



# MONITORING AND EVALUATION FOR NATIONAL PROGRAM PLANNING AND MANAGEMENT

FACILITATOR GUIDE

MARCH 2008

# **Facilitator Guide:**

## **Introduction**

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# MONITORING AND EVALUATION FOR NATIONAL PROGRAM PLANNING AND MANAGEMENT: FACILITATOR GUIDE

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## INTRODUCTION

Introduction—30 minutes

Slide	Facilitator Notes
Slide 1	Monitoring and Evaluation for National Program Planning and Management [Title Slide]
	<p>During this session, participants will:</p> <ul style="list-style-type: none"><li>▪ Review the training focus, objectives, agenda, and logistics</li><li>▪ Be introduced to the monitoring and evaluation (M&amp;E) readiness assessment tool</li><li>▪ Review housekeeping issues and establish ground rules</li><li>▪ Participate in an introductory activity</li><li>▪ Discuss their expectations for the training</li></ul> <p><b>Materials Needed</b></p> <ul style="list-style-type: none"><li>▪ Slides 1–3</li><li>▪ Flipchart paper and markers</li></ul>

Slide 2	Training Objectives
	<p><b>Welcome the Participants and Introduce the Trainers</b></p> <p><u>Welcome</u> everyone and introduce the training staff. <u>Thank</u> others who had input before the training.</p> <p><b>Review of the Training Objectives</b></p> <p><u>Tell</u> participants that as the training objectives are met, they will be able to do the following:</p> <ul style="list-style-type: none"> <li>▪ Define common monitoring and evaluation (M&amp;E) terms</li> <li>▪ Describe the use of M&amp;E data for program planning and management</li> <li>▪ Develop the ability to participate in and provide leadership for M&amp;E activities as standard components of programs</li> <li>▪ Identify M&amp;E technical assistance and training needs</li> </ul> <p><b>Overview of the Agenda</b></p> <p><u>Review</u> the schedule for the training outlined in the agenda. <u>Explain</u> that over the next couple of days, the sessions will cover material that provides participants with a practical framework for understanding and integrating M&amp;E concepts, approaches, and methods into a program's planning, implementation, and management processes. <u>Point out</u> that sessions will cover content on:</p> <ul style="list-style-type: none"> <li>▪ M&amp;E terminology, methods, and frameworks</li> <li>▪ Key elements for describing a program (logic models)</li> <li>▪ M&amp;E in the context of the national strategy and PEPFAR</li> <li>▪ Development of SMART program objectives</li> <li>▪ Development of M&amp;E questions</li> <li>▪ Identification of M&amp;E data users and uses, as well as sources of data</li> </ul>

- Data collection methods and management
- Dissemination of M&E findings
- Considerations for building M&E capacity

Explain that the training format includes sessions that have didactic components, encourage large group discussion, and use small group activities. The activities will contribute to the start of an assessment of M&E readiness and a plan for their program's M&E activities.

Explain that you understand that the participants are here for help in building their knowledge and skills in M&E and developing the current capacity of programs they work on to successfully integrate and implement M&E activities.

Point out that the M&E readiness assessment can help participants determine where their program is in terms of the strength and presence of M&E activities, processes, and/or systems, to implement and manage ongoing M&E activities.

Explain that their participant manuals contain hard copies of all slides and that a CD-ROM of all training materials can be shipped to participants after the training, if requested. Encourage participants to follow along in the participant manual during the training and to use these materials after the training to promote M&E in their own organizations.

### **Establish Ground Rules**

Remind participants to turn off cell phones and pagers; address any other housekeeping items.

Tell participants that there is a lot of information to cover in the

	<p>training—if discussions get involved, you might ask to move the topic to the “parking lot” for further discussion over breaks; if issues arise that need further research or decisions, the group will be reminded to revisit them by posting them to the parking lot.</p> <p><u>Encourage</u> participants from the outset to add ideas or information to discussions from their own experiences, and to ask questions for clarification or for further information during the training sessions.</p> <p><u>Invite</u> participants to set any other norms for the training; post these on the wall within clear view.</p>
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Slide 3	Who Is in the Room?
	<p><u>Tell</u> participants that the group is going to conduct an icebreaker activity. Have everyone move to an open space. <u>Explain</u> that this is an informal way of introducing participants and understanding who is in the room.</p> <p>Below is an example set of directions that can be tailored to the audience for the training:</p> <ul style="list-style-type: none"> <li>▪ If you are like me...and are a woman/man, please come stand with me.</li> <li>▪ If you are a program manager, please come stand with me.</li> <li>▪ And work only at the district level, come stand with me.</li> <li>▪ And work primarily with HIV/AIDS programs, come stand with me.</li> <li>▪ And work primarily on voluntary counseling and testing activities...</li> <li>▪ And work primarily with children...</li> <li>▪ And have served as a program manager within your organization for less than 6 months...</li> </ul> <p>After each grouping, <u>discuss</u> the M&amp;E implications of each grouping. For example:</p> <ul style="list-style-type: none"> <li>▪ “If you are a woman like me, come stand with me”—What are the implications of gender differences in M&amp;E? Each group may have its own biases toward M&amp;E and may have different sensitivities to understanding certain things.</li> </ul>

- “If you have worked in your position for less than 6 months, come stand with me”—What are the implications for M&E? Someone who is new to an organization will have a different understanding of the M&E-related needs. They will come with a fresh set of eyes and ideas and may see things differently from staff members who have been around for longer periods.

When there is a clear division in the room, stop and ask people to introduce themselves. The first person to introduce herself/himself will also talk about what program(s) she/he is responsible for managing or currently providing technical assistance to. Then, when another person is in the same area, she/he will introduce herself/himself and then stand with the previously introduced person. This way, groups will be formed automatically.

**NOTE TO FACILITATOR:** The exercise provides a nice visual for the participants. You may want to brainstorm **BEFORE** the training to think about the interesting divisions in the room. You can also encourage participants to suggest divisions. Try to bring out a lesson related to M&E within each division.



