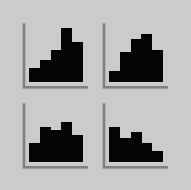
Appendix C: Additional ways to visualize data

There are many charting techniques that go beyond just choosing the right chart type and data encodings. Here are a few common techniques that can make your data easier to read and interpret.



Horizontal vs. vertical orientation

Certain chart types for performing comparisons, like the bar chart or box plot, can be plotted vertically or horizontally. The horizontal orientation can be useful when the groups have long names.



Small multiples / faceting

Rather than plotting multiple groups or categories on a single axis, just create one plot for each group. This can make it easier to distinguish between groups, especially when there are many of them (e.g. line chart vs. sparkline). You may want to order the facets by some data feature, like overall size.



Chart compositions / dashboards

Collections of charts, statistics, and tables are used to quickly convey key information to users at an organization. Grouping related elements together and arranging them from most important at the top and least important at the bottom can help viewers gain insights from the data.

About Chartio

Founded in 2010, Chartio is a cloud-based data exploration solution for all.

Featuring a revolutionary drag-and-drop interface and hundreds of data source integrations, Chartio empowers anyone at a company to easily connect, transform, and visualize the metrics that matter most to them – no coding required. With Chartio, users can create powerful interactive dashboards, collaborate with teammates, and share insights with just a few clicks. And Chartio comes with expert customer support and extensive documentation, ensuring that everyone in your company has the tools they need to successfully work with data and get informed.

CHARTIO

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المعهد القومي للحوكمة
و التنمية المستدامة
National Institute for Governance
& Sustainable Development

JANUARY 2022

Egypt's Performance in Governance Indices

2021/2022 Report



Governance Center

National Institute for Governance and Sustainable Development

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EXECUTIVE SUMMARY

With another year drawing to an end, the quality of governance in Egypt is still very much a topic of interest among scholars, practitioners, the Egyptian government and the international community. This interest is particularly heightened given the continued spread of the COVID-19 pandemic which has exacerbated the existing deficiencies in governance mechanisms and posed new challenges globally. The World Justice Project has characterized this pandemic as the "*twin crises of public health and rule of law*" owing to the numerous adversities that arose in every country during the past two years (World Justice Project, 2020b). Therefore, it should come as no surprise that almost every index included in this report and that has been published since the pandemic has recorded declines in scores across countries in various areas of governance.

In spite of this global set back, Egypt's performance in international indices has witnessed some progress, as the analysis in this report shows. This second edition of the report compiles Egypt's performance in a collection of international and national indices that have been released in 2020 and 2021. Each version of the report records new or updated indices, in order to ensure the maximum value added between editions and a comprehensive examination of Egypt's performance in governance areas overtime. The indices included in this report cover everything from innovation, business regulations, and digital transformation to rule of law, fighting corruption, and stability. The 2022 edition of this report also emphasizes the importance of following and analysing trends when it comes to examining Egypt's performance. That is, trends across indices and trends within indices over time. Trends offer a more accurate reflection of the impact of Egypt's reforms and how they translate into improving the quality of governance from different perspectives. Additionally, indices often report data that could date back a few years, which makes it futile to expect the scores to reflect efforts and reforms immediately.

The main trends that have been detected from the indices included in this report confirm that Egypt is once again performing well in the areas of order, safety, and security. Although some indices record an improvement while others record a decline, Egypt's scores and ranks in these areas remain relatively good in comparison to other domains. Consequently, Egypt was also one of the least affected countries in terms of the economic impact of violence, ranking in the top twenty least affected countries in the Economic Value of Peace model. Another area of security that Egypt excels in is cybersecurity, in which Egypt ranked 23rd among 182 countries according to the Global Cybersecurity Index. The 2020 Global Cybersecurity Index report also acknowledges that digital systems are a key enabler of the economy, society, and government. New organizational possibilities, such as e-government services, and economic and productive paradigms, such as Industry 4.0 and digital economy, stemmed from ICT adoption. Thus, governments should prioritize tackling the digital divide and cybersecurity risks (International Telecommunication Union (ITU), 2021). In this regard, Egypt's scores in the GovTech Maturity Index are well above the global average which reflects the keen efforts that have been exerted to modernize and digitalize government processes and services. Indicators measuring public services in general also received good scores as seen in the Fragile States Index and the Chandler Good Government Index.

One interesting observation that some reports point to is the strength of Egypt's reputation, familiarity, culture, and heritage, all of which boost its international influence and repute. This is brought to light by the Global Soft Power Index, the Nation Brands Report, and the Chandler Good Government Index. Likewise, Egypt's market size is recognized as one of the most attractive around the world which explains why it was the largest recipient of Foreign Direct Investment (FDI) flows in Africa in 2020 (United Nations Conference on Trade and Development, 2021).

While Egypt's scores and ranks continue to be low in some indicators, the trends reveal that some of the latest scores show considerable improvement, which would otherwise be overlooked. This can be seen in the Fragile States Index and the Index of Economic Freedom for example. Trends also may reveal contradictions in scores across different indices within the same category. For example, while the World Justice Project's Rule of Law Index shows a decline

over the past few years, the World Bank's Rule of Law Indicator (among the Worldwide Governance Indicators), shows a steady increase in Egypt's percentile rank.

Turning to areas of decline, least performance, or lack of improvement, public financial management and fiscal health indicators currently have the lowest scores in any of the indices in the report. Despite some improvement, Egypt's scores and ranks in the regulatory environment, business regulations and trade remain relatively low across the Global Soft Power Index, the Global Innovation Index, the Positive Peace Index, and the Index of Economic Freedom. Coupled with the fact that the Egyptian market is considered one of the biggest worldwide, this alludes to a considerable loss in potential investments that could be attracted if the business environment and regulations improve. According to the Global Innovation Index and the Chandler Good Government Index, Egypt also lags in the strength and stability of its institutions and infrastructure. Innovation is another area in which Egypt has been falling behind for several years, as shown by scores of the Global Innovation Index and the Chandler Good Government Index' 'Innovation' indicator. The scores suggest that creative, knowledge and technology outputs are particularly low, suggesting a need to boost investment and education in these areas.

With regards to the main principles of governance, Egypt is progressing slowly in practicing transparency especially in government. Despite the low scores, the Rule of Law Index reported that Egypt's score hasn't changed year-on-year in the 'Open Government' factor, and the 'Free Flow of Information' pillar under the Positive Peace Index recorded a slight improvement. When it comes to rule of law and rights, Egypt has a strong legal framework, but the results generally show that Egypt falls short in terms of adherence. Egypt's Rule of Law Indicator score in the Worldwide Governance Indicators is the best score out of the set of six indicators and has been showing a steady improvement. However, the Rule of Law Index, the Fragile States Index, and the Chandler Good Government Index all show that in comparison to other countries, Egypt is falling behind. In terms of rights of participation and citizen engagement, Egypt's lowest score was in the Voice and Accountability indicator of the Worldwide Governance Indicators and similarly, the Citizen Engagement Index was the lowest score achieved within the GovTech Maturity Index. Finally turning to the control of corruption, Egypt's performance is indefinite as some indicators report an increase, like the Positive Peace Index and the Administrative Corruption Control and Prevention Index, while other indices report a decline, like the Worldwide Governance Indicators and the Corruption Perception Index.

To further understand these trends, the Governance Center curated non-exhaustive lists of the most prominent and relevant efforts, challenges, and recommendations. These sections have been put together by analysing international reports, understanding areas of strength and weakness in the results of indices, and tracking press releases and news articles. From issuing numerous updated strategies to revising laws and legislation, the Egyptian Government has been making strides towards a more integrated and coordinated approach to enhancing governance. Numerous efforts have also been recorded in the domain of improving the quality of services, the business environment, participation, and local development, while strengthening the transparency, accountability, rule of law and anti-corruption measures. Challenges and recommendations have also been identified in these areas, taking into consideration the adversities posed by of COVID-19 and the recommended actions to mitigate its effects on the short, medium, and long run.

EXECUTIVE SUMMARY: EGYPT'S SCORES AND RANKS

Index	Score	Change in Score	Rank	Change in Rank
GLOBAL INDICES				
Nation Brands Report	-	-	45/100	+6
Global Soft Power Index	38.8/100	+3.5	34/100	+4
Chandler Good Government Index	0.424/1	-	73/104	-
Fragile States Index	85/120	-1	39/179	+4
Law and Order Index	85/100	-4	35/115	-17
Index of Economic Freedom	55.7/100	+1.7	130/186	+12
Global Peace Index	2.397/5	-0.084	126/163	+3
The Economic Value of Peace	-	-	144/163	+4
Positive Peace Report	3.52/5	-0.11	116/163	+4
Global Cybersecurity Index	95.48/100	-	23/182	-
Corruption Perception Index	33/100	-2	117/180	-11
Worldwide Governance Indicators			Percentile Rank	Change in Percentile Rank
Voice and Accountability	-1.49	-0.04	7.73	-0.48
Political Stability and Absence of Violence/Terrorism	-1.21	-0.1	11.32	-0.49
Government Effectiveness	-0.55	-0.13	32.21	-4.33
Regulatory Quality	-0.69	+0.14	25.48	+6.73
Rule of Law	-0.36	+0.06	39.9	+1.92
Control of Corruption	-0.81	-0.14	22.6	-5.28
GovTech Maturity Index	0.65/1	-	-	-
Global Innovation Index	25.1/100	+0.87	94/132	+2
Rule of Law Index	0.35/1	-0.01	136/139	0
NATIONAL INDICES				
Administrative Corruption Prevention and Control Index	59.5/100	+16	-	-

INTRODUCTION

The Governance Indicators Report is an annual publication prepared by the Governance Center of the National Institute for Governance and Sustainable Development. The report aims to compile updated data on Egypt's performance in different areas of governance through surveying available national and international indices. The report analyses Egypt's latest scores and ranks in each index, while also giving a brief background about the index and its methodology. Furthermore, the report contains sections on Egypt's efforts towards enhancing the quality of governance, the challenges it currently faces, and the recommendation that can be given to build on efforts and overcome challenges.

This edition of the report takes on a more holistic approach to understanding the quality of governance in Egypt, by covering more areas and relevant topics. Several revisions were made to the 2021/2022 edition of the report to ensure it covered more perspectives, efforts, and challenges than the previous edition. In this report, the Governance Center included only the latest releases of indices and added new indices that were not included in the previous edition. This edition of the report covers 16 indices published by 12 different organizations, which are arranged in alphabetical order of the publishing organization.

Unsurprisingly, many of the reports note the negative impact of COVID-19 on the quality of governance around the world. Public health crises are known to result in increased corruption, weak rule of law, and decreased transparency, accountability, and public participation. Like all other countries of the world, COVID-19 has taken a toll on the quality of governance in Egypt. Thus, this report reviews the governance measures employed to respond to the crisis as well the challenges that arose along the way.

While reading the report, there are a few considerations that must be taken into account. First, the Governance Center noted that the methodologies, data sources, and data types often vary between indices, which makes it hard to accurately compare results or understand the true impact of policies on specific areas of governance. Second, there are many indices such as the Worldwide Governance Indicators and the Corruption Perception Index, that rely only on survey data, which makes them strictly subjective measures. Third, the latest results for each index often rely on data that is dated at least a year back. Thus, these indices are no more than a proxy as it is hard to gauge the true impact of policies and programs immediately. Finally, it is often more indicative to look at the long-term trends rather than individual results or year-on-year changes in scores to understand the impact of reforms, policies, and programs.

On a final note, the Governance Center would like to emphasize its long-held belief that good governance is a lever to achieve sustainable development and prosperity. It has been widely acknowledged by different indices, reports, and organizations that good governance is strongly correlated with better quality of life, which is the end goal for all the government's efforts. Moreover, governance is a multidisciplinary field that is relevant to all sectors, organizations, and stakeholders. Thus, governments should strive to achieve good governance in tandem with their development strategies.

I. GLOBAL INDICES

BRAND FINANCE

NATION BRANDS REPORT

BACKGROUND AND METHODOLOGY

The Nation Brands report is an annual report released by Brand Finance, a leading brand valuation consultancy. It provides key benchmarks and insights for diplomats, tourism boards, trade agencies, geographical indication brands, nation brand managers and consultants on how a country's national image is affected by the brands based there and the economy as a whole. Believing that nation's brand can impact investments, add value to exports, and attract tourists and skilled migrants, Brand Finance developed the Brand Strength Index (BSI) which measures domestic and international perceptions of nation brands (Brand Finance, 2021b).

The report includes the top 100 most valuable nation brands in the world for which their relative strength is determined through a balanced scorecard of metrics evaluating brand investment, brand equity, and brand performance. The methodology of the Brand Strength Index includes the results of the Global Soft Power Index (explored below). Each metric is scored on a scale of 0 (lowest score) to 100 (highest score), which are then averaged to give the score of the BSI. Additionally, each nation is assigned a brand strength rating in a format similar to credit ratings (AAA+ to D). This is just the first step to determining the nation's brand value, as the BSI for each country is used to determine an appropriate hypothetical royalty rate, which are applied to a country based on the proportion of the country's GDP generated from the primary, secondary, and tertiary sector. The next step would be to apply the applicable royalty rate to the GDP to determine brand related GDP streams. A discount rate is then calculated to account for risks across each national economy, and is used to calculate the present value of future brand earnings. Finally, the post-tax brand-related GDP streams are then discounted to give the nation brand value (Brand Finance, 2021b).

EGYPT'S PERFORMANCE

In the 2021 report, Egypt ranked 45th out of 100 countries, going up from its previous rank of 51st in the 2020 report. This is quite an impressive improvement considering the negative impact that COVID-19 has had on some of the largest economies like United Kingdom, the United States, Japan, and France (Brand Finance, 2021b).

Figure (1): Egypt's ranks in the Brand Strength Index (2020 -2021)

2021 Rank	2020 Rank		Nation Brand
45	51	↑	Egypt

Source: Nation Brands Report, Brand Finance (2021).

GLOBAL SOFT POWER INDEX

BACKGROUND AND METHODOLOGY

The Global Soft Power Index project was first launched in 2020 by Brand Finance to provide information on how soft power is built and what activities contribute to its development. Brand Finance's adopted definition of soft power is "*a country's ability to influence the preferences and behaviours of various actors in the international arena (states, corporations, communities, publics etc.) through attraction or persuasion rather than coercion*" (Brand Finance, 2021a).

For the 2021 edition, the Index assesses soft power in 100 nations based on their performance in 7 pillars, namely: Business and Trade, Governance, International Relations, Culture and Heritage, Media and Communication, Education and Science, and People and Values. These 7 pillars contain 34 measures. The Index relies on the perception of the general public, which weights 90% of the score, as well as the perception of special audiences (experts and influencers) which makes up the remaining 10% (Brand Finance, 2021a).

The Index incorporates other measures besides the 7 pillars mentioned above. It also considers Awareness and Familiarity of the nation, Overall Influence, Overall Reputation, and, in the 2021 edition, Performance in tackling the COVID-19 pandemic (on three pillars: Economy, Health and Wellbeing, and International Aid and Cooperation) (Brand Finance, 2021a).

Each country is given an overall score between 0 (lowest score) and 100 (highest score) points, with each pillar receiving a score between 0 (lowest score) and 10 (highest score) points. The 100 countries in the report are ranked according to their score. In addition to awarding scores and ranks, the results from the general public are tallied to determine which nations earn the highest spot on each of the 34 measures under the 7 pillars. The top three nations are awarded gold, silver, and bronze medals. Special audiences also award medals to nations according to their assessment of their performance in the 7 pillars (Brand Finance, 2021a).

EGYPT'S PERFORMANCE

In the 2021 report, Egypt was ranked 34th out of 100 countries, with a score of 38.3 out of 100 points. This comes as an improvement of 3.5 points compared to the 2020 score and Egypt's moved up 4 places in terms of global rank. It should be noted that the 2020 edition only included 87 countries, which reflects a bigger improvement in terms of rank than what is perceived. Another important aspect that should be mentioned when assessing Egypt's score, is that the first-place holder in the 2021 index, Germany, has a score of 62.2 (Brand Finance, 2021a).

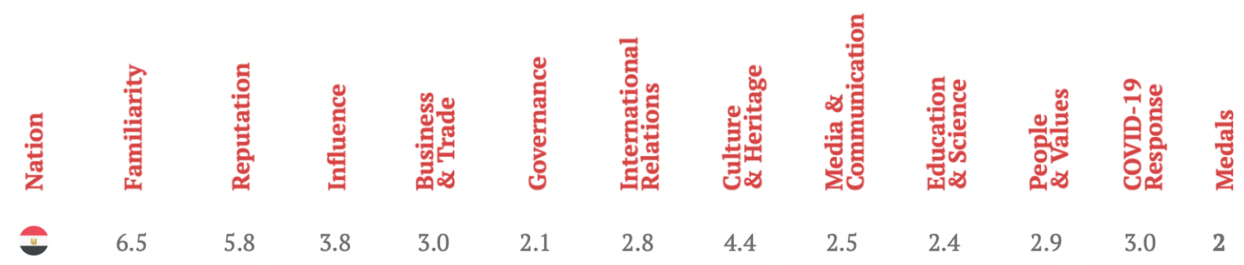
Figure (2): Egypt's scores and ranks in the Global Soft Power Index (2020 – 2021)



Source: Global Soft Power Index Report, Brand Finance (2021).

Compared to the 15 nations included from the MENA region, Egypt holds the 5th place. Egypt was also awarded two gold medals, one by special audiences in the pillar of 'Culture and Heritage' category, while the other was awarded after tallying the general public's perception, as Egypt scored highest in terms of having a 'Rich Culture'. This makes Egypt rank 8th out of 23 nations in terms of number of medals won in this year's report (Brand Finance, 2021a).

Figure (3): Egypt's scores by pillar in the Global Soft Power Index (2021)



Nation	Familiarity	Reputation	Influence	Business & Trade	Governance	International Relations	Culture & Heritage	Media & Communication	Education & Science	People & Values	COVID-19 Response	Medals
	6.5	5.8	3.8	3.0	2.1	2.8	4.4	2.5	2.4	2.9	3.0	2

Source: Global Soft Power Index Report, Brand Finance (2021).

Egypt is considered a tier 1 nation in this report, meaning that it is among thirty key nations whose global reputations were of greatest interest to clients and subscribers of Brand Finance. Tier 1 nations also have bigger sample sizes answering the survey questions (Brand Finance, 2021a).

CHANDLER INSTITUTE OF GOVERNANCE

THE CHANDLER GOOD GOVERNMENT INDEX

BACKGROUND AND METHODOLOGY

The Chandler Institute of Governance (CIG) developed the Chandler Good Government Index (CGGI) in order to measure the effectiveness of governments, as well as governance quality and outcomes. The first edition of this index was released in 2021, with the intention of making it an annual series. This composite index was developed by government practitioners for government practitioners, with the intention of being a non-ideological, non-partisan analytical tool to help government identify strengths and weaknesses in their governance capacities and performance (Chandler Institute of Governance, 2021).

The CGGI contains 34 indicators divided into seven pillars, which were developed based on the philosophy that good governance and national prosperity are interlinked. The pillars are as follows:

1. Leadership and Foresight (5 indicators)
2. Robust Laws and Policies (4 indicators)
3. Strong Institutions (4 indicators)
4. Financial Stewardship (4 indicators)
5. Attractive Marketplace (5 indicators)
6. Global Influence and Reputation (3 indicators)
7. Helping People Rise (9 indicators)

The first six pillars measure different aspects of the government's capabilities, while the final pillar, 'Helping People Rise', focuses on the key outcomes of good governance. The CGGI emphasizes that good governance creates opportunity and prosperity through the seventh pillar. All the indicators of the CGGI are measurable and contain components that the governments of the 104 countries in the report can act upon to improve their performance. Each indicator is normalized on a scale of 0 (lowest score) to 1 (highest score), and the final CGGI score is the simple average of all 34 indicators (Chandler Institute of Governance, 2021).

Moreover, the CGGI uses more than 50 publicly available third-party data sources, 30 of which are qualitative, and the rest are quantitative. The sources include the Worldwide Governance Indicators, the Rule of Law Index, the Bertelsmann Transformation Index, and the Open Budget Survey (Chandler Institute of Governance, 2021).

EGYPT'S PERFORMANCE

Egypt's score in the 2021 CGGI was 0.424, which ranked it as the 73rd country out of the 104 countries in the report. Egypt's best score was achieved in the 'Attractive Marketplace' pillar, while its highest rank was in the 'Global Influence and Reputation' pillar. In contrast, Egypt's lowest score and rank were in the 'Financial Stewardship' pillar. Egypt score in the 'Global Influence and Reputation' pillar is relatively high compared to the global average, and its score in the 'Leadership and Foresight' pillar also comes close (Chandler Institute of Governance, 2021).

Table (1): Breakdown of Egypt's scores in the 2021 Chandler Good Government Index

Index	Score	Global Avg.	Rank
Chandler Good Government Index	0.424	-	73
Pillar	**Score**	**Global Avg.**	**Rank**
Leadership and Foresight	0.41	0.44	60
Robust Laws and Policies	0.4	0.57	80
Strong Institutions	0.38	0.5	76
Financial Stewardship	0.33	0.55	91
Attractive Marketplace	0.53	0.61	78
Global Influence and Reputation	0.52	0.49	45
Helping People Rise	0.41	0.57	84

Source: Chandler Good Government Index: 2021 report, Chandler Institute of Governance (2021).

THE FUND FOR PEACE

FRAGILE STATES INDEX

BACKGROUND AND METHODOLOGY

The Fragile States Index was developed by The Fund for Peace (FFP) in 2004 to study the regular pressures that all states experience in addition to identifying the burdens that outweigh states' capacity in coping with them. The Index pinpoints the vulnerabilities that factor into the risk of state fragility through risk assessments and early warning of conflict (The Fund for Peace, 2021).

The FFP identified the following characteristics that are associated with state fragility:

- The loss of physical control of its territory or a monopoly on the legitimate use of force.
- The erosion of legitimate authority to make collective decisions.
- An inability to provide reasonable public services.
- The inability to interact with other states as a full member of the international community.

The Index currently measures fragility in 179 countries. It relies on three main data streams to calculate countries' scores, which are triangulated and subjected to critical review. The sources that are used are pre-existing quantitative data sets, content analysis, and qualitative expert analysis. The content analysis component is comprised of 12 political, social, and economic indicators, that are divided into over 100 sub-indicators. The structure of the Index is as follows:

- Cohesion indicators: Security Apparatus, Factionalized Elites, Group Grievance.
- Economic indicators: Economic Decline, Uneven Development, Human Flight and Brain Drain.
- Political indicators: Political Legitimacy, Public Services, Human Rights and Rule of Law.
- Social + Crosscutting indicators: Demographic Pressures, Refugees and IDPs, External Intervention.

Countries are given a score between 0 (highest score) and 120 (lowest score), as each of the 12 indicators is scored out of 10 points, and countries are ranked according to their score. The higher the score of the country, the more fragile it is deemed to be. Consequently, the most fragile country is given first place out of the 179 countries included in the Index. Additionally, countries are categorized into 4 main categories according to their score, with best category being "Sustainable" ($i<30$), followed by "Stable" ($30<i<60$), and then "Warning" ($60<i<90$), and the worst category being "Alert" ($90<i\leq120$) (The Fund for Peace, 2021).

EGYPT'S PERFORMANCE

In the 2021 report, Egypt was given a score of 85 out of 120 and was ranked 39th out of 179 countries. While Egypt's score and rank are not impressive, they still reflect considerable improvements from the previous scores as Egypt decreased by 1 point between 2020 and 2021 and improved its rank by 4 places (The Fund for Peace, 2021).

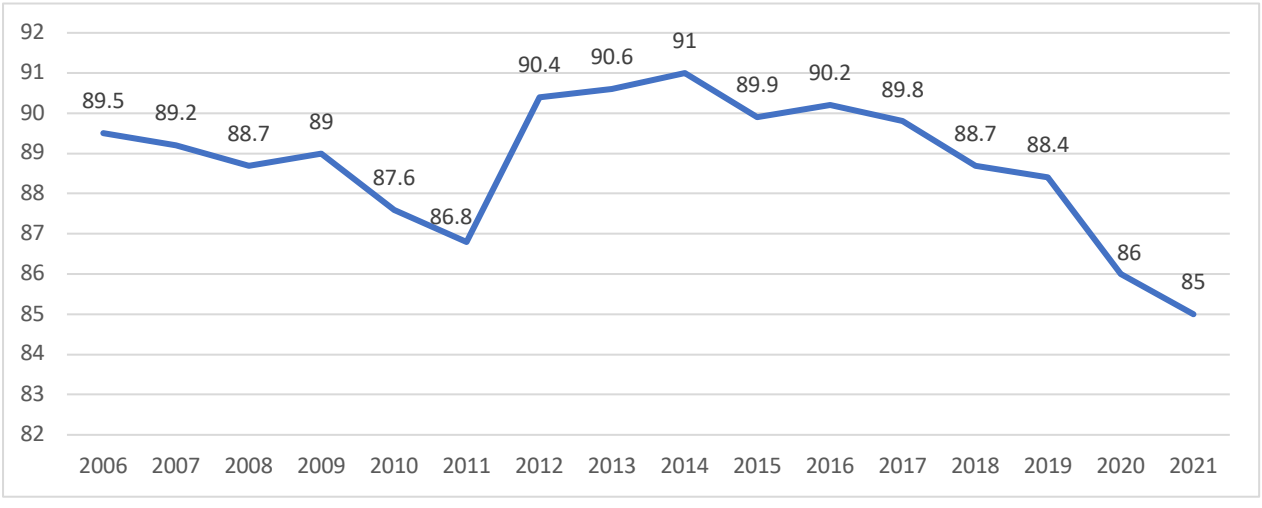
Egypt's 2021 score also happens to be its lowest score since 2006, and a steady improvement can be observed since 2016. Egypt is currently in the "Warning" category, after it had been classified as an "Alert" country between 2012 and 2016. Egypt's best scores in the 2021 report were in the 'Public Services' indicator (4.70), followed by the 'Economic Inequality' indicator (5.10), and the third best score was in the 'Human Flight and Brain Drain' indicator (5.20) (The Fund for Peace, 2021).

Table (2): Breakdown of Egypt's scores in the Fragile States Index (2021)

Index		Score	Change	Rank	Change
Fragile States Index		85.0	-1	39th	-4
Indicators		**Score**	**Change**	**Rank**	**Change**
Cohesion Indicators	• Security Apparatus	7.6	-0.3	-	-
	• Factionalized Elites	9.1	-	-	-
	• Group Grievance	8.3	-0.3	-	-
Economic indicators	• Economic Decline	7.3	-0.3	-	-
	• Uneven Development	5.1	-0.3	-	-
	• Human Flight and Brain Drain	5.2	-0.1	-	-
Political indicators	• Political Legitimacy	8.6	-	-	-
	• Public Services	4.7	+0.5	-	-
	• Human Rights and Rule of Law	9.8	+0.1	-	-
Social + Crosscutting indicators	• Demographic Pressures	6.5	+0.3	-	-
	• Refugees and IDPs	6.1	-0.3	-	-
	• External Intervention	6.7	-0.3	-	-

Source: Fragile States Index, The Fund for Peace (FFP) (2021).

Figure (4): Egypt's trend in the Fragile States Index (2006-2021)



Source: Fragile States Index, The Fund for Peace (FFP) (2021).

GALLUP

GLOBAL LAW AND ORDER REPORT

BACKGROUND AND METHODOLOGY

In line with Goal 16 of the Sustainable Development Goals (SDGs), promoting peaceful and inclusive societies for sustainable development, Gallup developed the Law and Order Index in 2005 to measure citizens' perception of safety and confidence in the rule of law in their countries (Gallup, 2021).

The Index mainly relies on citizens' perception, which Gallup obtains through telephone and face-to-face interviews with 1000 adults (age 15 and up) from each country. This sample of people are asked to answer four question to gauge their sense of personal security and their experiences with law enforcement and crime in their city. These questions are:

- In the city or area where you live, do you have confidence in the local police force?
- Do you feel safe walking alone at night in the city or area where you live?
- Within the last 12 months, have you had money or property stolen from you or another household member?
- Within the past 12 months, have you been assaulted or mugged?

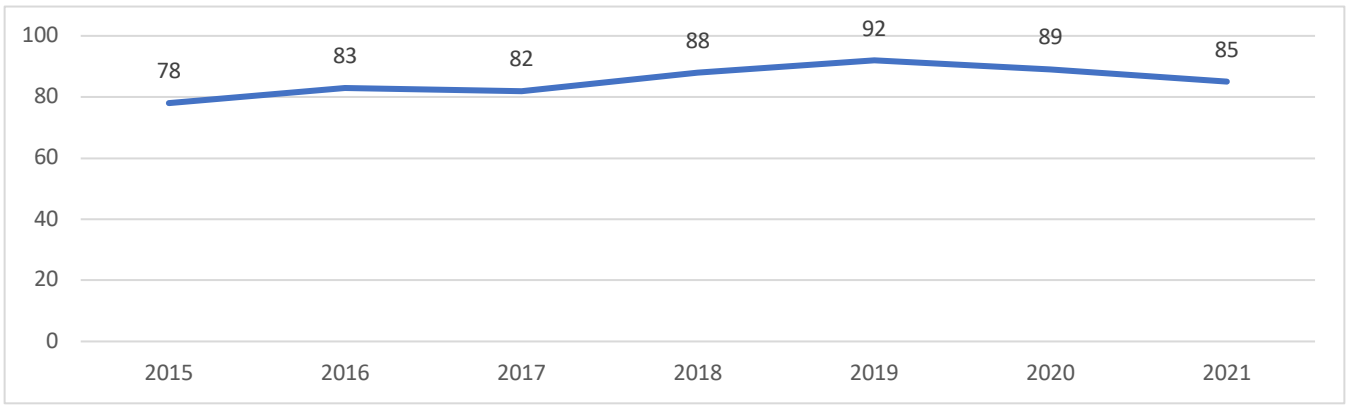
The 2021 report covered 115 countries, and each country is given a score between 0 (lowest score) and 100 (highest score) points (Gallup, 2021).

EGYPT'S PERFORMANCE

For the second year in a row, Egypt experienced a decline in its score. The 2021 score was 85 points, which is 4 point lower than the 2020 score. Relative to other countries, Egypt's score ranked it as the 35th country out of 115, which shows a deterioration of 17 places compared to the 2020 report (Gallup, 2021).

Nonetheless, Egypt's score remains high compared to other countries in the region, with only the United Arab Emirates, Jordan, and Saudi Arabia scoring higher. Other countries that had the same score as Egypt include the Philippines, Ireland, Croatia, the United Kingdom, France, and Hungary. Figure (5) shows that Egypt's score steadily increased since 2015 and remains high despite some fluctuations in the last couple of years (Gallup, 2021).

Figure (5): Egypt's trend in the Law and Order Index (2015-2021).



Source: Law and Order Index, Gallup (2021).

HERITAGE FOUNDATION

INDEX OF ECONOMIC FREEDOM

BACKGROUND AND METHODOLOGY

For twenty-seven years, the Heritage Foundation has released the Index of Economic Freedom annually with the aim of providing clear and user-friendly information about economic freedom, prosperity, and opportunities in 186 countries. The Index cross-examines the progress of economic freedom against other desirable social and economic goals such as human development, democracy, and the elimination of poverty (The Heritage Foundation, 2021).

The Index measures economic freedom through 12 factors that are grouped into four major categories as follows:

- **Rule of Law** (property rights, judicial effectiveness, government integrity)
- **Government Size** (tax burden, government spending, fiscal health)
- **Regulatory Efficiency** (business freedom, labour freedom, monetary freedom)
- **Open Markets** (trade freedom, investment freedom, financial freedom)

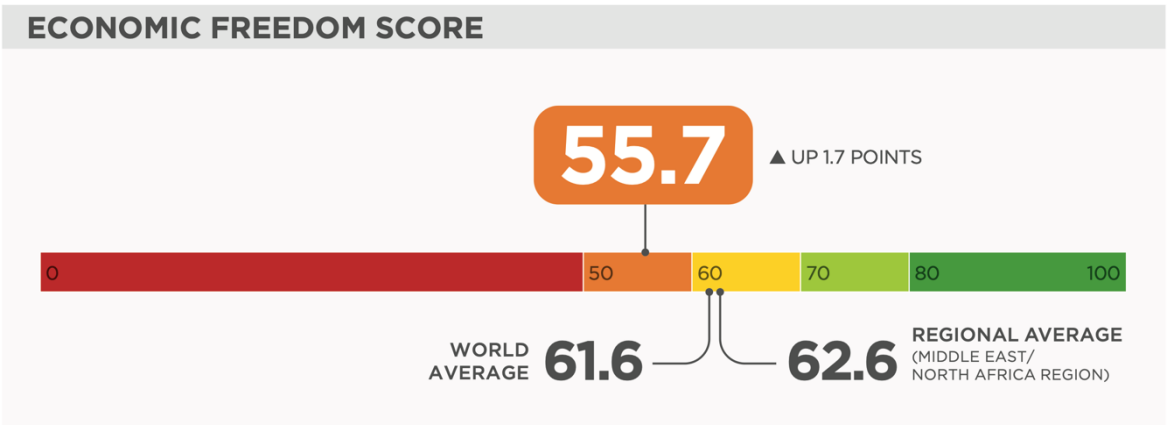
Each of the 12 factors is given a score between 0 (lowest score) and 100 (highest score), and the average of those scores gives the country's overall score (The Heritage Foundation, 2021).

EGYPT'S PERFORMANCE

Egypt's score in the 2021 report was 55.7 out of 100, which ranks its economy as the 130th among the 186 countries in the report. This score went up for the second year in a row, with the 2020 score being 54 and moving Egypt up by 12 positions in the global rank.

Sri Lanka and Comoros both had the same score as Egypt in the Index, although their global rankings were 131st and 132nd respectively. Admittedly, Egypt is still below the regional and global averages, and its regional rank is still 11th out of the 14 MENA countries in the report. Figure (8) shows a relatively steady trend of improvement in Egypt's score in the index, with an average score of 53.64 (The Heritage Foundation, 2021).