# **Facilitator Guide:**

## **Module 1**

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## MONITORING AND EVALUATION FOR NATIONAL PROGRAM PLANNING AND MANAGEMENT: FACILITATOR GUIDE

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### MODULE 1

What Is M&E?—30 minutes

Slide	Facilitator Notes
Slide 1	What Is M&E? [Title Slide]
	<p><u>Explain</u> that during this session, participants will:</p> <ul style="list-style-type: none"><li>▪ Review the training focus, objectives, agenda, and logistics</li><li>▪ Learn the meaning of the terms monitoring and evaluation</li><li>▪ Apply the terms to their own program</li><li>▪ Learn how M&amp;E is used in programs</li><li>▪ See the M&amp;E navigator for the first time</li></ul> <p><b><i>Materials Needed:</i></b></p> <ul style="list-style-type: none"><li>▪ Slides 1–11</li><li>▪ Participant manual (PM) (pages 5–10)</li><li>▪ Flipchart paper and markers</li></ul>

Slides 2–3	What Is M&E?
	<p><u>Ask</u> participants what they think M&amp;E is. <u>Write</u> their answers on flipchart paper and discuss them. <u>Point out</u> that many of the answers they provided are correct and that some of the language and concepts to be discussed will sound familiar to them, but some may be new or presented in a new way.</p> <p><b>[Slide 2]</b></p> <p><u>Explain</u> that <b>monitoring</b> involves the <i>ongoing</i> collection of information about the activities and operation of a program. This information is used to determine what the program is actually doing and whether activities are being implemented as intended.</p> <p><b>[Slide 3]</b></p> <p><b>Evaluation</b> involves the <i>periodic</i> collection of information about the activities, characteristics, and outcomes of programs in order to make judgments, improve effectiveness, and/or identify lessons learned.</p>
Slide 4	Why Is M&E Conducted?
	<p>On the basis of the definitions of M&amp;E just discussed, <u>ask</u> participants for their thoughts on the reasons for carrying out M&amp;E. <u>Record</u> their responses on flipchart paper.</p> <p><u>Explain</u> that the reasons outlined by the group are tied to three core purposes for implementing M&amp;E: (1) to make a judgment about a program or one of its components, (2) to provide a basis for making program improvements, or (3) simply to develop knowledge.</p> <p><u>Explain</u> that these different types of M&amp;E ask and answer different questions and focus on different purposes. <u>Point out</u> that these various approaches can be used together in the same monitoring or evaluation activity.</p>

Slide 5	Training Focus
	<p><u>Ask</u> participants why they think program improvement is the primary focus of this training. After a few participants provide feedback, <u>affirm</u> their responses and explain the following:</p> <ul style="list-style-type: none"> <li>▪ Most of the participants are directly involved in routine data collection or indirectly support the data collection efforts of others. These activities are often carried out to support the data use needs of external stakeholders, typically for judgment/accountability purposes.</li> <li>▪ As a result, the wide array of data collected is often perceived as supporting only external needs. Consequently, the data may not be used in a systematic way to improve day-to-day and long-term decision-making efforts that can more holistically help advance a program toward its intended goals.</li> <li>▪ Data collected for program improvement: <ul style="list-style-type: none"> <li>• Will provide information on program processes, which can allow for timely adjustments</li> <li>• Can inform ongoing and future program implementation planning efforts</li> <li>• Often provide a resource to generate information that supports data use for judgment/accountability and knowledge development purposes</li> </ul> </li> </ul> <p><u>Point out</u> that this is why the training is focused on building M&amp;E capacity to support program improvement purposes.</p>

Slide 6	Other Concepts
	<p><u>Point out</u> that the training participants may have varied backgrounds in M&amp;E and may come from various sectors, including government, civil society (nongovernmental, community-based, and faith-based organizations), private sector/business, and/or multilateral/bilateral agencies. Participants also are likely to have different levels of HIV-related clinical, service/management, and research experiences and skills.</p> <p><b>Distinguish Between M&amp;E and Other Concepts</b></p> <p><u>Explain</u> that program M&amp;E complements other data collection efforts, but it is not exactly the same as these:</p> <ul style="list-style-type: none"> <li>▪ <u>Academic research</u>: Primary aim is to advance knowledge and understand the theoretical relationship between variables</li> <li>▪ <u>Disease surveillance</u>: Ongoing systematic collection, analysis, and interpretation of data that describe diseases and their transmission in populations</li> <li>▪ <u>Operations research</u>: An interdisciplinary science that uses scientific methods (e.g., mathematical modeling, statistics, algorithms) to help inform decisions about the operations within an organization</li> </ul>
Slide 7	Activity: Your M&E Activities
<b>PM page 7</b>	<p><u>Ask</u> participants to turn to <b>Activity 1.1</b> in the participant manual (PM) on page 7. <u>Explain</u> that the group will now take a few minutes so participants can identify the specific activities they carry out that can be classified as monitoring or as evaluation. <u>Ask</u> them to use Table 1.1 to record their responses. <u>Give</u> them 5 minutes to write down their answers and use another 5 minutes to discuss the answers with the group.</p>

Slide 8	How Planning, Implementation, and Outcomes Are Related
	<p><u>Explain</u> that program development is an ongoing systematic process that reflects the steps involved in planning, implementing, and monitoring and/or evaluating a program's results. Therefore, M&amp;E is an essential element of program development.</p> <p><u>Explain</u> that this diagram is one way to depict the relationship between planning, implementation, and results. <u>Point out</u> that, for example, the results of a program help inform future planning decisions, especially if the processes for carrying out a program outlined in the initial plan differ from what actually occurred.</p> <p><u>Point out</u> that, in one instance, the way the program may have been implemented may be different from the initial plan. In this case, participants would need to determine why this happened so that they can plan differently in the future for similar programs.</p> <p>In another case, program outcomes (results) may not be what they expected. In that case, they would have to determine what, if anything, needs to be changed in their plans.</p> <p>A good program plan describes why implementing specific activities will lead to desired results. M&amp;E allows you to determine: (1) whether you have implemented the program according to your plan and (2) whether the desired results occurred.</p> <p><u>State</u> that even if it is too early to have results, participants need to assess whether they are implementing as planned. If not, they can decide whether to improve implementation or to change their plan.</p>

	<p>If participants ARE implementing as planned but do not see desired results, this assessment will help them identify what parts of their plan did or did not work.</p> <p><u>Explain</u> that later in the training, the group will discuss the different types of M&amp;E that can be used at each of these steps.</p>
<b>Slide 9</b>	<b>Discussion</b>
	<p><u>Take</u> a few minutes to facilitate a brief large group discussion about what current or potential changes to their programs might affect the participants' M&amp;E approach.</p>
<b>Slide 10</b>	<b>Integrated Program Development Cycle</b>
	<p><u>Explain</u> that this diagram is a more detailed representation of the relationship between program planning, implementation, and outcomes. <u>Note</u> that M&amp;E should be infused in the program development cycle from beginning to end and that the group will discuss (at a later point) the implications involved when there is a failure to take this into account.</p> <p><u>Explain</u> that the first three steps of the cycle correspond to the planning phase, the fourth step corresponds to implementation, and the fifth and sixth steps correspond to outcomes.</p>

Slide 11	The M&E Navigator
	<p><u>Introduce</u> the M&amp;E navigator (<i>the image of the river map</i>). <u>Explain</u> that the group will be using this navigator as a guide through the training. It may be helpful to connect the stages of the navigator to the integrated program development cycle from the previous slide.</p> <p><u>Explain</u> that as the participants go through this training, they will use this image to illustrate the process of developing and carrying out M&amp;E. The M&amp;E navigator shows the stages that participants are moving through toward understanding this process.</p> <p><u>Point out</u> that the first stage focuses on developing a very thorough understanding and description of a program to be monitored and/or evaluated. <u>Explain</u> that information to help participants understand and describe a program can be obtained from Steps 1 through 3 of the integrated program development cycle: assessment, strategic planning, and design.</p> <p><u>Explain</u> that once a program is understood and clearly described, then one can decide what program information is needed in order to carry out monitoring or evaluation activities. <u>Point out</u> that one would next need to decide the best means of collecting data and how to best manage and make sense of data once they have been collected. The final step the group will discuss is how to report and use the data collected.</p>



Point out that, ideally, determining what data are needed and how best to collect, disseminate, and use them would occur as a part of the program design activities described in Step 3. The actual collection of and analysis of data would occur as part of routine monitoring and program evaluation activities in Steps 4 and 5.

Point out that the sixth stage of developing and carrying out M&E is the same as Step 6 (reporting/sharing findings) of the program development cycle.

Explain that the group will start at the first stage. Emphasize that having a clear understanding of how a program is organized is an important first step before conducting M&E activities. Once participants can describe how a program works, they will find that it is easier to plan and implement M&E activities as well as use M&E data generated to improve a program.

# **Facilitator Guide:**

## **Module 2**

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## MONITORING AND EVALUATION FOR NATIONAL PROGRAM PLANNING AND MANAGEMENT: FACILITATOR GUIDE

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### MODULE 2

#### Understanding M&E Terms and Models—105 minutes

Slide	Facilitator Notes
Slide 1	Understanding M&E Terms and Models [Title Slide]
	<p><u>Explain</u> that during this session, participants will:</p> <ul style="list-style-type: none"><li>▪ Review the training focus, objectives, agenda, and logistics</li><li>▪ Learn monitoring and evaluation (M&amp;E) terms</li><li>▪ Learn how M&amp;E is related to other uses of public health data</li><li>▪ Study models and concepts to get an overview of the field of M&amp;E</li></ul> <p><b><i>Materials Needed</i></b></p> <ul style="list-style-type: none"><li>▪ Slides 1–28</li><li>▪ Participant manual (PM) (pages 11–30)</li><li>▪ Flipchart paper and markers</li></ul>

Slide 2	Using M&E Language
	<p><u>Explain</u> that many terms can be used to describe various methodologies or program elements that can be monitored and/or evaluated. <u>Point out</u> that the participants may be very familiar with some of these terms and less familiar with others.</p> <p><u>Ask</u> participants to describe some terms they may be familiar with. List their responses on flipchart paper and discuss them. <u>Affirm</u> their responses and point out which of the terms are associated with program elements, methods, or other aspects of M&amp;E. <u>Explain</u> that some of these terms will be reviewed now, some will be covered later in the training, and others are relevant but may be beyond the scope of the training, if this is the case.</p>
Slides 3–6	Program Components
<p><b>PM pages 12–13</b></p>	<p><b>[Slide 3]</b></p> <p><u>Recall</u> some of the responses given when participants were asked to share terms or language they associate with M&amp;E. <u>Remind</u> them that those specific terms are associated with key components of a program. <u>Explain</u> that program components are the key building blocks that describe how a program will use a given amount of resources to implement a set of activities and what will be the result if this is done.</p> <p><u>Explain</u> that participants will be learning and practicing how to visually depict the relationships between program components as a means to present how an organization sees program implementation occurring. <u>Refer</u> participants to Figure 2.1 on page 12 of the participant manual. Table 2.1 on page 13 of the manual provides specific examples of program components for a counseling and testing (CT) program.</p>

**[Slide 4]**

Explain that **INPUTS** are the resources used in a program, such as money, staff, curricula, and materials. Provide the following examples of inputs of a national HIV/AIDS CT program:

- Government and other donor funds
- CT personnel
- CT protocols and guidance
- Training materials
- HIV test kits

Explain that **ACTIVITIES** are the services that the program provides to accomplish its objectives, such as outreach, materials distribution, counseling sessions, workshops, and training. Provide the following examples of activities of a national HIV/AIDS CT program:

- Provide pretest counseling, HIV tests, and posttest counseling
- Train CT personnel and site managers

**[Slide 5]**

Explain that **OUTPUTS** are the direct products or deliverables of the program or project, such as intervention sessions completed, people reached, and materials distributed. Provide the following examples of outputs of a national HIV/AIDS CT program:

- Number of personnel certified to provide testing
- Number of clients receiving pretest counseling, HIV tests, and posttest counseling

Explain that **OUTCOMES** are the program results that occur both immediately and sometime after the activities are completed, such as changes in knowledge, attitudes, beliefs, skills, behaviors, access, policies, and environmental conditions. Provide the following examples of outcomes of a national HIV/AIDS CT program:

	<ul style="list-style-type: none"><li>▪ Quality of CT improved</li><li>▪ Clients develop a personalized risk reduction plan</li><li>▪ HIV-positive clients develop a treatment plan and are referred to treatment</li></ul> <p><b>[Slide 6]</b></p> <p><u>Explain</u> that <b>IMPACTS</b> are the long-term results of one or more programs over time, such as changes in HIV infection, morbidity, and mortality. <u>Provide</u> the following examples of impacts of a national HIV/AIDS CT program:</p> <ul style="list-style-type: none"><li>▪ HIV transmission rates decrease</li><li>▪ HIV incidence decreases</li><li>▪ HIV morbidity and mortality decrease</li></ul>
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Slides 7–12	Types of M&E
	<p><u>Explain</u> that people use many different terms to describe M&amp;E methods and that it can be confusing when different terms are used for the same type of M&amp;E activity. For example, different terms are used in the field to refer to formative evaluation activities, such as needs assessment, situation analysis, and planning and assessment.</p> <p><u>Explain</u> that there are six major types of M&amp;E:</p> <ol style="list-style-type: none"> <li>1. Formative evaluation</li> <li>2. Input/output monitoring</li> <li>3. Process evaluation</li> <li>4. Outcome monitoring</li> <li>5. Outcome evaluation</li> <li>6. Impact evaluation</li> </ol> <p><u>Explain</u> that each of these methodologies provides different kinds of information. Emphasize that a different level of effort and resources—time, money, and materials—is required to use these methods at any given time.</p> <p><b>[Slide 7]</b></p> <p><u>Point out</u> that <b>FORMATIVE EVALUATION</b> (assessment and planning) involves the collection and use of information needed to plan programs and initiatives. These data may describe the needs of the population and the factors that put people at risk, as well as the context, program response, and resources available (financial and human).</p>

Point out that formative evaluation answers questions such as the following:

- What are the needs of the population to be reached by the program?
- How should the program be designed or modified to address the population's needs?
- What would be the best way to deliver this program?

**[Slide 8]**

Point out that **INPUT/OUTPUT MONITORING** is the use of data to describe the individuals served, the services provided, and the resources used to deliver those services.

Input/output monitoring answers questions such as the following:

- What services were delivered?
- What population was served, and what numbers were served?
- What staffing/resources were used?

**[Slide 9]**

**PROCESS EVALUATION** is the use of more detailed data about how the intervention was delivered, differences between the intended population and the population served, and access to the intervention.

Process evaluation answers questions such as the following:

- Was the intervention implemented as intended?
- Did the intervention reach the intended audience?
- What barriers did clients experience in accessing the intervention?



**[Slide 10]**

**OUTCOME MONITORING** involves the basic tracking of measures related to desired program outcomes. With national AIDS programs, one type of outcome monitoring is typically conducted through population-based surveys to track whether or not desired outcomes have been reached. This type of monitoring may also track information directly related to program clients, such as change in knowledge, attitudes, and behavior.

Outcome monitoring answers the following question:

- Did the expected outcomes occur (e.g., increase in condom use, increase in knowledge or change in behavior, increase in clients' use of services)?

**[Slide 11]**

**OUTCOME EVALUATION** uses data about outcomes collected before and after the intervention for clients who participated as well as with a similar group that did not participate in the intervention being evaluated.

Outcome monitoring answers the following question:

- Did the intervention cause the expected outcomes?

**[Slide 12]**

**IMPACT MONITORING AND EVALUATION** is the use of data about HIV infection and other long-term effects at the jurisdictional, regional, and national levels.

Point out that impact monitoring and evaluation answers the following question:

- What long-term effects do interventions have on HIV infection morbidity and mortality?

	<p>Also <u>point out</u> the distinction between impact monitoring and impact evaluation:</p> <ul style="list-style-type: none"> <li>▪ An example of impact monitoring is disease surveillance</li> <li>▪ An example of impact evaluation is the rise or fall of disease incidence/prevalence a function of AIDS programs?</li> </ul> <p><u>Ask</u> participants how these M&amp;E terms are similar to or different from the M&amp;E terms they have heard before.</p>
<b>Slide 13</b>	<b>Activity: What Is Your Experience With the Six Types of M&amp;E?</b>
<b>PM page 14</b>	<p><u>Explain</u> that the group will take a few minutes so that participants can describe their experiences with the various types of M&amp;E activities just discussed. <u>Ask</u> them to review <b>Activity 2.1</b> in the participant manual on page 14 and use the space provided to record their responses in Table 2.2. <u>Give</u> participants 10 minutes to write down their answers, and use another 5 minutes to discuss some of their responses with the larger group.</p>
<b>Slide 14</b>	<b>M&amp;E Related to Planning, Implementation, and Results</b>
	<p><u>Explain</u> that M&amp;E can answer the following key questions with the methods listed:</p> <ul style="list-style-type: none"> <li>▪ Formative evaluation is used during the planning stage to answer the question, <b>Are we doing the right things?</b></li> <li>▪ Input/output monitoring and process evaluation are used during the implementation phase to answer the question, <b>Are we doing them right?</b></li> <li>▪ Outcome M&amp;E is used during the outcomes phase to answer the question, <b>Are we making a difference?</b></li> <li>▪ Impact M&amp;E is also used during the outcomes phase to answer the question, <b>Are we doing them on a large enough scale?</b></li> </ul>

Slide 15	Activity: What Happens if Information Is Missing?
<b>PM page 20</b>	<p><u>Ask</u> participants to turn to <b>Activity 2.2</b> in their participant manual on page 20. You can facilitate this activity as a small group exercise or a group discussion. <u>Give</u> the example of a behavior change communication (BCC) intervention with two different outcomes:</p> <ul style="list-style-type: none"> <li>▪ A BCC intervention was planned and implemented.</li> <li>▪ Increased condom use was the expected outcome.</li> <li>▪ Condom use was measured, and it did not change.</li> <li>▪ Program staff did not monitor implementation; therefore, they do not know who was actually reached by the intervention, how the intervention was actually delivered, or how to interpret possible problems.</li> </ul> <p style="text-align: center;">—OR—</p> <ul style="list-style-type: none"> <li>▪ A BCC intervention was planned and implemented.</li> <li>▪ Increased condom use was the expected outcome.</li> <li>▪ Condom use was measured and increased by a great amount.</li> <li>▪ Other Global AIDS Program projects want to replicate the intervention, but program staff did not monitor implementation, so they do not know what caused the great increase in condom use.</li> </ul> <p><u>Discuss</u> these examples by asking the following questions:</p> <ul style="list-style-type: none"> <li>▪ What caused the change or lack of change in condom use?</li> <li>▪ How does the lack of implementation monitoring data affect the program staff's ability to improve the intervention?</li> </ul> <p><u>Emphasize</u> that without knowing what was implemented, to which population, and at what level of intensity, there is no way to understand the relationship between the intervention plan and the desired outcomes.</p>