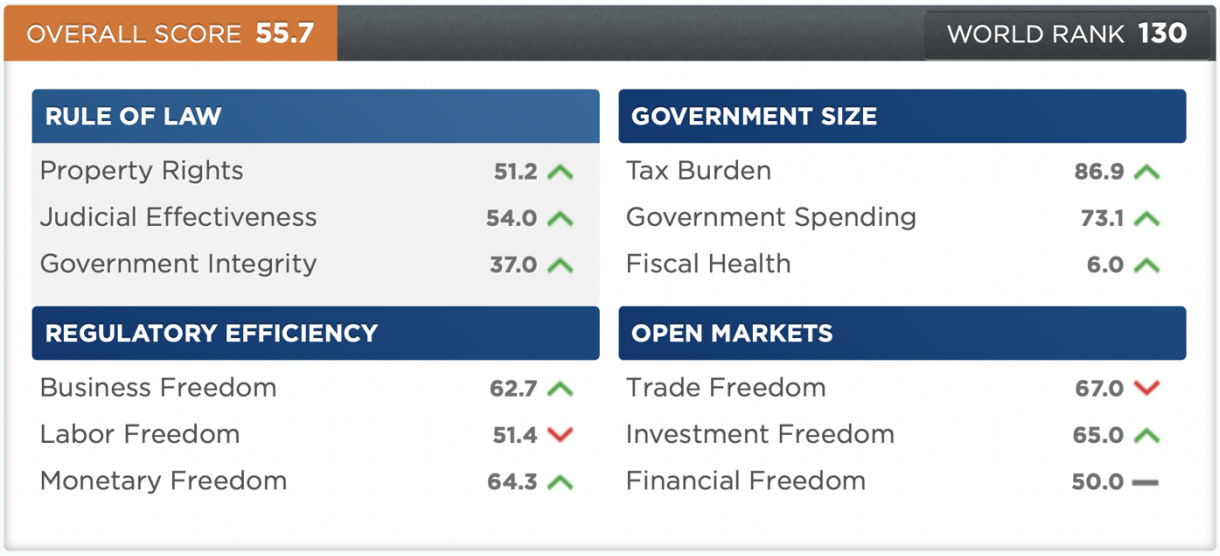
Figure (6): Egypt's score in the Index of Economic Freedom (2021)



Source: Egypt, Index of Economic Freedom, The Heritage Foundation (2021).

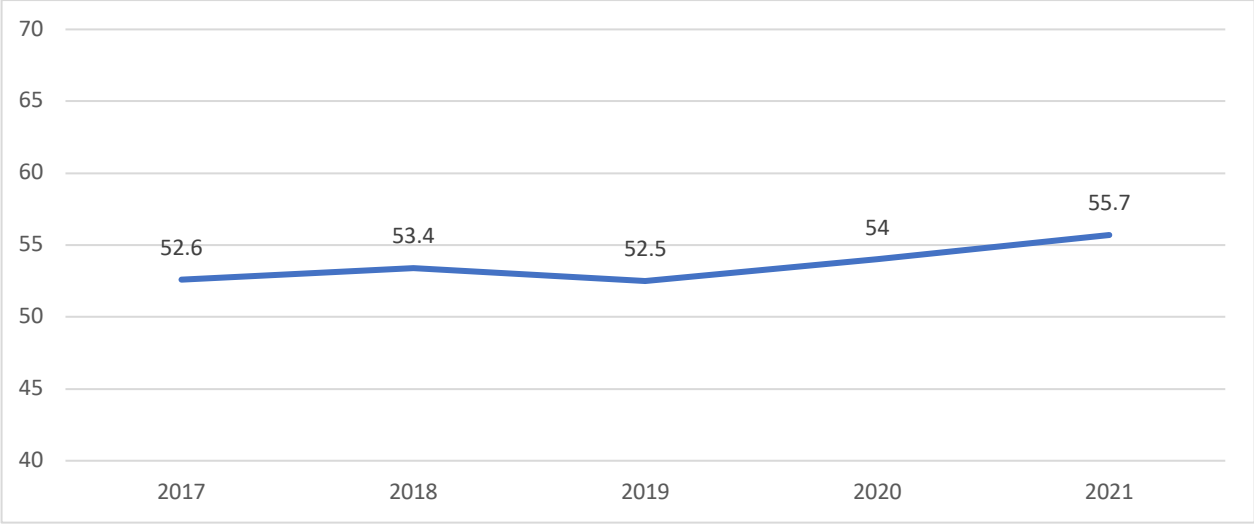
Underlying this increase in score is a remarkable improvement in 9 out of the 12 factors of economic freedom, as shown in figure (7). Egypt's highest and lowest scores fell into the same category with the 'Tax Burden' factor, which increased this year to 86.9, being the highest, while the 'Fiscal Health' factor being the lowest. Yet, the fiscal health did increase from 2.8 in 2020 to 6 in 2021. The highest increase this year was in the 'Investment Freedom' factor, which increased by 5 points (The Heritage Foundation, 2021).

Figure (7): Breakdown of Egypt's score in the Index of Economic Freedom (2021)



Source: Egypt, Index of Economic Freedom, The Heritage Foundation (2021).

Figure (8): Egypt's trend in the Index of Economic Freedom (2017-2021)



Source: Egypt, Index of Economic Freedom, The Heritage Foundation (2021).

INSTITUTE FOR ECONOMICS AND PEACE

GLOBAL PEACE INDEX

BACKGROUND AND METHODOLOGY

The Global Peace Index (GPI) was developed by a global think tank, the Institute for Economics and Peace (IEP), to present the most comprehensive data-driven analysis on trends in peace, its economic value, and how to develop peaceful societies. The IEP define peace as "*the harmony achieved by the absence of violence or the fear of violence, which has been described as Negative Peace*" (Institute for Economics and Peace, 2021b).

The GPI is a composite index that measures peacefulness and the countries level of Negative Peace through 23 quantitative and qualitative indicators across three domains:

1) Societal Safety and Security (10 indicators): Evaluates the level of harmony or discord within a nation.

2) Ongoing Domestic and International Conflict (6 indicators): The extent to which countries are involved in domestic or international conflicts, as well as their role and the duration of involvement in the conflicts.

3) Militarisation (7 indicators): Reflects the link between the country's level of military build-up and access to weapons and its level of peacefulness, both domestically and internationally.

The 2021 edition of the GPI is the 15th release, which covers 163 countries. All scores of the indicators are normalized on a scale of 1 (highest score) – 5 (lowest score). Quantitative indicators are scored from 1-5, to the third decimal point, while qualitative indicators are banded into five groupings. The indicators are weighted according to the relative importance of the indicator to global peace, and then combined into an overall score. The GPI is an inverted measure of peace, meaning that scores close to 1 indicate more peace. Countries are also ranked according to their score, with the higher ranks indicating more violence (Institute for Economics and Peace, 2021b).

The GPI relies on quantitative and qualitative data from different data sources. The Economist Intelligence Unit (EIU) is one of the main sources as it scores six qualitative indicators and fills in data gaps in quantitative indicators by providing imputed estimates. Other sources of data include the Gallup World Poll and the UNODC Survey of Crime Trends and Operations of Criminal Justice Systems (Institute for Economics and Peace, 2021b).

EGYPT'S PERFORMANCE

Egypt scored 2.397 points in the 2021 GPI, which rank it as the 126th country in the report. This score is an improvement compared to the 2020 score of 2.481, which moved Egypt up by 3 places. Regionally, Egypt was ranked as 11th out of 20 MENA countries covered by the report. The average score for the region was 2.459 (Institute for Economics and Peace, 2021b).

This year's results show that the average level of global peacefulness deteriorated by 0.07%, putting the global average at 2.4. Therefore, Egypt's performance this year is better than the global average. Additionally, this puts Egypt among the 87 countries that witnessed an improvement in this year's score (Institute for Economics and Peace, 2021b).

Looking at the breakdown of Egypt's scores per domain, Egypt's best score was in 'Militarisation', which also witnessed the biggest improvement this year. In terms of rank, however, Egypt's highest achieved rank was in the 'Societal Safety and Security' domain (Institute for Economics and Peace, 2021b).

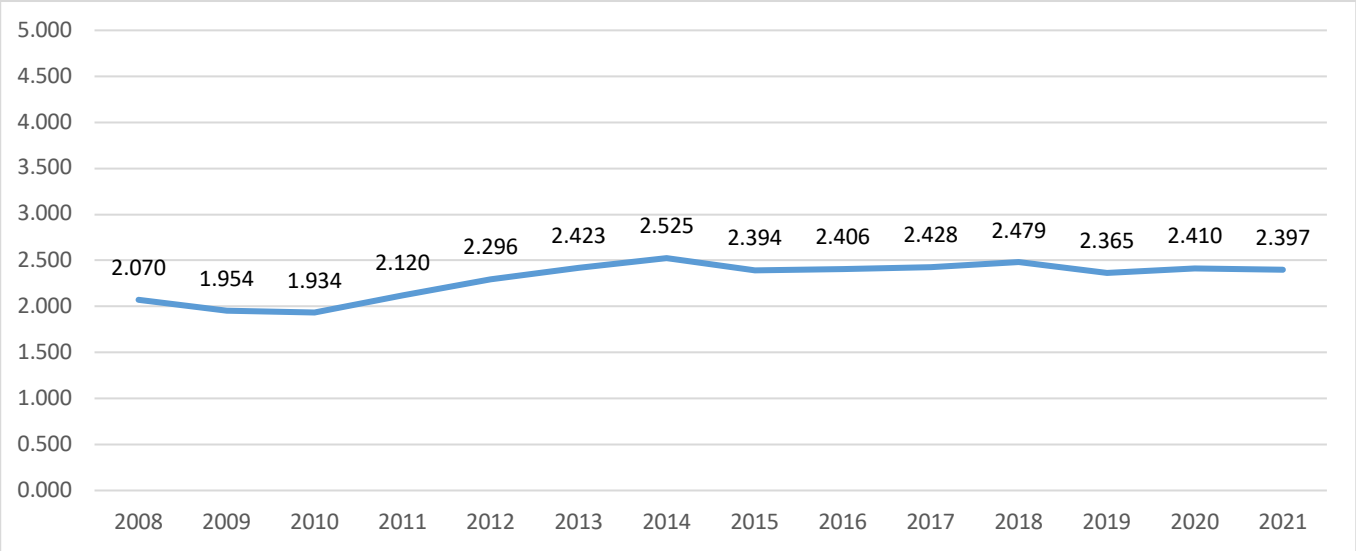
Table (3): Breakdown of Egypt's scores in the Global Peace Index (GPI) (2021)

Indicator	Score	Change	Rank	Change
Ongoing Domestic and International Conflict	2.419	-0.055	136th	+1
Societal Safety and Security	2.591	-0.003	101st	-1
Militarisation	2.103	-0.282	130th	+17

Source: Global Peace Index, Institute for Economics and Peace (IEP) (2021).

Looking at Egypt's score over time, it is clear that there has been a slight deterioration since 2011, which the report attributes to the 2011 Revolution that affected the state of peace in Egypt.

Figure (9): Egypt's scores in the Global Peace Index (GPI) (2008 – 2021)



Source: Global Peace Index, Institute for Economics and Peace (IEP) (2021).

THE ECONOMIC VALUE OF PEACE

BACKGROUND AND METHODOLOGY

The Economic Value of Peace report is another publication of the Institute for Economics and Peace (IEP) which measures the economic cost and impact of violence and conflict on the global economy. The purpose of this report is to provide an empirical basis to better understand the economic benefits resulting from the improvements in peace and the adverse implications of violence that hinder productivity, destabilizes institutions, and reduces business confidence. The economic impact of violence is defined by the IEP as the expenditure and economic effects related to "*containing, preventing and dealing with the consequences of violence*" (Institute for Economics and Peace, 2021a).

The IEP model measures the total economic impact of violence as the sum of all costs of containing violence, and of dealing with its consequences in the short and long term. The total impact is broken down by the IEP into three categories:

1) Direct costs: the cost of violence to the victim, the perpetrator, and the government. These include direct expenditures, such as policing, military, and medical expenses.
2) Indirect costs: the costs accrued after the violent event, and include indirect economic losses, physical and psychological trauma to the victim and lost productivity.
3) The multiplier effect: applied to the direct costs and represents the lost opportunity cost of violence such as additional economic benefits that would come from investment instead of the less productive costs of containing or dealing with violence.

It is calculated by comprehensively aggregating the costs related to violence, armed conflict, and spending on the military and internal security services. This includes 18 variables that are divided into the following domains:

1) Violence Containment – 6 variables
2) Armed Conflict – 7 variables
3) Interpersonal and Self-Inflicted Violence – 5 variables

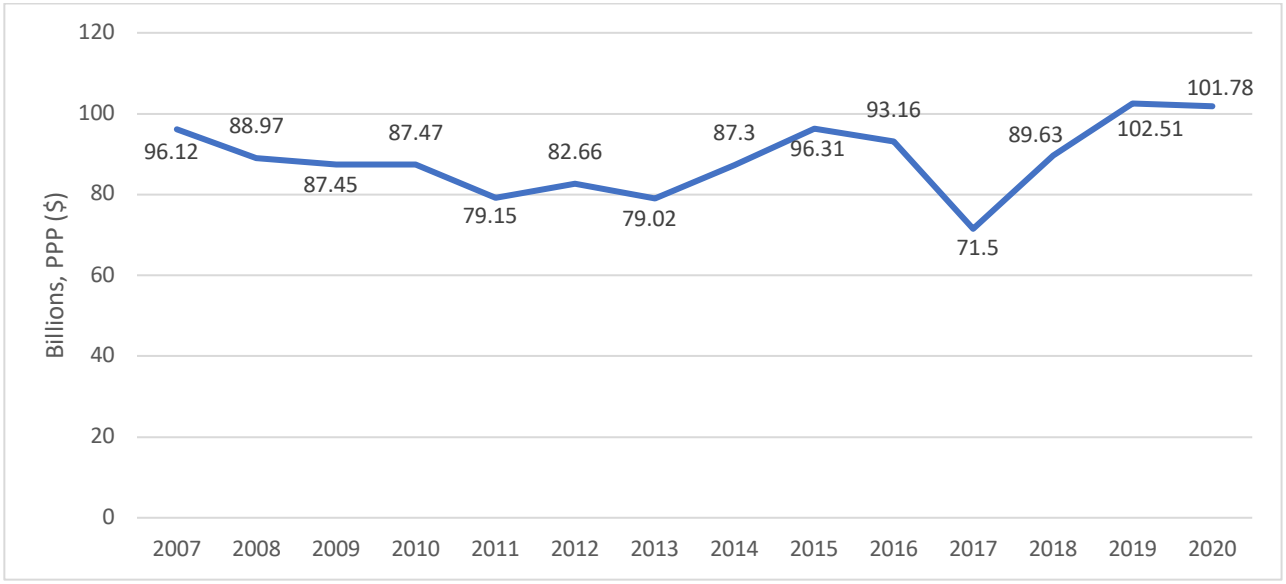
The economic cost of violence for each country appears as constant purchasing power parity (PPP) international dollars, and it also appears as a percentage of GDP. Countries are then ranked according to the economic cost of violence as a percentage of their GDP, with the most affected country taking up the first place (Institute for Economics and Peace, 2021a).

It is important for the interpretation of the results to note that the economic burden can be reduced through either reducing the level of violence or reducing the budgets allocated to violence containment. The latter is not ideal and can result in more violence, and thus greater costs. The economic benefits accrued from reducing the level of violence can be thought of as a peace dividend (Institute for Economics and Peace, 2021a).

EGYPT'S PERFORMANCE

The 2020 results rank Egypt as the 144th country out of 163 countries included in the study. This implies that Egypt is one of the least affected countries in terms of the cost of violence as a percentage of GDP. The IEP estimates the costs of violence for Egypt as 4% of its GDP. Additionally, Egypt's rank also improved by 4 places between the 2019 results (found in the 2021 Economic Value of Peace Report) and the 2020 results (found in the Global Peace Index Report 2021), putting Egypt in the top 20 least affected economies in terms of economic cost. Figure (10) shows the total yearly cost of violence, in dollars, for Egypt between 2007 and 2020 (Institute for Economics and Peace, 2021a).

Figure (10): Economic Impact of Violence in Egypt (2007 -2020)



Sources: Global Peace Index (2021), and the Economic Value of Peace Report (2021), Institute for Economics and Peace (IEP) (2021).

POSITIVE PEACE REPORT

BACKGROUND AND METHODOLOGY

As the Institute of Economics and Peace believes that peace is about much more than the absence of violence, they also publish the Positive Peace Report, which aims to explain and measure the factors that allow peace to flourish. This report complements the Global Peace Index, which indicates how peaceful a country is, however without exploring what or where to invest to strengthen or maintain levels of peace (Institute for Economics and Peace, 2020).