	<u>Emphasize</u> the importance of input/output monitoring and process evaluation as tools for understanding implementation.
<b>Slide 16</b>	<b>Activity: Practice Using M&amp;E Terminology</b>
<b><i>PM page 21</i></b>	<p><u>Explain</u> that the group will now do an activity to practice using the M&amp;E terminology learned. <u>Refer</u> to <b>Activity 2.3</b> in the participant manual (page 21) and <u>provide</u> the following instructions:</p> <ul style="list-style-type: none"> <li>▪ Complete this exercise as a group with the other participants</li> <li>▪ Review the M&amp;E scenarios</li> <li>▪ For each scenario, write down the type of M&amp;E that is being conducted</li> <li>▪ Take 10 minutes to complete the activity</li> </ul> <p><u>Explain</u> that the group will review and discuss the answers. Once participants are finished, <u>review</u> the answers. <u>Debrief</u> after the activity and make sure that everyone understands the different M&amp;E terms.</p>
<b>Slide 17</b>	<b>M&amp;E Models</b>
	<p><u>Remind</u> participants that they just reviewed various key concepts within M&amp;E. <u>Point out</u> that the next few slides will describe a systematic and practical way for thinking about the application of program-level M&amp;E within a public health context. <u>Explain</u> that the group will review a set of public health questions that help provide a context for implementing M&amp;E. <u>Point out</u> that they will also discuss the importance of setting realistic expectations when planning for program-level M&amp;E.</p>

Slide 18	Public Health Questions—An Approach to Unifying M&E
	<p><u>Remind</u> participants that you understand most of them are responsible for coordinating, managing, providing technical assistance, and/or monitoring and evaluating large-scale HIV/AIDS programs. <u>Point out</u> that it will be important for them to consider some basic public health questions that must be addressed when planning comprehensive M&amp;E activities for these programs.</p> <p>The staircase model presented here provides a step-by-step process for understanding the relationship between program components, data sources, and methods that can be used to provide the answers to these questions. <u>Explain</u> that each step in the diagram is the foundation for the next step in the investigative process.</p> <ol style="list-style-type: none"> <li>1. The first step is <b>problem identification</b>. In the case of HIV/AIDS, public health professionals initially seek to identify the nature, magnitude, and course of the overall epidemic. This information typically comes from surveillance systems, special surveys, and epidemiological studies. This first step may also include questions about the nature and magnitude of the programmatic response to date.</li> </ol> <p>Situation analysis, gap analysis, and response analysis are the typical information-gathering activities that seek information about program status from, for example, document reviews, informant interviews, and field observations.</p> <p>The methods used in this first step are also used in the last step, which determines overall impact and collective effectiveness of</p>

	<p>combined program efforts at the national level, thus closing the loop in the iterative process of program planning, implementation, and evaluation.</p> <ol style="list-style-type: none"> <li>2. In the second step, activities are conducted to determine the <b>contributing factors</b> and determinants for risk infection. This information is usually obtained from knowledge, attitude, and behavior surveys; epidemiological risk factor studies; and determinants research. The results at this step help in the design of appropriate interventions.</li> <li>3. The third step focuses on <b>what interventions might work</b> under ideal circumstances in rigorous research-driven protocols (efficacy trials) or under specific conditions (effectiveness studies). Typical evaluation methods include intervention outcome studies with control or comparison groups, operations research, health services research, formative research, and other special studies.</li> <li>4. The fourth step involves determining <b>what specific interventions and resources are needed</b>. This question is usually addressed through an analysis of program coverage data from special surveys or from the national health management information system.</li> <li>5. The fifth step seeks to <b>assess the quality of program implementation</b> through process monitoring, evaluations, and other forms of quality assessments.</li> </ol>
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	<p>6. Similarly, the sixth step seeks to <b>examine the extent of program outputs achieved</b>, answering questions of “how many” and whether the program is being implemented as planned. Typically, this information is routinely collected from health management information systems.</p> <p>7. The seventh step examines <b>program outcomes</b> and answers questions about program effectiveness. Typically, applied outcome evaluation studies are used at this stage.</p> <p>8. The final step focuses on determining <b>overall program effects</b> and collective effectiveness. Building on the answers to the questions at previous steps, information from population-based surveys and other surveillance activities are once again used to answer questions at this last step.</p> <p>Source: Rugg, D., Carael, M., Boerma, J. T., &amp; Novak, J. (2004). Global advances in monitoring and evaluation of HIV/AIDS: From AIDS case reporting to program improvement. <i>New Directions for Evaluation</i>, 103, 33–48.</p>
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Slides 19–21	Mapping Types of Evaluation to the Staircase Model
	<p><b>[Slide 19] Formative Evaluation</b></p> <p><u>Explain</u> that the types of evaluations we learned about in the previous slides (formative, process, and outcome evaluations) can be mapped to the staircase model to show their roles in the M&amp;E investigative process.</p> <p>Once a problem has been identified, programs need to collect data to understand how best to address the problem. <u>Point out</u> that formative evaluation involves the collection of information and data needed to plan and design programs and initiatives. These data may describe the needs of the population and the factors that put people at risk, as well as the context, program response, and resources available. These data help answer the following questions: What are the contributing factors? What interventions can work?</p> <p><b>[Slide 20] Process Evaluation</b></p> <p><u>Explain</u> that after implementing the interventions that were planned during the formative phase, it is important to learn how well they are being implemented and how the program design and implementation can be improved. Process evaluation examines the acceptability or feasibility of the intervention, the way in which the intervention is implemented, and/or the quality of the procedures performed by the program staff. It is designed to describe what goes on during implementation, that is, how inputs and activities produce the outputs that will result in achieving program objectives.</p> <p><b>[Slide 21] Outcome Evaluation</b></p> <p><u>Explain</u> that outcome evaluation is designed to establish whether an intervention is effective in bringing about desired results, such as</p>



	disease status, knowledge, attitudes, intentions, behavior, and service use.
<b>Slide 22</b>	<b>Activity: Setting Realistic Expectations</b>
<b><i>PM page 27</i></b>	<u>Refer</u> participants to <b>Activity 2.4</b> in the participant manual (page 27). <u>Ask</u> them to answer the questions in Table 2.4. These questions will help them think about setting realistic expectations for monitoring and evaluating their programs. <u>Explain</u> that they can work individually or as a small group to answer the questions.

Slides 23–27	Levels of M&E Effort: The M&E Pipeline
	<p><b>[Slide 23]</b></p> <p><u>Point out</u> that a critical step when planning M&amp;E is setting realistic expectations for what should be monitored and/or evaluated. <u>Explain</u> that this graphic is called the “M&amp;E pipeline” and that it depicts the various levels of M&amp;E effort required by any given number of programs and how the data output at one level will serve as the input of the next level. <u>Explain</u> that fewer and fewer programs will conduct corresponding M&amp;E activities for each successive level of effort.</p> <p><u>Explain</u> that the group will now review the following questions to ask before determining what level of M&amp;E needs to be conducted for a program:</p> <ul style="list-style-type: none"> <li>▪ What kind of information is needed, and who needs it? <ul style="list-style-type: none"> <li>• What do we need to know about a given program or the program outcomes?</li> </ul> </li> <li>▪ How much time and effort does this require? <ul style="list-style-type: none"> <li>• How much time is this going to take to collect, analyze, and interpret the data?</li> <li>• How many people will need to be involved to conduct this type of M&amp;E activity?</li> </ul> </li> <li>▪ What resources are available? <ul style="list-style-type: none"> <li>• How much money will be needed to do this?</li> <li>• What funding is available to support this?</li> <li>• How much time can program staff dedicate to this?</li> <li>• Are there others who can help (e.g., donors, external consultants with expertise in M&amp;E, partners)?</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>▪ What results can be expected at this point in time? <ul style="list-style-type: none"> <li>• Is the program far enough along in the implementation process to be able to see <i>Outputs? Outcomes? Impacts?</i></li> <li>• Or is it too early to see some of the long-term results?</li> <li>• Has the program been going on long enough for any level of outcomes to have occurred?</li> </ul> </li> <li>▪ Is it the right time to conduct the specified M&amp;E activity? <ul style="list-style-type: none"> <li>• Is anything unusual happening in the near future that would make M&amp;E findings hard to interpret?</li> <li>• Are there likely to be significant changes in the programming?</li> </ul> </li> </ul> <p><u>Point out</u> that only after answering these questions should participants consider implementing a specific M&amp;E activity.</p> <p><b>[Slides 24–27]</b></p> <p>Use the M&amp;E pipeline to point out the various levels of M&amp;E effort that are expected among the assortment of stakeholders implementing programs. <u>Note</u> the following:</p> <ul style="list-style-type: none"> <li>▪ <b>[Slide 24]</b> <u>All</u> programs should implement input and output monitoring to track the services provided and resources used</li> <li>▪ <b>[Slide 25]</b> <u>Most</u> programs should develop strategies to evaluate their activities through process evaluation, which requires additional time and effort from the organization</li> <li>▪ <b>[Slide 26]</b> Only <u>some</u> programs will implement outcome evaluations because this requires a higher level of expertise, training, and resources than many smaller organizations have the capacity for</li> </ul>
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	<ul style="list-style-type: none"> <li>▪ <b>[Slide 27]</b> Only a <u>few</u> programs—typically, national-level programs (e.g., a ministry of health) or international organizations (e.g., the U.S. Government’s Emergency Plan)—will conduct impact monitoring and evaluation to assess the long-term effects of several programs’ collective efforts to address a problem</li> </ul>
<b>Slide 28</b>	<b>Discussion</b>
	<p><u>Take</u> a few minutes to facilitate a brief group discussion with participants about the types of M&amp;E activities their programs have implemented and whether, according to the model, they should consider other activities.</p>

# **Facilitator Guide:**

## **Module 3**

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## MONITORING AND EVALUATION FOR NATIONAL PROGRAM PLANNING AND MANAGEMENT: FACILITATOR GUIDE

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### MODULE 3

#### PEPFAR in the Context of the National Response—15 minutes

Slide	Facilitator Notes
Slide 1	<b>PEPFAR in the Context of the National Response [Title Slide]</b>
	<p>During this session, participants will:</p> <ul style="list-style-type: none"><li>▪ Learn about the U.S. President’s Emergency Plan for AIDS Relief (PEPFAR, or Emergency Plan) in the context of the national response</li></ul> <p><b>Materials Needed</b></p> <ul style="list-style-type: none"><li>▪ Slides 1–13</li><li>▪ Participant manual (PM) (pages 31–33)</li><li>▪ Flipchart paper and markers</li></ul> <p><b>SPECIAL NOTE:</b> This module provides a general overview of the role that PEPFAR plays in supporting the national strategy of partner countries.</p>

Slides 2–3	What Is PEPFAR?
	<p><b>[Slide 2]</b></p> <p><u>Explain</u> that in response to the global HIV/AIDS emergency, the U.S. Government (USG) developed PEPFAR in 2003. <u>Point out</u> that PEPFAR is a 5-year, \$15 billion commitment to combat the global HIV/AIDS pandemic by promoting integrated prevention, treatment, and care interventions with an urgent focus on countries that are among the most afflicted nations of the world.</p> <p><b>[Slide 3]</b></p> <p><u>Explain</u> that in over 120 countries around the world, PEPFAR works to accomplish the following:</p> <ul style="list-style-type: none"> <li>▪ Encourage bold leadership at every level to fight HIV/AIDS</li> <li>▪ Apply best practices within programs in concert with host country governments' national HIV/AIDS strategies</li> </ul> <p><u>Urge</u> all partners to coordinate, adhere to sound management practices, and harmonize monitoring and evaluation (M&amp;E) efforts</p>
Slide 4	Goals
	<p><u>Review</u> the goals of PEPFAR, which are commonly referred to as the 2-7-10 goals:</p> <ul style="list-style-type: none"> <li>▪ Antiretroviral treatment for 2 million HIV-infected people</li> <li>▪ The prevention of 7 million new HIV infections</li> <li>▪ Care for 10 million people infected and affected by HIV/AIDS, including orphans and vulnerable children</li> </ul>