Positive Peace is defined by the IEP as "*The attitudes, institutions and structures that create and sustain peaceful societies.*" The Index models the relationship between positive peace and the actual level of peace of a country, as measured by the Global Peace Index (GPI). It relies on cross-country measures of economic and social progress, as Positive Peace is highly correlated to GDP growth, better environmental outcomes, and social resilience (Institute for Economics and Peace, 2020).

The Positive Peace Index (PPI) has eight pillars, each containing three indicators. These pillars work inter-dependently and mutually affect each other. Therefore, it is important to think of them as a whole, and to employ systems thinking (Institute for Economics and Peace, 2020).

The PPI pillars are as follows:

- Well-Functioning Government
- Sound Business Environment
- Acceptance of the Rights of Others
- Good Relations with Neighbours
- Free Flow of Information
- High Levels of Human Capital
- Low Levels of Corruption
- Equitable Distribution of Resources

The Index is empirically derived using statistical analysis that aims to identify the common characteristics of the world's most peaceful countries. The IEP statistically compares national data series, indices, and attitudinal surveys to the internal measures of the GPI to determine which factors had the highest correlations. The indicators were then given weights according to the strength of the correlation coefficient to the GPI scores. According to the IEP, this makes the Index unique in that it is free from pre-established biases (Institute for Economics and Peace, 2020).

Countries that have a higher rank in negative peace than in Positive Peace are said to have a Positive Peace deficit, meaning that a country has recorded a level of peace in the GPI that is higher than what can be sustained by its internal socioeconomic development (Institute for Economics and Peace, 2020).

The report measures Positive Peace in 163 countries, with each country receiving a score between 1 (highest score) – 5 (lowest score) (Institute for Economics and Peace, 2020).

EGYPT'S PERFORMANCE

The 2020 results rank Egypt as the 116th country, with a score of 3.52. This is an improvement compared to the 2019 score and rank as highlighted in table (4). In the 2020 report, Egypt scored highest in the 'High Levels of Human Capital' pillar, followed by the 'Sound Business Environment' pillar. Both pillars also improved the most between 2019 and 2020, with the 'Sound Business Environment' by far exceeding any improvement in the rest of the pillars (Institute for Economics and Peace, 2020).

Table (4): Breakdown of Egypt's scores in the Positive Peace Index (GPI) (2020)

Index	Score	Change	Rank	Change
Positive Peace Index	3.52	-0.11	116	+4
Pillar	Score	Change	Rank	Change
Well-Functioning Government	3.75	+0.18	-	-
Low Levels of Corruption	3.73	-0.12	-	-
Sound Business Environment	3.15	-0.59	-	-
Equitable Distribution of Resources	3.52	-0.09	-	-
Acceptance of the Rights of Others	3.84	-0.12	-	-
Free Flow of Information	3.48	-0.18	-	-
High Levels of Human Capital	3.07	-0.27	-	-
Good Relations with Neighbours	3.51	+0.05	-	-

Source: Positive Peace Report, Institute for Economics and Peace (IEP) (2020).

INTERNATIONAL TELECOMMUNICATION UNION

GLOBAL CYBERSECURITY INDEX

BACKGROUND AND METHODOLOGY

The Global Cybersecurity Index (GCI) was developed by the International Telecommunication Union (ITU), the UN specialized agency for ICTs. First launched in 2015, the index measures the commitment of 193 ITU Member States and the State of Palestine to cybersecurity. The Index is meant to help countries identify gaps and areas of improvement, as well as offer recommendations for countries to incorporate in order to improve their cybersecurity postures (International Telecommunication Union (ITU), 2021).

The GCI is a composite index that is composed of 20 indicators divided into five pillars. The five pillars are:

- Legal Measures: Measuring the laws and regulations on cybercrime and cybersecurity.
- Technical Measures: Measuring the implementation of technical capabilities through national and sector-specific agencies.
- Organizational Measures: Measuring the national strategies and organizations implementing cybersecurity.
- Capacity Development Measures: Measuring awareness campaigns, training, education, and incentives for cybersecurity capacity development.
- Cooperation Measures: Measuring partnerships between agencies, firms, and countries.

As the GCI is a weighted composite index, a group of experts assign weights to each indicator, sub-indicator, and micro-indicator according to their relative importance to the indicator group. Indicator groups are then aggregated using weighted arithmetic averages (International Telecommunication Union (ITU), 2021).

The GCI relies on a questionnaire that is sent to Member States with the request of selecting a focal point responsible for providing all the relevant data and completing the survey. The questionnaire is composed of 82 questions that are mapped across the 20 indicators. Primary and secondary data collection by ITU is also done to compensate the absence of an answered questionnaire or supplement the questionnaire respectively (International Telecommunication Union (ITU), 2021).

The fourth and latest edition of the GCI underwent several changes to reflect the constant changes in cybersecurity efforts and concerns. Changes were made to the questionnaire and the weightages, as well as the scoring scale, which changed from 0-1 to be on a scale of 0 (lowest score) to 100 (highest score), with each pillar scored out of 20 points. Therefore, this edition cannot be compared to previous ones (International Telecommunication Union (ITU), 2021).

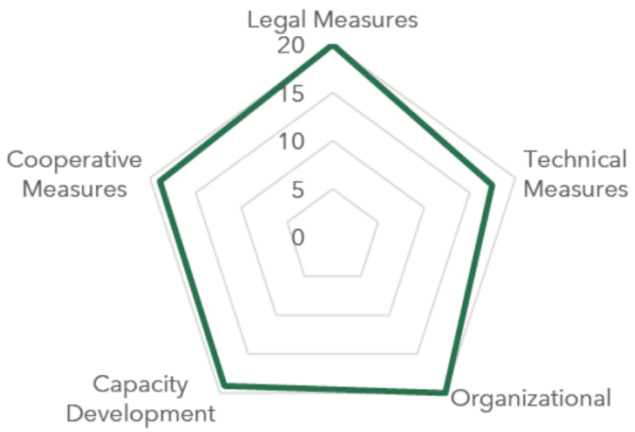
EGYPT'S PERFORMANCE

In the 2020 GCI, released in 2021, Egypt achieved an impressive score of 95.48, which placed it as the 23rd country among the 182 countries in this edition. Regionally, Egypt ranked 4th among 22 Arab countries in the report. Egypt achieved a perfect score in the Legal Measures and Organizational Measures pillars while it's least score was in the

Technical Measures pillar. The National Telecom Regulatory Authority (NTRA) in Egypt was mentioned as one of the contributing partners to the GCI (International Telecommunication Union (ITU), 2021).

Figure (11): Breakdown of Egypt's Scores in 2020 Global Cybersecurity Index (2021)

Egypt (Arab Republic of)



Development Level:
Developing Country

Area(s) of Relative Strength
Legal, Organizational Measures, Capacity Development
Area(s) of Potential Growth

Overall Score	Legal Measures	Technical Measures	Organizational Measures	Capacity Development	Cooperative Measures
95.48	20.00	17.45	20.00	19.12	18.91

Source: Global Cybersecurity Index 2020, ITU (2021).

TRANSPARENCY INTERNATIONAL

CORRUPTION PERCEPTIONS INDEX

BACKGROUND AND METHODOLOGY

The Corruption Perceptions Index (CPI) is a composite index established by Transparency International, which measures the perceived level of corruption in the public sector through surveying experts and businesspeople. The index measures corruption through prevalence of specific behaviours such as bribery, embezzlement, abuse of power for personal interests, overpricing and favouritism in civil service. The index also examines the established anti-corruption mechanisms like mechanisms to hold corrupt leaders accountable, the government's ability to apply integrity measures, and the existence of adequate laws around financial disclosure and preventing conflicts of interest (Transparency International, 2021).

This index annually evaluates the perceived level of corruption of 177 to 182 countries, giving each country a score between 0 (lowest score) and 100 (highest score) (Transparency International, 2021).

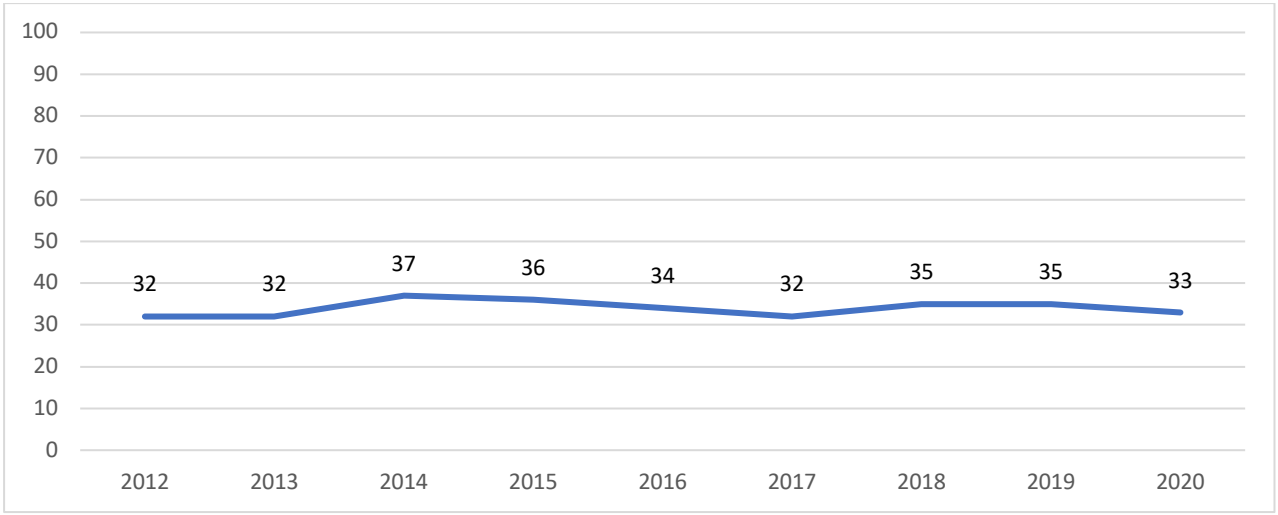
EGYPT'S PERFORMANCE

Monitoring Egypt's performance in the Corruption Perceptions Index over the years, it is apparent that Egypt's scores were consistently low. In the 2020 CPI, Egypt scored 33 points out of 100, ranking it as the 117th country out of the 180 countries included in the analysis. This score is down from 35 points in 2019, which set Egypt back 11 places on the global ranking scale. Countries with the same score as Egypt included Eswatini, Zambia, Nepal, Sierra Leone, and Ukraine (Transparency International, 2021).

On the regional front, Transparency International regards the Middle East and North Africa (MENA) region as highly corrupt, with an average score of 39 in the CPI. Egypt falls close to this average, taking up the 12th place out of the 18 CPI countries in the region. The highest-scoring countries in the region were the United Arab Emirates (71/100) and Qatar (63/100), while the lowest were Yemen (15/100) and Syria (14/100) (Transparency International, 2021).

Figure (12) shows Egypt's performance in the CPI between 2012 and 2020, and it suggests that there is a slight decline in Egypt's score since 2014. Overall, Egypt's score has been relatively stable over the past decade.

Figure (12): Egypt's trend in the Corruption Perception Index (CPI) (2012 – 2020)



Source: Corruption Perception Index, Transparency International (2021).

WORLD BANK

WORLDWIDE GOVERNANCE INDICATORS

BACKGROUND AND METHODOLOGY

The Worldwide Governance Indicators (WGIs) are a set of indicators that measure the quality of governance for more than 200 countries. These indicators are considered composite indicators, meaning that they rely on more than 30 opinion-based governance indices published by different international organizations, non-government organizations, private sector organizations or research tanks. The WGIs use these indices as their only source of data, therefore they aggregate the scores of each country in each dimension and reflect the opinions of experts, citizens, and businesses as reported by the sources (World Bank, 2021b).

The WGIs are composed of six indicators that represent six dimensions of governance, and they are:

- Voice and Accountability
- Political Stability and Absence of Violence/Terrorism
- Government Effectiveness
- Regulatory Quality
- Rule of Law
- Control of Corruption

Each indicator in the WGIs receives a score between -2.5 and 2.5, with a higher score indicating a higher level of governance. Percentile ranks are also calculated for each indicator for each country in the WGIs through calculating average scores from the country's scores in sources. A percentile rank is given on a scale of 0 (lowest score) to 100 (highest score). Unlike most indices, the WGIs' country scores are accompanied by standard errors. This is to account for the possible differences in the numbers of sources for each country or discrepancies in scores from the sources. Therefore, a bigger standard error reflects the difficulty of measuring the quality of governance, given the difference in accuracy and number of sources for each country (World Bank, 2021b).

EGYPT'S PERFORMANCE

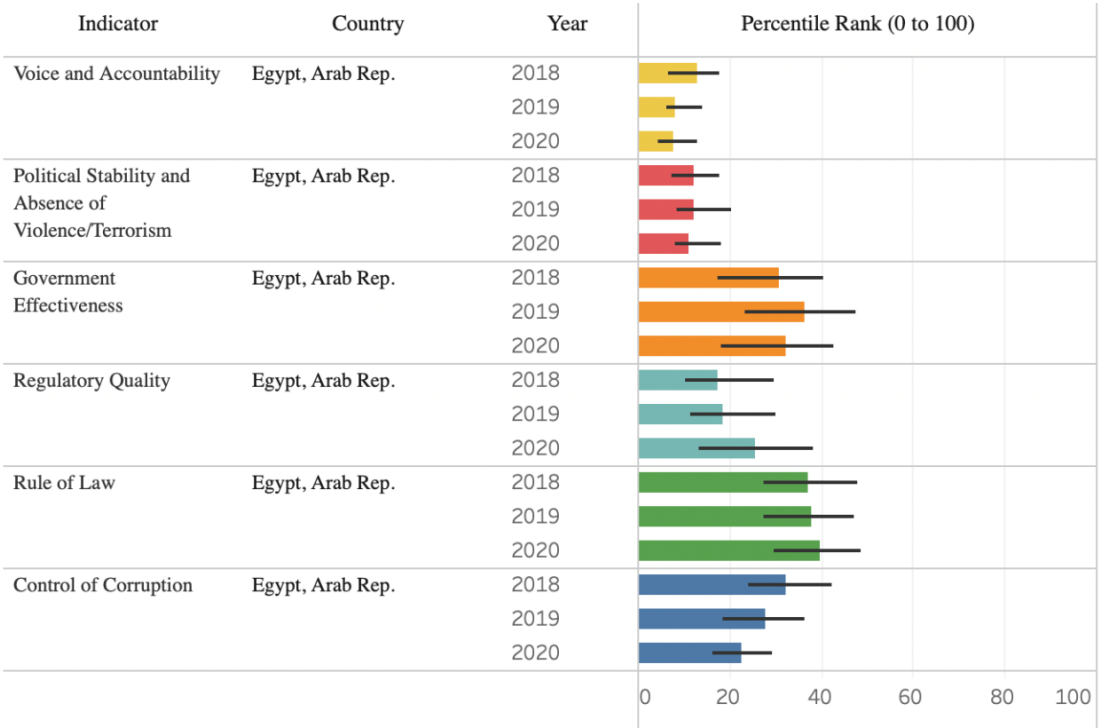
In the 2020 WGIs, which were released in 2021, Egypt's performance improved for two indicators and declined in the four remaining indicators. The two indicators that witnessed an improvement were 'Regulatory Quality' and 'Rule of Law'. Egypt's latest scores and percentile ranks can be found in table (5).

Table (5): Breakdown of Egypt's scores and ranks in the 2020 Worldwide Governance Indicators (2021)

Indicator	Score	Change	Percentile Rank	Change
Voice and Accountability	-1.49	-0.04	7.73	-0.48
Political Stability and Absence of Violence/Terrorism	-1.21	-0.1	11.32	-0.49
Government Effectiveness	-0.55	-0.13	32.21	-4.33
Regulatory Quality	-0.69	+0.14	25.48	+6.73
Rule of Law	-0.36	+0.06	39.9	+1.92
Control of Corruption	-0.81	-0.14	22.6	-5.28

Source: Worldwide Governance Indicators, World Bank (2021).