Slide 5	Partnerships
	<p><u>Explain</u> the following: Under the leadership of Office of the U.S. Global AIDS Coordinator (OGAC), PEPFAR engages multiple United States Government (USG) agencies as well as international multilateral institutions and host country governments as partners. OGAC is responsible for ensuring that all USG agencies working in HIV/AIDS create a unified USG response at the headquarters and country levels. In countries where there is no USG in-country team, PEPFAR activities are managed by regional offices. Currently, there are 11 regional offices around the globe: 7 of the regional offices are managed by the U.S. Agency for International Development, and 4 are managed by the U.S. Department of Health and Human Services.</p>
Slides 6–7	USG Implementing Agencies
	<p><u>Review</u> the list of USG implementing agencies and point out that many participants may have worked with or may be currently working with one or more of these agencies:</p> <ul style="list-style-type: none"> <li>▪ U.S. Department of State (DoS) (<a href="http://www.state.gov">http://www.state.gov</a>) <ul style="list-style-type: none"> <li>• U.S. Agency for International Development (USAID) (<a href="http://www.usaid.gov">http://www.usaid.gov</a>)</li> <li>• U.S. Embassies</li> </ul> </li> <li>▪ U.S. Department of Health and Human Services (HHS) (<a href="http://www.hhs.gov">http://www.hhs.gov</a>) <ul style="list-style-type: none"> <li>• Centers for Disease Control and Prevention (CDC), Global AIDS Program (GAP) (<a href="http://www.cdc.gov/nchstp/od/GAP/">http://www.cdc.gov/nchstp/od/GAP/</a>)</li> <li>• Health Resources and Services Administration (HRSA) (<a href="http://www.hrsa.gov">http://www.hrsa.gov</a>)</li> </ul> </li> <li>▪ U.S. Census Bureau (BUCEN) (<a href="http://www.census.gov">http://www.census.gov</a>)</li> <li>▪ U.S. Food and Drug Administration (FDA) (<a href="http://www.fda.gov">http://www.fda.gov</a>)</li> </ul>



	<ul style="list-style-type: none"> <li>▪ U.S. Department of Defense (DoD) (<a href="http://www.defenselink.mil">http://www.defenselink.mil</a>)</li> <li>▪ U.S. Department of Labor (DoL) (<a href="http://www.dol.gov">http://www.dol.gov</a>)</li> <li>▪ U.S. Department of Commerce (DoC) (<a href="http://www.commerce.gov">http://www.commerce.gov</a>)</li> <li>▪ Peace Corps (<a href="http://www.peacecorps.gov">http://www.peacecorps.gov</a>)</li> </ul>
<b>Slide 8</b>	<b>International Partners</b>
	<p><u>Explain</u> the following: PEPFAR also engages international organizations as partners in the fight against HIV/AIDS. It works closely with multilateral institutions, such as the Joint United Nations Programme on HIV/AIDS (UNAIDS) and the World Health Organization (WHO), to promote comprehensive and coordinated responses to HIV/AIDS at the country level. USG allocates a certain portion of the PEPFAR budget to the Global Fund to Fight AIDS, Tuberculosis and Malaria (the Global Fund).</p>
<b>Slide 9</b>	<b>Country-Level Partners</b>
	<p><u>Explain</u> the following: At the country level, PEPFAR works closely with host country governments, particularly ministries of health, nongovernmental organizations, and local universities. To increase the number and capacity of indigenous partners actively engaged in service delivery activities, PEPFAR has authorized the use of umbrella mechanisms to channel funding to local organizations. PEPFAR also sets limits on the percentage of country funding that can be allocated to individual organizations, and it requires USG implementing agencies to annually review partner performance in strengthening indigenous organizations.</p>

Slides 10–11	Strategic Information in the Context of PEPFAR
	<p><b>[Slide 10]</b></p> <p><u>Explain</u> that strategic information (SI) is critical for making decisions about USG-funded global HIV programs and policies. SI systems, including health management information systems, surveillance, and M&amp;E, are critical in helping ensure progress toward PEPFAR targets in focus and other bilateral countries with HIV/AIDS programs that are receiving funding.</p> <p><b>[Slide 11]</b></p> <p><u>Review</u> the overall goals of SI within PEPFAR:</p> <ul style="list-style-type: none"> <li>▪ Report on progress toward achieving the PEPFAR targets</li> <li>▪ Improve PEPFAR programming and delivery of services</li> <li>▪ Provide accountability for use of PEPFAR resources</li> <li>▪ Contribute to the development of the <i>“Third One”—one national M&amp;E system in each focus country</i></li> <li>▪ Build global capacity for use of SI in combating HIV/AIDS</li> </ul>

Slide 12	“Three Ones” Principles
	<p><u>Explain</u> the following: A critical aspect of SI activities is the harmonization of indicators and reporting systems with international agencies (e.g., UNAIDS, WHO, the Global Fund), as well as national systems. Accordingly, USG has adopted WHO and UNAIDS guidelines on the construction of core HIV outcome indicators. Additionally, USG SI activities adhere to the Third One of the “Three Ones” principles endorsed by UNAIDS, the United Kingdom, and the United States to achieve the effective and efficient use of resources as well as to ensure rapid action and results-based management. The Three Ones are as follows:</p> <ul style="list-style-type: none"> <li>▪ One agreed HIV/AIDS Action Framework that provides the basis for coordinating the work of all partners</li> <li>▪ One National AIDS Coordinating Authority, with a broad-based multi-sectoral mandate</li> <li>▪ One agreed country-level Monitoring and Evaluation System</li> </ul>
Slide 13	More About PEPFAR
	<p><u>Point out</u> that more information about PEPFAR can be found at its Web site (<a href="http://www.pepfar.gov">http://www.pepfar.gov</a>).</p>

# **Facilitator Guide:**

## **Module 4**

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**MONITORING AND EVALUATION FOR NATIONAL PROGRAM PLANNING AND  
MANAGEMENT: FACILITATOR GUIDE**