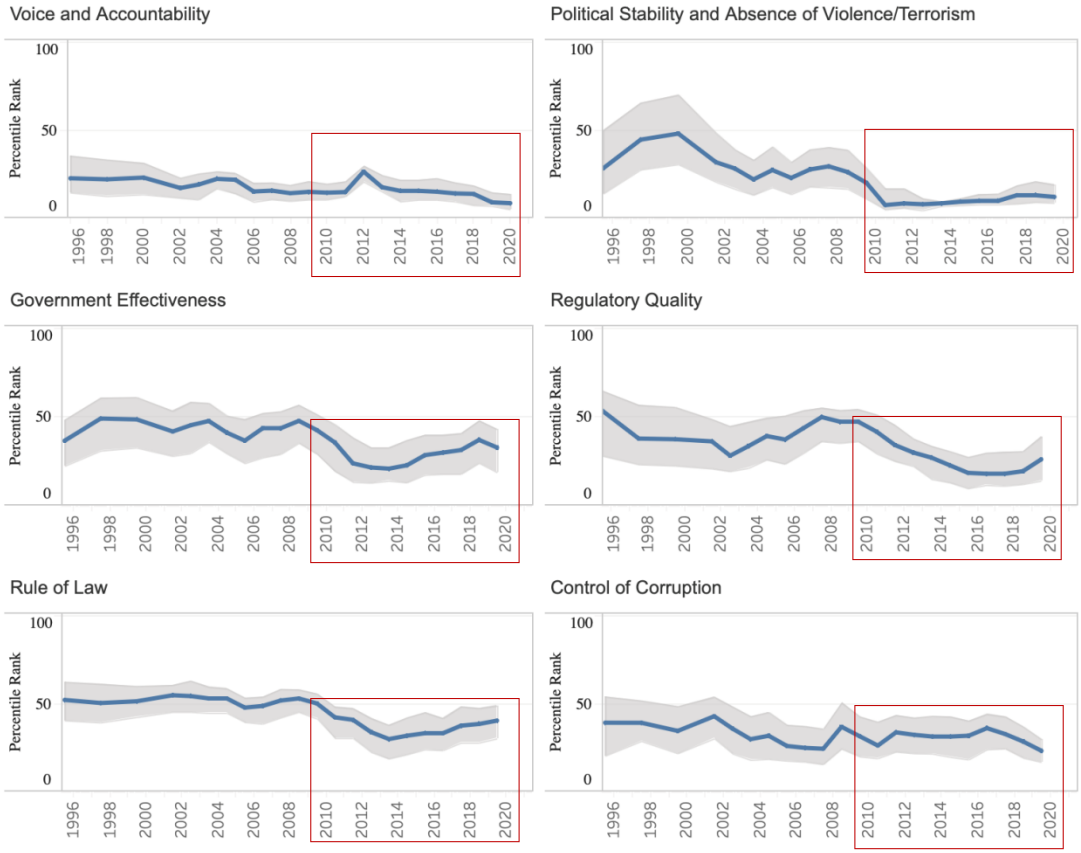
Figure (13): Egypt's percentile ranks in the Worldwide Governance Indicators 2018 – 2020 (2021)



Source: Worldwide Governance Indicators, World Bank (2021).

The World Bank emphasizes the need to look at long-term trends when examining the WGIs (World Bank, 2021b). As shown in figure (14), the trend for Egypt over the past decade is overall positive for some indicators, and relatively stable for others. The 'Political Stability and Absence of Violence/Terrorism' indicator shows a slightly positive trend since 2011. The 'Regulatory Quality', 'Government Effectiveness' and 'Rule of Law' indicators have seen a decline before climbing back up. As for the 'Voice and Accountability' and 'Control of Corruption' indicators, they have both been oscillating over the past decade.

Figure (14): Egypt's trends in the Worldwide Governance Indicators (1996-2020)



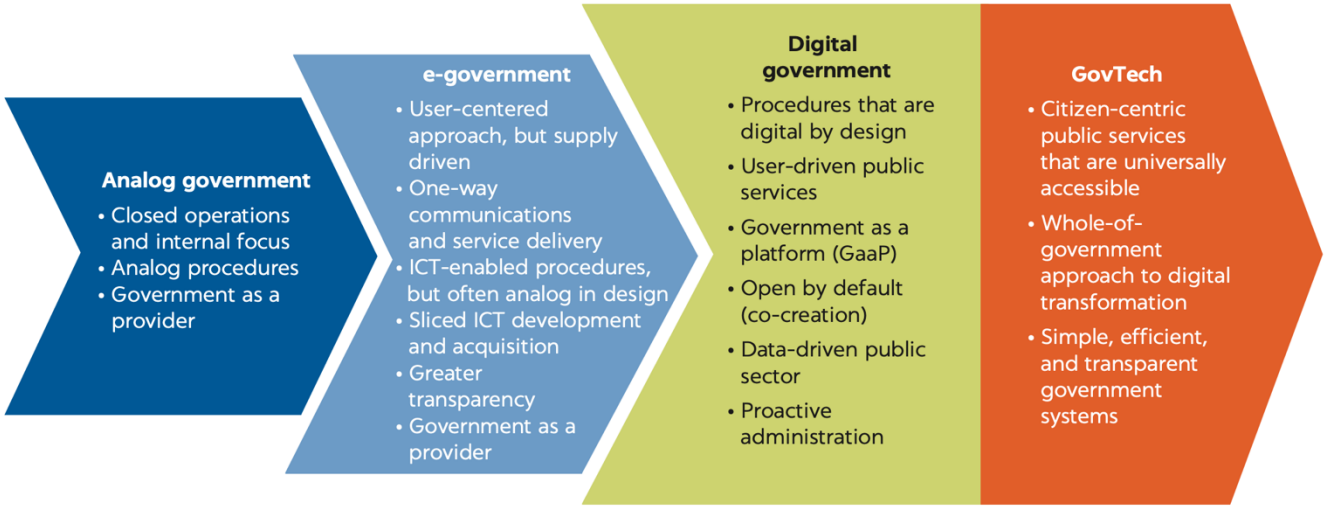
Source: Worldwide Governance Indicators, World Bank (2021).

GovTech Maturity Index

Background and Methodology

The GovTech Maturity Index (GTMI) is an index that was developed by the World Bank to measure the maturity of digital transformation in the public sector. GovTech is described as "*a whole-of-government approach to public sector modernization that promotes simple, efficient, and transparent government with the citizen at the center of reforms*". It is a new phase of government digital transformation that is characterized by having citizen-centric public services, a whole-of-government approach to public sector digital transformation, as well as simple, efficient, and transparent government systems. Additionally, GovTech incorporates disruptive technologies such as artificial intelligence (AI) and machine learning, cloud computing and the Internet of Things, public data platforms, local GovTech ecosystems, and greater reliance on public-private partnerships (World Bank, 2021).

Figure (15): Phases of Digital Transformation of the Public Sector



Source: World Bank, based on OECD 2019.
Note: ICT = information and communication technology. The term *sliced ICT development and acquisition* is the purchase and deployment of fragmented and disconnected ICT solutions with no or little focus on interoperability.

Source: GovTech Maturity Index Report, World Bank (2021).

The GTMI is meant to assist practitioners, policymakers, and task teams in designing new digital transformation projects. It has four focus areas of GovTech, namely supporting core government systems, enhancing service delivery, mainstreaming citizen engagement, and fostering GovTech enablers. The GTMI is a composite indicator that covers 198 countries. The results of the GTMI are based on 48 key indicators that cover the four GovTech focus areas. The indicators are distributed as follows:

- Core Government Systems Index (CGSI) – 15 indicators
- Public Service Delivery Index (PSDI) – 6 composite indicators
- Citizen Engagement Index (CEI) – 12 indicators
- GovTech Enablers Index (GTEI) – 15 indicators

The four GTMI indices are complementary, meaning that improving one aspect of the GovTech focus areas improves the other parts. The simple average of the four indices forms the score of the GTMI, however, each index is computed as the normalized weighted average of relevant indicator scores. These weights were allocated based on expert opinion. In addition to getting a score between 0 (lowest score) and 1 (highest score), countries are categorized into four groups based on their score, as shown in figure (16) (World Bank, 2021).

Figure (16): Definition of GovTech Maturity Index (GTMI) groups

GROUP	SCORE	GTMI	DESCRIPTION OF GOVERNMENT PRACTICES
A	0.75–1.00	Very high	GovTech leaders demonstrating advanced or innovative solutions and good practices in all four focus areas
B	0.50–0.74	High	Governments with significant GovTech investments and good practices in most of the focus areas
C	0.25–0.49	Medium	Governments with ongoing activities to improve some of the GovTech focus areas
D	0–0.24	Low	Governments with minimal focus on GovTech initiatives

Source: World Bank staff.

Source: GovTech Maturity Index Report, World Bank (2021).

EGYPT'S PERFORMANCE

Egypt falls in group B of the GTMI classification, along with 59 other economies which represent 30% of the countries in the report. This means that Egypt's GTMI score is considered high, and the government shows significant focus on GovTech investments. The biggest portion of countries fall under group C with only some focus on GovTech. As shown in table (6), Egypt's achieved the highest score in the Core Government Systems Index and its lowest score was achieved in the Citizen Engagement Index (World Bank, 2021).

Table (6): Egypt's scores in the GovTech Maturity Index (GTMI) (2021)

Indicator	Score	Global Average
GovTech Maturity Index (GTMI)	0.65	0.52
• Core Government Systems Index (CGSI)	0.73	0.48
• Public Service Delivery Index (PSDI)	0.64	0.61
• Citizen Engagement Index (CEI)	0.54	0.46
• GovTech Enablers Index (GTEI)	0.68	0.53

Source: GovTech Maturity Index Report, World Bank (2021).

WORLD INTELLECTUAL PROPERTY ORGANIZATION

GLOBAL INNOVATION INDEX

BACKGROUND AND METHODOLOGY

The Global Innovation Index was developed by the World Intellectual Property Organization (WIPO) to track the latest innovation trends and provide detailed innovation metrics for 132 economies and their innovation ecosystem performance. It ranks the innovation ecosystem performance of economies around the globe each year while highlighting innovation strengths and weaknesses and particular gaps in innovation metrics (World Intellectual Property Organization, 2021).

The Index is composed of two sub-indices – the Innovation Input Sub-Index (5 indicators) and the Innovation Output Sub-Index (2 indicators). The scores of these sub-indices are calculated as the simple averages of their underlying indicators. Overall, the GII has 81 indicators at various levels (World Intellectual Property Organization, 2021).

The indicators within the two GII Indices are as follows:

- **Innovation Input Sub-Index:** Institutions, Human Capital and Research, Infrastructure, Market Sophistication, and Business Sophistication.
- **Innovation Output Sub-Index:** Knowledge and Technology Outputs, and Creative Outputs.

Each country is given an overall GII score on a scale of 0 (lowest score) to 100 (highest score) points, and a rank out of the 132 countries. The Index uses three types of data, namely composite (or index) indicators, surveys, and hard data series (World Intellectual Property Organization, 2021).

EGYPT'S PERFORMANCE

Egypt scored 25.1 out of 100 points in the 2021 GII, and was ranked as the 94th economy, which is an improvement from its previous score and rank in 2020 of 24.23 and 96th place. It is ranked as 86th in the Innovation Output Sub-Index, which is a decline from the previous rank of 82nd, and 102nd in the Innovation Input Sub-Index which is an improvement in it rank by 2 places. Regionally, Egypt is ranked as the 17th economy in the Northern Africa and Western Asia (World Intellectual Property Organization, 2021).

Table (7): Egypt's scores and ranks in the Global Innovation Index (GII) (2021)

Index	Score	Change	Rank	Change
Global Innovation Index (GII)	25.1	+0.87	94th	+2
Innovation Output Sub-Index	32.7	-	86th	-4
Innovation Input Sub-Index	17.46	-	102nd	+2

Source: Global Innovation Index Report, World Intellectual Property Organization (WIPO) (2021).

The highest score was in the 'Institutions' indicator (49.3), which measures the political, regulatory, and business environments. This was followed by 'Market Sophistication' (40.9) and 'Infrastructure' (33.5), both of which improved the most in terms of ranks this year. Egypt's least scores were in the 'Business Sophistication' (18.0) and

'Creative Outputs' (15.5) indicators, although the 'Creative Outputs' indicator's score improved the most. However, in terms of rank, Egypt's highest rank was in 'Knowledge and Technology Output' (70th), which shows that scores alone can be misleading (World Intellectual Property Organization, 2021).

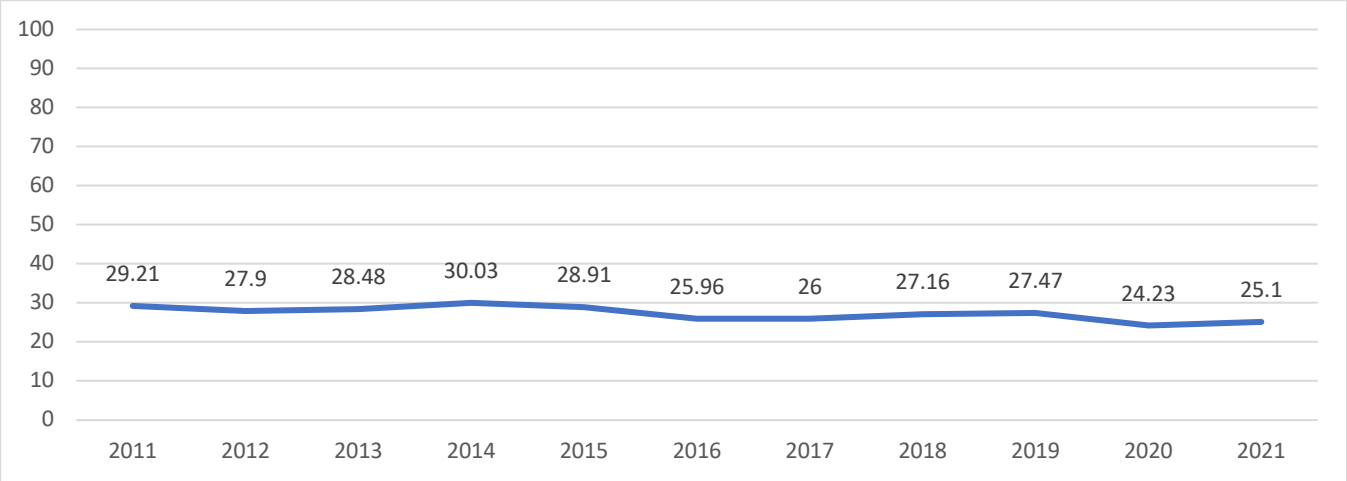
Table (8): Breakdown of Egypt's scores in the Global Innovation Index (GII) (2021)

Index	Indicator	Score	Change	Rank	Change
Innovation Input Sub-Index	Institutions	49.3	+0.7	114th	+1
	Human Capital and Research	21.8	+0.3	93rd	-3
	Infrastructure	33.5	+2	92nd	+7
	Market Sophistication	40.9	+1.6	96th	+10
	Business Sophistication	18.0	-0.7	106th	-3
Innovation Output Sub-Index	Knowledge and Technology Outputs	19.4	-0.3	70th	-5
	Creative Outputs	15.5	+2.1	104th	-3

Source: Global Innovation Index Report, World Intellectual Property Organization (WIPO) (2021).

Over the past decade, Egypt's GII scores have fluctuated slightly. However, they are relatively steady and remain persistently low [Figure 17]. Overall, WIPO considers Egypt's performance below expectations for its level of development relative to GDP. However, Egypt does produce more innovation outputs relative to its level of innovation investment (World Intellectual Property Organization, 2021).

Figure (17): Egypt's scores in the Global Innovation Index (2011-2021)



Source: Global Innovation Index Report, World Intellectual Property Organization (WIPO) (2011-2021).

WORLD JUSTICE PROJECT

RULE OF LAW INDEX

BACKGROUND AND METHODOLOGY

The Rule of Law Index was developed by the World Justice Project (WJP) and is released annually since 2008 to quantify and measure the implementation of the rule of law in countries around the world. The WJP developed a conceptual framework for the Rule of Law Index, comprised of 8 factors and broken down into 44 sub-factors (World Justice Project, 2021a).

The Rule of Law Index relies on two main data sources, namely the General Population Poll (GPP) and the Qualified Respondents Questionnaires (QRQs). The former is conducted by local polling companies using a representative sample of 1000 respondents in each country, while the latter consists of close-ended questions completed by in-country legal practitioners, experts, and academics in the various fields of law. The topics covered by these two methods are related to the adherence to the rule of law, when it comes to policy implementation, civilian access to courts, crime control and other aspects. Overall, the index emphasizes the experience and perception of the public as the main tool to access how effectively the rule of law is applied (World Justice Project, 2021a).

The 2021 index report covers 139 countries in its analysis, which is higher than the 2020 report as it covered 128 countries. Each country is given a score on a scale of 0 (lowest score) – 1 (highest score), and then countries are ranked according to their scores (World Justice Project, 2021a).

EGYPT'S PERFORMANCE

In the 2021 report, Egypt was given a score of 0.35 and was ranked globally as 136th. This score is a deterioration compared to the 2020 score; however, the rank remains unchanged (taking into consideration the increase in the number of countries covered by the report from year to year). Egypt was again ranked lowest amongst the 8 countries in the region that were included in the report, with the average regional score being 0.49. Meanwhile, the global average was 0.56 (World Justice Project, 2021a).

The best score achieved by Egypt across the eight factors was again in 'Order and Security' (0.63), which also happened to be the only factor that increased this year. However, this score is still lower than the regional and global averages of 0.72. Egypt's score decreased for six of the eight factors, with only one factor that remained unchanged. Egypt's lowest scores are in the 'Open Government', 'Constraints on Government Power', and 'Fundamental Rights' factors with scores of 0.22, 0.24 and 0.24 respectively (World Justice Project, 2021b).

Figure (18): Egypt's score and rank in the Rule of Law Index (2021)

Overall Score	Regional Rank	Income Rank	Global Rank
0.35	8/8	34/35	136/139
Score Change	Rank Change		
-0.01 ▼	0		

Source: Rule of Law Index, World Justice Project (2021).

Figure (19): Breakdown of Egypt's scores and ranks in the Rule of Law Index (2021)

	Factor Score	Score Change	Regional Rank	Income Rank	Global Rank
Constraints on Government Powers	0.24	-0.03	8/8	35/35	138/139
Absence of Corruption	0.38	-0.02	7/8	17/35	104/139
Open Government	0.22	0.00	8/8	35/35	139/139
Fundamental Rights	0.24	-0.03	7/8	35/35	138/139
Order and Security	0.63	0.06*	8/8	27/35	113/139
Regulatory Enforcement	0.36	-0.01	8/8	32/35	130/139
Civil Justice	0.37	-0.01	8/8	31/35	130/139
Criminal Justice	0.34	-0.03	8/8	24/35	109/139

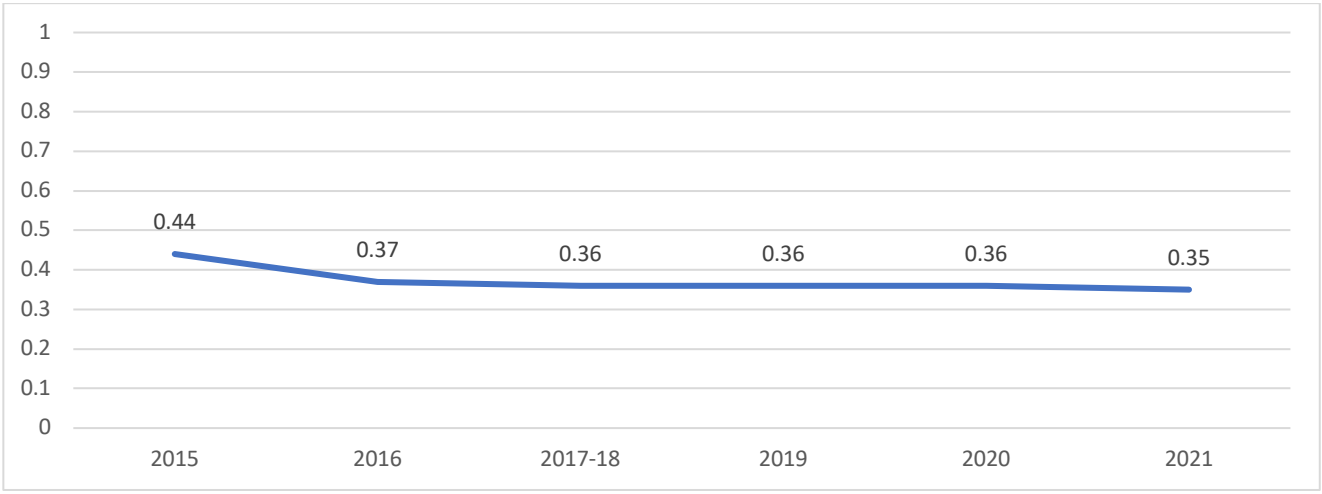
* Indicates statistically significant change at the 10 percent level

Low Medium High

Source: Rule of Law Index, World Justice Project (2021).

Egypt's inclusion in the index is relatively recent, thus the data on Egypt only goes back to 2015. Looking at the trend of Egypt's performance throughout this period (2015 - 2021), Egypt's highest score was in 2015, which deteriorated slightly in 2016 and stabilized since (World Justice Project, 2021b).

Figure (20): Egypt's trend in the Rule of Law Index (2015-2021)



Source: Rule of Law Index, World Justice Project (2021).

II. NATIONAL INDICES

INFORMATION AND DECISION SUPPORT CENTER

ADMINISTRATIVE CORRUPTION PREVENTION AND CONTROL INDEX

BACKGROUND AND METHODOLOGY

The Egyptian Cabinet's Information and Decision Support Center (IDSC) developed the Administrative Corruption Prevention and Control Index that measures the perception of administrative corruption in ministries and public sector institutions, as well as the perception of the efforts exerted to control and fight administrative corruption. The index depends on phone call surveys to citizens (18+ years), and the perceptions of experts and corporate officials (Information and Decision Support Center, 2020).

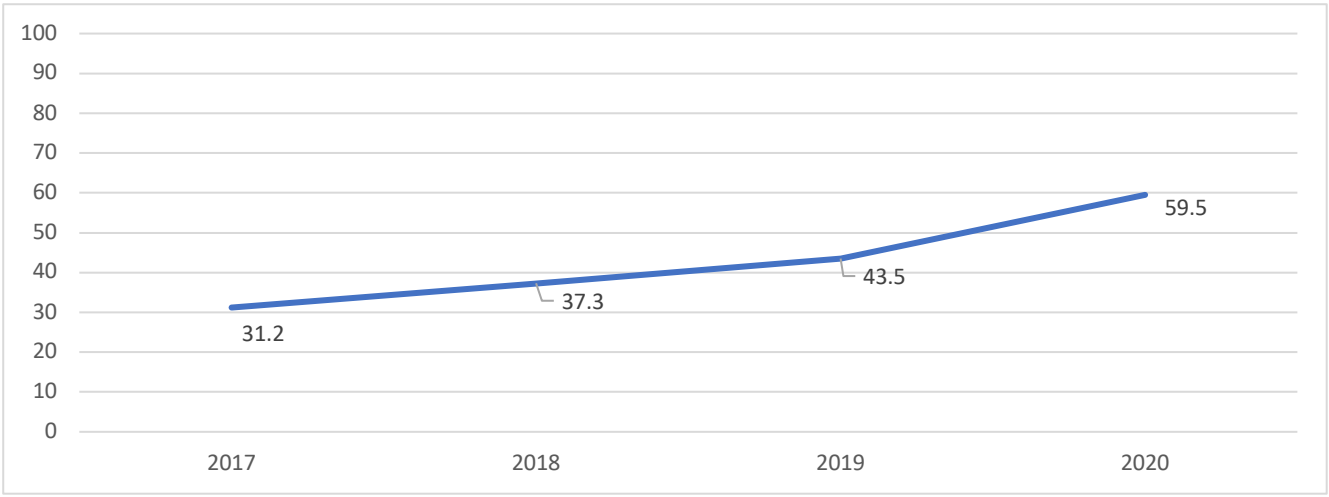
Additionally, the index assesses citizens' personal experiences in dealing with instances of corruption. The index is comprised of two composite indices: the Administrative Corruption Perception Index (7 sub-indicators) and the Perception of Control of Corruption Efforts and Anti-Administrative Corruption Measures Index (7 sub-indicators).

The first edition of the index was published in 2007 and it has been published annually since then. It offers a sub-national analysis as well, breaking down the prevalence of corruption in each governorate according to the perception surveys. The Index calculates a score for each governorate in Egypt and for Egypt as a whole, each on a scale of 0 (lowest score) and 100 (highest score) (Information and Decision Support Center, 2020).

EGYPT'S PERFORMANCE

In the latest edition of the Index which was published in 2020, Egypt's score improved remarkably going from 43.5 in 2019 to 59.5. This is the highest score Egypt has achieved over the past few years as reflected in figure (21) (Information and Decision Support Center, 2020).

Figure (21): Egypt's trend in the Administrative Corruption Prevention and Control Index (2017 -2020)



Source: Administrative Corruption Prevention and Control Index, Information and Decision Support Center (2020).

The scores for the indices were 49.0 for the Administrative Corruption Perception Index and 69.2 for the Perception of Control of Corruption Efforts and Anti-Administrative Corruption Measures Index. This implies that that citizens' awareness of the government's efforts to fight and control administrative corruption surpass their perception of the prevalence of corruption (Information and Decision Support Center, 2020).

Generally, the score for the Administrative Corruption Perception Index for 2020 improved by 5.5 points. Within this index, citizens' perception improved by 3.3 points, corporate officials' perception increased by 1.8 points and experts' perception increased by 6.7 points (Information and Decision Support Center, 2020).

According to the analysis of the survey results, experts have the best perception about the prevalence of corruption in Egypt, compared to citizens and corporate officials. Additionally, the data also implies that the higher the educational attainment for the surveyed citizen, the more they are aware about the prevalence of corruption, and also the existence of anti-corruption measures, due to their ability to access information more easily and their increased interaction with the administrative apparatus. Citizens' perception about corruption also changes with age, gender, and area of residence, such that youth, men, and inhabitants of urban areas are more likely to perceive corruption. The citizen surveys also revealed that bribes, gifts, and gratuities are the most common manifestations of corruption, with courtesy of relative, nepotism, and abuse of influence coming in second place (Information and Decision Support Center, 2020).

EFFORTS BY THE EGYPTIAN GOVERNMENT TO ENHANCE THE QUALITY OF GOVERNANCE

The quality of governance in Egypt has been the subject of much deliberation and concern over the last few years. The Government of Egypt believes that good governance is essential for sustainable development, securing equitable growth and maintaining harmony within society. As such, this section explores the many ways in which the Egyptian government has prioritized improving the quality of governance.

First and foremost, the Egyptian constitution stipulates the adherence of the economic system to measures of transparency and governance, in addition to citizens' rights to access information, data and official documentation. The Egyptian constitution also considers the rule of law as the main principle of governance, and as necessity to support monetary, administrative, and economic decentralization of the state. To further emphasize the importance of this issue, Egypt included governance as one of the main pillars of its sustainable development strategy – Egypt Vision 2030. This pillar encompasses the state's desire to overcome the challenges that arise while applying governance. It seeks to achieve this mainly through developing new and existing legislations that support governance, as well as enforcing rule of law, emphasizing integrity, transparency, accountability, fighting corruption, participation, and social responsibility values. Additionally, it prioritizes the development of an effective, open, and efficient administrative apparatus, with the establishment of good monitoring and evaluation mechanisms. All the desired goals of the vision come within the framework of ensuring peace and security in Egypt and strengthening Egyptian leadership at both the regional and international levels. This was reaffirmed in the Egypt's Voluntary National Reports (VNRs), which were presented in the High-Level Political Forum in 2016, 2018 and 2021. The 2021 VNR covers governance efforts under SDG 16, and further expands on what is underway in the 'Challenges' and 'The Way Forward'.

In recent years, Egypt has also been reinforcing the importance of governance principles in the state's administrative apparatus to increase the efficiency of service provision, and to strengthen transparency, accountability, and the fight against corruption. This is done through the implementation of numerous reforms, the preparation of updated strategies, and the application of a set of disciplined and stringent mechanisms to ensure preserving the rights of the state, namely:

1) Introducing the concept and practices of good governance in governmental institutions, and linking them with the concepts of administrative reform, and achieving integrity and transparency.
2) Supporting the main accountability mechanisms inside governmental institutions, through developing monitoring and evaluation units, and through establishing indicators to measure the performance of governmental institutions.
3) Supporting partnerships between government, private sector, and civil society organizations in areas of administrative reform and fighting corruption.
4) Providing consultancy services in the areas of good governance and anti-corruption mechanisms for the different governmental units.
5) Contributing to the training of government cadres, which are capable of formulating policies and setting governance plans and strategies.
6) Providing technical support for ministerial units and the Sub-National Coordinating Committee for Preventing and Combating Corruption to achieve transparency and follow up on Egypt's commitments to realize the United Nations Convention against Corruption.

More details on the efforts made by Egypt to enhance the quality of governance in various fields are provided in the following sections.

Administrative Reform and the Regulatory Environment

- In 2021, the Egyptian Government launched The National Structural Reforms Program (NSRP), which comes as a second set of reforms, following the success of the 2016 reform program. The NSRP encompasses a wide range of structural and legal reforms, which aim to address the root cause of the imbalances in the real sector, and aim to achieve well-balanced, green, and inclusive growth. The NSRP includes a well-structured governance mechanism to ensure the proper engagement of all stakeholders in all stages of the program, and to ensure the employment of proper monitoring and evaluation systems. To follow up on the implementation of the program, the Supreme Committee for Structural Reforms, headed by the Prime Minister, was established. The Committee will disseminate periodic reports on its progress (Ministry of Planning and Economic Development, 2021a).
- The draft State General Planning Law which was prepared by the Ministry of Planning and Economic Development in coordination with all ministries and relevant authorities has been approved by the Senate. The MPED coordinated with the Ministry of Local Development to ensure the consistency and coherence between general state planning law and the draft local administration law, which is still underway. The State General Planning Law covers several aspects of improving the effectiveness of state planning, such as establishing a Supreme Council for Planning and Sustainable Development headed by President Abdelfattah El Sisi. This draft law also enhances the ability of ministries to carry out monitoring and evaluation activities at the central and local levels (Ministry of Planning and Economic Development, 2021d; State Information Service, 2021b).
- The establishment of the National Institute for Governance and Sustainable Development in 2020 marked an important step in the direction of enforcing better governance in and of public institutions and building up the capacities of employees of the public sector (Ministry of Planning and Economic Development, 2021a).
- New organizational divisions have been introduced in the state's administrative apparatus, in accordance with the Prime Minister's Decree No. 1146 of 2018, which mandated the establishment of strategic planning and policy units, monitoring and evaluation units, internal auditing units, human resources units, legislative support units, and information systems and digital transformation units in all government offices at the central and local levels (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- The state is working on capacity building of government employees at all levels, especially those nominated to move to the New Administrative Capital, through several training programs which include basic skills and important areas such as strategic planning, monitoring and evaluation, communications, and service of citizens (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- Further on the training and testing of employees, the Centre for Capacity Assessment and Testing was established in 2019 in line with Article 30 of the executive regulations of the Civil Service Law (Law No. 81 of 2016). The Centre tests applicants for civil service jobs through standardized exams that cover five areas: behavioural competencies, Arabic language skills, English language skills, computer skills, and general information (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- The headquarters of ministries and other parts of the State's administrative apparatus are scheduled to move shortly to the New Administrative Capital (expected in early 2022). This move is expected to bring about a boost in government effectiveness and efficiency and lower levels of corruption (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- The National Institute for Governance and Sustainable Development is preparing to launch a Standard Operating Procedures manual to streamline good governance practices in all governmental agencies.

- The Government Excellence Award was launched in 2018 to stimulate the spirit of competition and excellence at the level of government employees and institutions. The Award is now on its third cycle.
- The gradual shift to programs and performance-based budgeting that started in 2017 has allowed Egypt to ensure tighter control over expenditures, and link financial allocations to performance indicators in a manner through which programs could be evaluated. As of fiscal year 2019/2020, 31 ministries and five independent agencies adopted this budgeting scheme (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- In an effort to improve tax collection and revenue mobilization, the Egyptian government has been making efforts to automate the tax system in order to examine, review, and link tax processes and interests in various sectors. This comes in parallel to a number of legislative amendments to the tax laws, such as the income tax law, the value-added tax law, and the preparation of unified tax procedures (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- Linking national databases to unify citizen's basic data such as data on population, births and deaths, civil status, support beneficiaries and retirees (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- A new government electronic payments system was launched in 2019 to increase the performance of public finances through effective management of cash flows and to increase the efficiency and performance of the implementation of the State's general budget (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- Adopting a program to improve the efficiency of public spending, which includes automating the preparation and implementation of the public budget in all accounting units in the country, automating and tightening control over the state's employees' payroll systems to ensure calculations are accurate, and the collective procurement of supplies to standardize used items and tighten control over supply stocks.
- An integrated system for investment plan preparation and monitoring was established, which transformed the paper-based system to and electronic system that links investment projects to the government's action plan and the SDGs, to remain consistently in line with national and international social, economic, and environmental goals (Ministry of Planning and Economic Development & United Nations Development Programme, 2021). The system also chooses the optimal funding sources for these projects in order to raise efficiency and effectiveness, accountability, and transparency.
- The Egyptian Sovereign Fund was established in accordance with Prime Minister Decree No. 555 of 2019, to contribute to sustainable economic development through the management of the country's untapped assets and funds.
- CAPMAS is drafting the first National Strategy for Statistics in Egypt, with support of the World Bank and the African Development Bank (Ministry of Planning and Economic Development, 2021a).

Quality of Services

- Adopting a program to develop security services provided to citizens, which includes expanding the provision of electronic services to them, improving the level of services in the areas of passports, immigration and work permits, using automatic electronic monitoring of vehicles, smart monitoring and management of traffic, creating new sites for civil records and developing the existing ones.
- Rolling out the first phase of the new universal health insurance system, which was first launched in July 2019, and is currently being implemented in two governorates. The system is being gradually implemented in six phases between 2018 and 2032 (Reem Leila, 2020)
- Adopting a program for citizens' medical treatment paid by the state, which includes automating all providers of treatment services paid by the state and activating videoconferencing systems to assess patients within their governorates.

- Adopting a program to develop government services provided to citizens, which includes enhancing the use of service and data exchange platforms between government agencies. Additionally, a large number of government services are being provided on mobile applications, a number of traffic prosecution units have been automated, and new technology centers have been established.
- Adopting a program to develop judicial services provided to citizens, which includes adding 11 new partial courts to the law enforcement program and implementing a program to follow up on and publish cases that were circulated between courts and experts.
- Mobile technology service vehicles were launched in 2021 to improve service coverage, reduce congestion in service delivery offices, and improve citizen satisfaction. There were 32 mobile technology service units that were launched by the Ministry of Local Development to provide all local services, 20 mobile real estate and documentation vehicles that were launched by the Ministry of Justice, and 10 vehicles that were launched by the Ministry of Interior to provide civil status services. The government plans on launching 120 more vehicles in the current fiscal year 2021/22 (Ministry of Planning and Economic Development, 2021c).
- Automation and development of services provided to Egyptians abroad, the automation of legalization services, and the launch of electronic visa.
- Adopting a program to develop the rationing services system, which includes increasing the number of government outlets (fixed and mobile) providing basic commodities, and outlets and chains of sale and distribution of food commodities.
- In 2019, Egypt launched 'Meeza', a new bankcard payment program that can be used to pay for government services and to receive subsidies, in order to increase financial inclusion and track transactions more effectively (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- In 2020, Egypt launched the Digital Egypt Portal, a new government service platform with the aim of providing fast, efficient, and accessible digital services. There are plans to gradually add more services to the platform, going up from 72 services in 2020 to 550 services, or 90% of government services, by 2023 (Ahmed Eissy, 2020; Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- Egypt adopted the Government Services Development Program, which includes a set of projects that aim to improve effectiveness of government services, reduce corruption, and integrate and automate various services (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).

Economic Stability and Business Climate

- S&P Global reviewed Egypt's long-term foreign currency sovereign credit rating four times since the COVID-19 outbreak and affirmed its rating at a B with a stable economic outlook. A stable outlook means that the rating will likely remain the same in the near to medium-term. While a rating of a B indicates that the government is vulnerable, but still has the capacity to meet its financial commitments although it is burdened by adverse business, financial or economic conditions (African Peer Review Mechanism, 2021).
- The government's Covid-19 response was successful in securing positive economic growth in 2020, making Egypt one of the few emerging economies to experience that (African Peer Review Mechanism, 2021).
- Egypt lifted the state of emergency that had been in place since 2017, which will encourage tourism and foreign investment (African Peer Review Mechanism, 2021)
- In 2020, Egypt was identified as the largest recipient of Foreign Direct Investment (FDI) flows in Africa, with a $5.9 billion, although this is a significant reduction (- 35 percent) from 2019 (United Nations Conference on Trade and Development, 2021).

- The country adopted a private industrial investment stimulus program, which includes simplifying industrial licensing procedures by reducing the time it takes to start business from one month to one week and establishing five offices for the Industrial Development Authority.
- Egypt adopted an institutional development program to support the business climate and attract investments, which includes automating and simplifying procedures for establishing companies, completing the procedures for incorporation and modification electronically, launching a comprehensive investment map. The program also targets increasing the number of integrated operating free zones in governorates and establishing a logistical free zone at the outskirts of each governorate, implementing a number of free zones, and the creation of new investment zones.
- The Ministry of Social Solidarity in collaboration with Shaghalni recruitment platform launched digital terminals across 3 governorates that allow users to search and apply for job opportunities especially for blue and grey collar jobs to facilitate employment (Ministry of Social Solidarity, 2021)
- In 2021, Egypt launched its Advanced Cargo Information (ACI) system in order to collect cargo information ahead of time. The ACI consists of two online platforms, the National Single Window for Foreign Trade Facilitation ("Nafeza") system and the CargoX Platform. Both platforms aim to facilitate and expedite the review and release process. However, while Nafeza is meant to be used by all Egyptian importers to register incoming shipments, all foreign exporters are required to use the CargoX Platform to complete ACI and hence filing over the block chain. These portals put Egypt in line with international standards of trade related procedures and custom requirements and advances its digital transformation agenda (CargoX Platform, 2021; International Trade Administration, 2021).
- The Law on Restructuring, Reconciliation and Bankruptcy Protection was amended again in 2021, following some amendments made in 2018, to make it easier for investors to exist the Egyptian market, but also to extend help to default and insolvent investors in the form of credit facilities (Gamal Essam El-Din, 2021).
- The Financial Regulatory Authority announced the launch of a new think tank and training center, the Regional Center for Sustainable Finance. The Center was established to bridge the finance gap that impedes the fulfilment of the Paris Agreement on Climate Change and the SDGs (United Nations Conference on Trade and Development, 2021).
- The Egyptian state adopted an intensive program to develop, support and raise the efficiency of infrastructure, roads, and bridges to facilitate transportation operations, which reflect on the business environment.

Participation, Inclusion and Local Development

- Egypt is solidifying its commitment to decentralization through preparing two draft laws on the state general planning and local administration. The draft Local Administration Law aims to allocate more power to local administration to enable it to make decisions as well as to activate local accountability mechanisms and support equitable allocation of resources and provision of services (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- The Ministry of Planning and Economic Development and the Ministry of Local Development are developing a local planning system to develop mechanisms that enhance participation and community accountability in preparing local plans based on the community's needs and priorities (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- In 2020, the Ministry of Planning and Economic Development started developing an indicator to measure the competitiveness of governorates to identify competitive advantages, and direct investment and technical support (Ministry of Planning and Economic Development & United Nations Development Programme, 2021). Additionally, the MPED designed a database of performance indicators at the governorate level to develop local planning systems, activate data verification mechanisms, and to ensure that projects are implemented and activated.

- The government has been working on programs that would enhance the values of citizenship and responsibility, and introduce new mechanisms for participation, such as youth forums, and training programs carried out by the National Training Academy and the National Institute for Governance and Sustainable Development (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- Appointing youth in government in prominent positions such as deputy ministers, associate ministers, deputy governors, and governors (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- The Sharek 2030 application was launched in 2019 by the Ministry of Planning and Economic Development to bridge the gap between citizens and government. The application aims to achieve a greater degree of transparency, participation and enable community accountability. It is used to provide information, raise awareness, communicate progress and allow participation in achieving development programs and projects, as well as the SDGs (Ministry of Planning and Economic Development & United Nations Development Programme, 2021)

Combating Corruption

- The second edition of the National Anti-Corruption Strategy (2019-2022) was issued to take into account overcoming the challenges that faced the implementation of the first version of the strategy.
- The establishment of the National Anti-Corruption Academy of the Administrative Control Authority has been initiated, through which members of law enforcement agencies will receive trainings to improve the performance of the state's administrative apparatus staff, as well as support cooperation with bodies and agencies concerned with combating corruption in other countries.
- The National Institute for Governance and Sustainable Development launched the Occupational Code of Conduct to promote the values of integrity and fight corruption in all public institutes and organizations.
- The government plans to start activating internal audit units within the state's administrative apparatus, in a way that would contribute to curbing corruption practices. The regulatory authorities in the country are studying practical steps to start making their reports available, in accordance with the Egyptian constitution.
- The government is prioritizing the completion of the infrastructure and technology development of the judicial system, updating the information infrastructure of the regulatory agencies, and linking government databases with the databases of anti-corruption agencies.
- Towards reducing corruption in public procurement, Egypt introduced a unified public procurement tool and established the Egyptian Authority for Unified Procurement, Medical Supply and Technology Management (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- The government is working to implement a training plan to raise the efficiency of workers in the public sector, the private sectors and civil society with regard to transparency and combating corruption.
- The government is directing more financial resources to issue awareness campaigns focusing on the seriousness of corruption in cooperation with media and religious institutions. The government is also working on activating the role of youth in fighting corruption through including the seriousness of corruption in the educational curricula at different stages.
- Towards ensuring integrity in the election of public officials, the National Elections Authority was established as an independent body to manage the presidential, parliamentary, and local elections (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- In 2019, the National Anti-Corruption Committee was expanded to include civil society and private sector organization representatives (Ministry of Planning and Economic Development, 2021a).

Security, Rights and Rule of Law

- In 2021, Egypt launched the National Human Rights Strategy (2021 – 2026), which covers all aspects pertaining to civil, political, economic, social, and cultural rights as is stipulated in the Egyptian constitution and national legislation as well as the international and regional treaties of which Egypt is a party to. The strategy is based on the premises of non-discrimination, equality, and equal opportunity, while also highlighting rule of law as the foundation for human rights (Ministry of Planning and Economic Development & United Nations Development Programme, 2021; The Supreme Standing Committee for Human Rights, 2021).
- The Ministry of Foreign Affairs published the second version of the National Report on Countering Terrorism (2021) that provides a comprehensive overview of counter-terrorism approaches and efforts by state agencies. The report refers to amendments made to the counter-terrorism legislation in recent years, spreading awareness and producing knowledge, security measures of prevention, protection, confrontation, and prosecution, and combatting the financing of terrorism as some of the key approaches used (Ministry of Foreign Affairs, 2021; Ministry of Planning and Economic Development & United Nations Development Programme, 2021)
- The National Coordinating Committee for Combating and Preventing Illegal Migration and Human Trafficking released the third National Action Plan for Combatting and Preventing Illegal Migration (2021-2023) that outlines how the National Strategy for Combating and Preventing Illegal Migration (2016-2026) will be executed (The National Coordinating Committee for Combating and Preventing Illegal Migration and Human Trafficking, 2021).
- The National Council for Human Rights launched their updated strategy for 2021-2026, which covers lessons from past experiences, current challenges, and the council's action plan (National Council for Human Rights, 2021).
- Certain provisions in the Criminal Procedural Law were amended to protect the identity and confidentiality of victims of harassment, violence, assault, and corruption of morals (National Council for Human Rights, 2021).
- The National Coordinating Committee for Combating and Preventing Illegal Migration and Human Trafficking launched the second part of the national campaign «Together Against Human Trafficking» in 2020 (Ministry of Planning and Economic Development, 2021a).
- Egypt passed draft resolution 10/7 titled «Combating Transnational Organized Crime Against Cultural Property», during the 10th Conference of the Parties to the UN Convention against Transnational Organized Crime in 2020 (Ministry of Planning and Economic Development, 2021a).
- Climate change has been recognized as an eminent threat over the past couple of years, and thus, the Excellence Center for Climate Change and Sustainable Development was established in 2020 under the National Research Center to provide support in addressing climate change (Aziza Fouad, 2020; National Council for Human Rights, 2021). Additionally, the Ministry of Environment launched the National Climate Change Strategy 2050 in the COP 26 that was held in 2021 (State Information Service, 2021a).
- In 2021, the Ministry of Manpower issued two decrees that terminate all previous decrees deemed discriminatory against women and lift the ban on employment of women in industries, professions, and businesses (National Council for Human Rights, 2021).

Transparency and Accountability

- In 2019, Egypt submitted itself for review for the first time since joining the African Peer Review Mechanism (APRM) – a specialized entity of the African Union for reviewing and evaluating the performance and programs of African countries in four governance and development areas. This entailed submitting a Country

Self-Assessment Report and hosting a Review Mission that evaluated Egypt's performance. Subsequently, a Country Review Report was published in 2020 by the APRM (African Peer Review Mechanism, 2018).

- In 2020, the Budget Transparency Series was jointly produced by the Ministry of Finance and UNICEF to enhance transparency, facilitate citizen engagement in the budget process and make public finance more accessible (UNICEF, 2020). Additionally, the Ministry of Finance has been publishing the citizen's budget on an annual basis since fiscal year 2014/2015, after the approval of the state's general budget (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- The Ministry of Planning and Economic development also started publishing the Citizen's Plan in FY 2019/2020 for all governorates as part of its efforts to localize the SDGs, and increase transparency, accountability, and participation in the execution of the state's development plans. The Citizen's Plan includes the sectoral investment in each governorate, as well as all development indicators and projects being implemented. The ministry announced the second release of the Citizen's Plans earlier in 2021 (Ministry of Planning and Economic Development, 2021b; Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- In 2021, Egypt submitted its third Voluntary National Review to the High Level Political Forum on Sustainable Development, and presented its efforts towards achieving the SDGs in the meeting of the forum.
- CAPMAS released the second National Statistics Report on the SDGs in 2019, in which it revealed an improvement in the percentage of indicators available on SDGs from 43% in 2018 to 47.5% in 2019. This increase was attributed to the increase in number of surveys, updating and increasing the frequency of existing surveys and expanding the use of technology and recent informatics (Ministry of Planning and Economic Development, 2021a).

Digital Transformation and the Development of Monitoring and Evaluation Systems

- The Ministry of Planning and Economic Development launched the first effective electronic government performance monitoring tool which is known as the Integrated Electronic System for Planning and Monitoring, to manage and monitor all public projects requested by public entities. The tool also links all public projects to the objectives of the government's plan and the SDGs (Ministry of Planning and Economic Development, 2021a).
- The National Institute for Governance and Sustainable Development, with the support of the Economic Governance Activity of the USAID, is currently developing the National Governance Indicator that measures the quality of governance in Egypt. The indicator will rely on hard data, as well as survey data which measures public perception and expert opinion. The first report of the indicator will be released in 2022.
- In 2020, the Ministry of Planning and Economic Development launched the COVID-19 Policy Tracker database which catalogues all policies that were taken by the state in response to the crisis (Ministry of Planning and Economic Development, 2021a).
- The government put in place entity specific performance indicators, which are updated quarterly to monitor the performance of each government entity (Ministry of Planning and Economic Development, 2021a).
- The unified automated system for digital transformation was created to achieve integration between databases and strive to provide automated services to citizens and various entities.
- A law regulating contracts concluded by public agencies was issued by Law No. 182/2018, and a system of electronic government procurement and contracting was launched to simplify contracting procedures and enhance transparency between government agencies and the business community.
- Technology centers have been established in the governorates to facilitate the provision of services to citizens and the process of automating government services has contributed to enhancing the efficiency and effectiveness of the support eligibility targeting process within the framework of social protection programs.

- The Egyptian Cabinet's Information and Decision Support Center has other means and mechanisms to analyse and monitor the reality in society and provide correct information to decision-makers, such as field monitoring, opinion polls, the government complaints portal, the crisis and disaster management sector, and the Egyptian Family Status Monitor.
- Adopting a program to modernize the information infrastructure of the state's administrative apparatus, which includes developing health offices and automating central laboratories in the Ministry of Health and some hospitals.
- Adopting a program to link and integrate commercial registries' databases, which includes developing and automating a number of commercial registry offices.
- Law No.18 of 2019 was issued to promote digital transformation and financial inclusion, through regulating the use of non-cash payment methods (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- A new Central Bank and Banking System law (Law No. 194 of 2020) was issued to provide regulatory frameworks for electronic payment methods to enhance financial inclusion.

CHALLENGES

Despite the extensive efforts exerted by the Egyptian State to improve the quality of governance, Egypt still recognizes governance as one of the main challenges impeding the progress in achieving Agenda 2030. Additionally, the COVID-19 pandemic posed innumerable threats to the stability of institutions and to governance mechanisms. Thus, in this section, some of the most occurring challenges are listed according to their respective area of impact.

Accountability, Transparency, and the Availability and Accessibility of Information

- Despite availability and accessibility of information being a constitutional right, it remains difficult to practice. This is partially due to the delay in issuing the Law on Freedom of Data and Information (Ministry of Planning and Economic Development & United Nations Development Programme, 2021). There is also a widespread culture of information concealment that normalizes non-disclosure of data and information, whether by the government or the private sector. This forms a barrier to effective accountability, and limits citizens' rights to information and their ability to participate in policymaking.
- Data is not published in a timely and constant manner; thus, experts cannot analyse it and produce relevant policy recommendations.
- Increased volume of required information, which is a burden faced by CAPMAS, as it is expected to produce a large volume of indicators. In addition, CAPMAS is hindered by the limited funding and weak human resources.
- Statistical legislation is outdated and not revised as the current laws do not reflect the new statistical considerations, or changes on the national, regional, and global levels. Additionally, some laws do not cover modern methods of obtaining data - especially big data - from the private sector.
- The lack of funds needed to conduct specialized surveys or to sustain the production of some indicators, and the lack of funding for preparing and designing national and local monitoring and evaluation systems.
- Difficulty in dealing with big data using traditional data processing applications, and the lack of human cadres capable of performing the required computations.
- Poor handling of geographical information systems, cloud computing, and the lack of standardized statistical definitions and methods of calculating indicators.
- Inadequate number of private sector companies that publish sustainability reports and comply to the guide on corporate governance, due to the weak human capabilities in those companies that can absorb and apply the principle of sustainability or governance, and also the lack of awareness on the importance of applying these principles in achieving a direct material and societal return for the company. The lack of legislation on corporate social responsibility contributes to the lack of adherence to these measures.
- Difficulty in changing the obstinate mind-set in institutions regarding publication of data to support decisions and policy-making (Ministry of Planning and Economic Development, 2021a).
- Spread of misinformation, especially amidst the COVID-19 pandemic, which results in weak adherence to regulations and the polarization of public debate, related to COVID-19 as a crisis (Herbert & Marquette, 2021; World Health Organization, 2020).
- Efforts to make information accessible, in terms of dissemination in plain language, remains sparse.

Administrative Reform and Structural Reforms

- Persistent lack of coordination and cooperation, especially in data linkage, between government agencies.
- Further reforms are needed to strengthen governance and overcome bureaucratic hurdles to transparency, accountability, flexibility, and participation (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- Overlap in roles and responsibilities of public institutions and of employees within public institutions.
- Complex institutional setups that delay decision-making.
- Lack of awareness about the importance of governance and governance mechanisms in the State's Administrative Apparatus.
- Limited financial resources and fiscal space burden the financing of projects that aim to enhance governance (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- The State's general budget law needs amendments to reflect the recent developments and the shift towards programs and performance budgeting (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- High public debt and gross financing needs increase Egypt's vulnerability to external shocks such as higher costs of borrowing (IMF, 2021).
- The lack of training and capacity building programs and evaluations to assess the effectiveness of current capacity building programs (National Council for Human Rights, 2021).

Monitoring and Evaluation Mechanisms and Fighting Corruption

- Weak information infrastructure related to monitoring and collecting statistical data.
- Limited number of trained human cadres, whether in statistical systems or in monitoring and evaluation systems at the national and local levels.
- Delay in issuing the draft Law on the Protection of Witnesses and Whistle-blowers, which discourages the reporting of corruption and crimes (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).
- The lack of data and information around corruption in Egypt, which contributes to the consistently low scores given to Egypt in corruption indices.
- Weak governance and anti-corruption mechanisms as well as lack of well-functioning audit systems in public institutions. Additionally, lack of accountability and reporting create opportunities for corruption.

Participation, Inclusion and Rights

- Delays in issuing the draft Law on Local Administration.
- Lack of awareness about human rights culture, a weak existing culture and the prevalence of many practices that violate human rights nationwide (National Council for Human Rights, 2021).
- Low levels of participation of the public in public debate and policymaking, especially for poor and marginalized groups.
- The digital divide within Egypt and between Egypt and other countries limits rights and inclusion and exacerbates existing inequalities (Ministry of Planning and Economic Development, 2021a).
- Lack of awareness about legal rights and legal procedures among citizens (National Council for Human Rights, 2021).
- Lack of coordination and communication between government and civil society organizations (National Council for Human Rights, 2021).

- The lack of awareness about Egypt's Vision 2030 among most non-governmental organizations (National Council for Human Rights, 2021).
- The lack of coordination between development collaborates (government, civil society, private sector, and donors) (National Council for Human Rights, 2021).
- Government-led efforts to mitigate and adapt to climate change are slow to materialize and are not executed with the needed sense of urgency. Additionally, lack of participation in and awareness of these efforts will further hinder climate action.

RECOMMENDATIONS

One of the main objectives for this report is to put together some recommendations that are grounded in research and would boost Egypt's performance in various governance areas and indices. Some of the recommendations are given by the entities responsible for releasing the indices, while others are either directly derived from the units of measurement of the indices or are based on research released by national and international sources. Additionally, this section will highlight the required action in light of the COVID-19 pandemic to preserve the stability and integrity of institutions, processes, and governance mechanisms.

Enhancing participation and inclusion requires a wide range of measures to empower citizens and support the most vulnerable groups. At the outset, activating the complaint mechanisms at subnational levels is crucial to bridge the gap between central government and marginalized citizens. Additionally, an indicator to measure citizen satisfaction with government services and a mechanism for involving local citizens in the decision-making process should be developed to raise the effectiveness and quality of project design, service delivery, citizen satisfaction, and pinpointing the right development priorities. Furthermore, a lot of effort needs to be directed towards raising awareness about rights to participate in various processes, such as the state budget formulation, participation in open hearings and open parliament sessions, and public debate. Prior to that, citizens also need to be educated about how their government works, and the authorities of different state agencies. Special attention should be given to removing barriers that limit the participation of vulnerable groups, such as women and youth, which include the lack of opportunity, the societal norms, and the lack of political and economic education.

On another front, increasing the institutional capacity of government organizations for policy dialogue and stakeholder consultation is crucial to enhance participation and inclusion. Civil society organizations in particular should be regarded as key partners in the design and implementation of development projects and in raising awareness about various issues in local communities (National Council for Human Rights, 2021). For that to occur, the government also needs to provide civil society organizations with enough information to pursue the right development projects and approaches. As for the private sector, the state must work on enhancing partnerships between the private and public sector to fund development projects and enhance social responsibility in the private sector.

Efficiency and effectiveness must be addressed on several levels. Across all of them, leveraging the power of digital transformation to boost effectiveness and efficiency should come as a priority. This can range from developing functioning and regularly updated websites for government organizations to using Artificial Intelligence, Big Data analytics and the Internet of Things in monitoring processes. Overall, the COVID-19 pandemic accelerated the adoption of digital systems in various sectors. It is important to keep the momentum and push for more transformation in sectors that require reform and innovation. On the service provision level, the state needs to continue the automation of government services, judicial services and services provided by the police and police units on the national and local levels. On the policymaking level, more types of data need to be collected regularly and published in a timely manner to support informed decision-making. Thus, investments in data collection, statistical system reforms and building the capacity of statistical systems should be prioritized.

Issuing the local administration law needs to be accelerated to encourage decentralization, lift some of the burden off central government, and allow local governments identify the right priorities and ensure equitable access to resources and services. It is necessary to promote the localization of the SDGs through coordination between the Ministry of Planning and Economic Development and the Ministry of Local Development (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).

Monitoring and evaluation capacities also require development and upgrading to create closed feedback loops that would support effective policy formulation and project design. In this regard, training, supporting and testing the capacities of employees of new organizational divisions such as monitoring and evaluation units, internal audit units, and information systems and digital transformation units is also essential to ensure that they accomplish their

objectives. The government must also devise new mechanisms to support coordination between its different ministries, institutes, and organizations to increase linkages, reduce overlaps and allow easier communication and access to data.

Public financial management requires some reforms to reduce public debt and address the limited fiscal space. The government should thus fall back on alternative financing tools, such as green bonds, debt swaps, and public-private partnership agreements. The public-private partnership law is yet to materialize as well, which limits the possibilities for cooperation. Concerning the State budget, amendments should be made to the law on the general budget, in order to reflect the change towards program and performance budgeting (Ministry of Planning and Economic Development & United Nations Development Programme, 2021).

Turning to the COVID-19 response, it is imperative to have coordinated pandemic response plans on national and sub-national levels; ones that are reinforced with the recommendations of local and international experts while taking into account local considerations (Grogan & Weinberg, 2020)

With regards to transparency and accountability, the most pressing action would be to expedite the issuing of the Law on Freedom of Data and Information. This is a long overdue fundamental requirement to achieve more transparent and accountable systems, to empower citizen participation and to deter corruption. Furthermore, different entities of the legislative, judicial, and executive branches of government should commit to publishing data about their activities in a timely, accurate and clear manner. The government also should follow up on the activated monitoring and evaluation units in ministries and governorates offices, while also assessing the effectiveness of the Integrated Electronic System for Planning and Monitoring at the national and local levels.

When it comes to budgets and funds, transparency is vital to the processes of formulation, allocation, and implementation. The participation of stakeholders in these processes must be preceded by the publication of different documents. The pre-budget statement, the citizen's budget, and audit reports must all be published on the internet in a timely and accessible manner. Additionally, the Ministry of Finance should launch mechanisms to monitor the implementation of the budget, which would allow the interaction of civil society organizations or citizens. Moreover, the budget analysis reports of the Planning and Budget Committee in the Egyptian Parliament that studies the Executive Authority's proposal for the budget needs to be published, in addition to forming a legislative committee to study the implementation of the budget during the year and publishing its reports on the internet. Finally, another committee should be formed to study the review report and the results of the study should be published on the Internet.

Social accountability mechanisms are quite effective ways to ensure that decisions are aligned with the reality of a situation. Involving civil society organizations (CSOs) in policymaking for example could not only be limited to monitoring spending, procurement, and feedback mechanisms, but they also act as intermediaries between citizens and government. However, this requires effort from the government to publish information, such as audit reports prepared by the Accountability State Authority. Additionally, the government should increase the comprehensiveness of its reports by providing updated implementation data and revised estimates for the remainder of the fiscal year.

On a more pressing note, the IMF loan that Egypt received in 2020 requires the disclosure of detailed procurement contracts, especially ones related to the COVID-19 pandemic (Transparency International, 2020). Therefore, the Egyptian government should follow through with these commitments to avoid negative consequences that could affect future funding opportunities. Moreover, the dissemination of information and knowledge is imperative during the pandemic. Thus, it is recommended to form information exchange networks on the subnational, national, and international levels that bring together policymakers, crisis managers, and those involved in providing scientific advice. These networks would play a vital role in reducing misinformation and asymmetric information. Another important recommendation, which again involves decision makers and crisis managers, is the formulation of a crisis communication strategy, to allow the government to control the narrative and align it with the international response when it comes to communication of decision, scientific advice, and combatting misinformation (OECD, 2018). Moreover, this should be accompanied by activating accountability systems that track performance and impact as well as contracts (World Justice Project, 2020a).

As for strengthening the rule of law and fighting corruption, intentional policy reforms are needed to upgrade institutional performance, secure rights, and harbour integrity. In addition, the government needs to follow up on the activated internal audit units and ensure that they are functioning as expected. Capacity building for government employees on governance and corruption-related issues should also be provided to support the functions of internal audit units. Another needed step is to better enforce the use of the Occupational Code of Conduct in the public sector whether through a Ministerial Decree or the issuing of a law. Other measures that need to be taken include issuing the law on protection of witnesses and whistle-blowers, to encourage reporting instances of corruption in any sector. In addition, the government should activate consumer protection mechanisms, which include supplying all governorates with branches of the Consumer Protection Agency and increasing the number of organizations licensed to practice consumer protection activities.

The government should involve the private sector, trade unions and federations in fighting corruption. To do that, transparency when it comes to anti-corruption efforts is essential as not only does this affect Egypt's rankings in various indices, but it also exacerbates the spread of corruption. The Administrative Control Authority should communicate regularly about the achieved targets of the National Anti-Corruption Strategy. Additionally, cases of corruption should be publicized, including the court proceedings and rulings. Raising awareness is one of the most important anti-corruption tools as different stakeholders in the country, including citizens, need to realize their roles in preventing and combatting corruption. Anti-corruption education should start early and aim to imbed the principles of governance and ethics in citizens.

The impact of the COVID-19 pandemic on the rule of law should be a lesson to push for more checks and balances that are properly approved by legislatures in open debate and that define how and when emergency powers may be used (World Justice Project, 2020b). With the COVID-19 experience in mind, reforming and updating laws is only reasonable to support effective mitigation measures in future crises. Above all, supreme audit institutions should continue to function regularly during a crisis, while also implementing further measures to monitor emergency spending and actions. Some other anti-corruption measures that are recommended to control the spread of corruption during a public health crisis include vetting suppliers, tracking financial flows, publicizing complaints, and strengthening whistle-blower mechanisms. Additionally, public procurement, especially emergency procurements, should be closely watched by ensuring that contracts' lengths and amounts are limited to what is necessary. Relaxation of procedures should also occur only when a predetermined urgency test is met. Procurements should also be audited and reviewed, and public contracts should be published in a timely manner (World Justice Project, 2020a). Finally, the key lesson from the COVID-19 experience is to formulate an updated national pandemic response plan that is grounded in good governance and anti-corruption (Kirya, 2020).

When it comes to improving the investment climate and economic sustainability, the government should prioritize preserving economic stability and reducing public debt. Additionally, structural reforms will be needed to support private sector-led growth and stimulate investment. Such reforms can include policies to increase revenue for financing critical public goods, to enhance governance and transparency, and to further develop financial markets (IMF, 2021). Other policy recommendations also include reducing the time to enter the market, supporting fair competition, reducing time to obtain permits, increasing the number of standard specifications that are compatible with international environmental standards, developing the accreditation and quality system, and training factories to qualify them to obtain quality certificates.

Integrating Egypt into global trade requires efforts to reduce trade barriers and further ensure the predictability of custom procedures (IMF, 2021). Efforts also need to be redirected towards stimulating labour-intensive sectors to generate job opportunities that would absorb the youth bulge. Focusing on fiscal sustainability, the government should work to increase the efficiency of existing subsidy programs to better target the most deserving groups and launch new effective subsidy programs.

Furthermore, the government needs to prioritize sustainability while formulating policies that support growth, in order to avoid over exploitation of resources and long-term environmental damage. The government could also provide incentives or issue laws for companies to adhere to Economic, Social and Governance (ESG) disclosure rules and corporate social responsibility (CSR). Similarly, the government needs to impose penalties when needed to reduce negative externalities of doing business. Overall, the State should aim to reduce its direct role in the economy and focus on improving the regulatory environment.

To improve Egypt's performance in governance indices, communication with international organizations is imperative. The government needs to initiate conversations and partnerships with international organization that would information exchange and discussing data sources. Additionally, cooperation on the local level between government, civil society, and the private sector should aim to raise awareness and initiate dialogue regarding governance challenges, state achievements and specific recommendations. This would reflect well on perception-based governance indices. Egypt should also reach out to organizations that issue reports and indicators of which Egypt is not part of, and support the collection of data, such as the World Competitiveness Yearbook issued by the Institute for Management and Development.

In order to enhance the quality of governance research in Egypt, the Governance Center should be repositioned as the leading governance research center in Egypt. The Governance Center should represent Egypt in all matters related to governance in international and regional dialogue and be supported in its efforts to initiate cooperation protocols with international and Egyptian governance centers. Moreover, it is recommended to create a website that tracks all efforts, research, and development in the quality of governance in Egypt to make governance concepts and knowledge more accessible. Where COVID-19 is concerned, the Governance Center highly recommends closely monitoring and documenting the crisis and recovery phases to analyse trends and gather information that could be used in mitigation of future crises. This experience has revealed how scientific information is the foundation of resilient institutions and better interventions. Thus, this information should be used to inform future strategies and to prepare crisis managers, scientific knowledge providers, and policymakers (OECD, 2018).

GLOSSARY OF TERMS

Accountability

An environment of oversight that ensures compliance with laws, procedures, and regulations, while promoting transparency, access to information and public integrity (United Nations Office on Drugs and Crime, 2019).

Corruption

The abuse of entrusted power for private gain (Transparency International, n.d.-b).

Economic freedom

Economic freedom is the fundamental right of every human to control his or her own labor and property. In an economically free society, individuals are free to work, produce, consume, and invest in any way they please. In economically free societies, governments allow labor, capital, and goods to move freely, and refrain from coercion or constraint of liberty beyond the extent necessary to protect and maintain liberty itself (The Heritage Foundation, 2021).

Economic impact of violence

The expenditure and economic effects related to "containing, preventing and dealing with the consequences of violence" (Institute for Economics and Peace, 2021a).

Fragile states

States are fragile when state structures lack political will and/or capacity to provide the basic functions needed for poverty reduction, development and to safeguard the security and human rights of their populations (OECD, 2007).

Governance

Governance is the system of values, policies, and institutions by which a society manages its economic, political, and social affairs through interactions within and among the state, civil society and private sector. It is the way a society organizes itself to make and implement decisions—achieving mutual understanding, agreement, and action. It comprises the mechanisms and processes for citizens and groups to articulate their interests, mediate their differences and exercise their legal rights and obligations. It is the rules, institutions and practices that set limits and provide incentives for individuals, organizations, and firms. Governance, including its social, political, and economic dimensions, operates at every level of human enterprise, be it the household, village, municipality, nation, region, or globe (United Nations Development Programme (UNDP), 2007).

The following operational definition for governance was also developed by the National Institute for Governance and Sustainable Development, to be used in the National Governance Indicator that is currently being developed.

Governance refers to the institutions, rules, and mechanisms by which sustainable and equitable economic, social, and political decisions are taken by all stakeholders and quality services are provided to achieve development. This understanding of governance encompasses five dimensions, namely: Rule of Law and Security, Effectiveness and Efficiency, Transparency and Accountability, Participation, and Fighting Corruption.

Government effectiveness

Perceptions of the quality of public services, the quality of the civil service and the degree of its independence from political pressures, the quality of policy formulation and implementation, and the credibility of the government's commitment to such policies (World Bank, 2021a).

GovTech

A whole-of-government approach to public sector modernization that promotes simple, efficient, and transparent government with the citizen at the center of reforms (World Bank, 2021)

Infrastructure

The basic physical and organizational structure necessary for the operation of a community or institution, or services and facilities necessary for economic functioning. It is generally a set of interrelated elements that provide a framework for an entire structure of development. In the case of information and communication technology, it includes communication networks, computers, and their basic software (UN ESCWA, 2014).

Participation

Citizen participation in the policy development and approval stage (UN ESCWA, 2014).

Regulatory Quality

A regulatory framework in which government agencies seek to develop and implement regulations and regulatory regimes that are efficient in both a static and dynamic sense in terms of using economic, social, and environmental resources to their greatest value; effective in terms of achieving a clear public policy purpose; transparent; and accountable for results (Investment Climate Advisory Services of the World Bank Group et al., 2010).

Rule of Law

The legal and political systems, structures and practices that condition a government's actions to protect citizens' rights and liberties, maintain law and order, and encourage the effective functioning of the country (Corruption Watch, 2016; Transparency International, n.d.-a).

Soft Power

A country's ability to influence the preferences and behaviours of various actors in the international arena (states, corporations, communities, publics etc.) through attraction or persuasion rather than coercion (Brand Finance, 2021a).

Transparency

Characteristic of governments, companies, organizations, and individuals of being open in the clear disclosure of information, rules, plans, processes, and actions. As a principle, public officials, civil servants, the managers and directors of companies and organizations, and board trustees have a duty to act visibly, predictably, and understandably to promote participation and accountability and allow third parties to easily perceive what actions are being performed (Transparency International, n.d.-a).

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