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## MODULE 4

### Using a Logic Model to Describe Your Program—150 minutes

Slide	Facilitator Notes
Slide 1	Using a Logic Model to Describe Your Program [Title Slide]
	<p><u>Explain</u> that during this session, participants will:</p> <ul style="list-style-type: none"> <li>▪ Discuss logic models</li> <li>▪ Practice using logic models</li> </ul> <p><b><i>Materials Needed</i></b></p> <ul style="list-style-type: none"> <li>▪ Slides 1–37</li> <li>▪ Participant manual (PM) (pages 35–64)</li> <li>▪ Logic model cards</li> <li>▪ Arrow cards</li> <li>▪ Flipchart paper and markers</li> <li>▪ Post-it Notes</li> <li>▪ Program descriptions (participants will need to bring the most recent description of programs they are responsible for or support to participate in the activities where they will create logic models)</li> </ul>
Slide 2	The M&E Navigator
	<p><u>Note</u> where the participants are in the training on the river map.</p> <p><u>Explain</u> that clearly describing a program is an important first step in conducting M&amp;E activities. A clearly described program is easier to monitor and evaluate, and it facilitates the use of M&amp;E data to improve the program. <u>Tell</u> the participants that they will practice using a planning tool called a logic model.</p>

Slides 3–4	What Is a Logic Model?
	<p><u>Define</u> “logic model.” <u>Explain</u> that logic models are invaluable program design, management, and evaluation tools that describe the main elements of a program and explain how these elements work together to reach a particular goal, such as the prevention of HIV in a specific population.</p> <p><u>Tell</u> participants the following: A logic model graphically presents the logical progression and relationship of these elements. Logic models represent the relationships between a program’s activities and its intended effects. They make explicit assumptions about how a program will address a particular problem.</p> <p><u>Emphasize</u> that logic models are not management plans, which is an important next step in the program planning process; however, logic models can be adapted to reflect staffing, timelines, indicators, and other elements as parts of a management plan.</p> <p><u>Ask</u> participants if they have heard of other terms to describe a logic model. Other common names for logic models include roadmap, conceptual map, blueprint, theoretical underpinning, rationale, causal chain, logic framework, and program theory.</p> <p><u>Remind</u> participants that the group will use the term “logic model” in this training since that is the term commonly used in M&amp;E-related trainings.</p>

Slide 5	Planned Versus Actual Logic Models
	<p><u>Explain</u> that logic models may be used to describe a program's (1) planned implementation and outcomes or (2) actual implementation and outcomes. <u>Explain</u> that logic models of planned interventions represent the ideal situation and that they describe how a program should function and what results can be expected, barring unexpected barriers and changes.</p> <p><u>Make</u> the following points:</p> <ul style="list-style-type: none"> <li>▪ <b>Planned implementation and outcomes:</b> During program planning, a logic model can be used to describe how the program (e.g., an actual intervention, technical assistance) will be implemented and the outcomes that are expected. As a planning tool, the logic model uses theory, experience, and scientific evidence to create a program that is responsive to the problem statement and to identify appropriate outputs, outcomes, and impacts.</li> <li>▪ <b>Actual implementation and outcomes:</b> Once the program is implemented, a logic model can be used to describe how implementation actually occurred and the outcomes that are achieved.</li> </ul> <p><u>Acknowledge</u> that planned and actual implementation and outcomes do not always match because of changes in funding, shifting priorities, unpredictable challenges, and other stumbling blocks. However, logic models facilitate a comparison of planned and actual implementation and enable the evaluation of why differences may have occurred. This type of comparison provides information useful for strengthening the program.</p>

Slide 6	Headache Logic Model
	<p><u>Explain</u> that although participants probably do not often think of it this way, they use logic models in their everyday life. <u>Describe</u> the headache logic model. <u>Point out</u> that this is a logical series of statements and assumptions that can be tested with M&amp;E.</p> <p><u>Explain</u> the implications of an incorrect problem statement (e.g., the headache was caused by allergies, not stress and tension) and emphasize how this causes the logic to break down.</p>
Slide 7	Logic Model Components
	<p><u>Tell</u> participants that there are many different ways of constructing a logic model. <u>Explain</u> that the training will present a simple framework for logic models, which works well for HIV prevention.</p> <p><u>Explain</u> that logic models consist of five key program components: inputs, activities, outputs, outcomes, and impacts. <u>Review</u> the definition of each component.</p>



Slide 8	Developing a Logic Model for a Voluntary Counseling and Testing (VCT) Program
	<p><u>Explain</u> that the group will now discuss how this framework can be applied in a VCT context. <u>Point out</u> that before the group discusses the components of the logic model, participants must know what problem the VCT program is trying to address, or the problem statement. In this example, the problem statement would be:</p> <p style="padding-left: 40px;">People who do not know they are seronegative might not be as motivated to remain disease-free, whereas those who are HIV infected might not use critical interventions to reduce HIV transmission to their children and others or other care, treatment, and support services.</p>
Slides 9–11	Logic Model Components in a VCT Program
	<u>Review</u> each of the program components for the VCT-related example. <u>Explain</u> that this model does not represent specific relationships between components within the model; for example, this model does not present the specific relationship between a particular input and activities.
Slide 12	Activity: Identify Logic Model Components
<b>PM pages 40–41</b>	<p><u>Explain</u> that participants will now practice identifying program components for their own programs. <u>Ask</u> them to turn to <b>Activity 4.1</b> in the participant manual (pages 40–41). <u>Instruct</u> participants to use Table 4.2 to list examples of components from their own programs. <u>Encourage</u> them to refer to Table 4.1 in the participant manual for examples from the VCT program. <u>Explain</u> that participants can do this activity individually or in a small group.</p>

Slide 13	Cause-and-Effect Relationship
	<p><u>Explain</u> that logic models are more than lists of program components—they also show each <i>cause-and-effect relationship</i>, or the relationship between two events, where the effects of one event (e.g., use of program funding to implement a set of activities) are perceived to have caused another event (e.g., generation of program outputs, outcomes, impacts). Once the basic components of a program have been described, <u>point out</u> that participants can use boxes and arrows to depict how they think the components are related or how they are connected logically. <u>Explain</u> that the box-and-arrow flowchart is a common format for displaying a logic model and that the arrows between boxes represent assumptions about the cause-and-effect logic of the different parts of the model.</p>
Slide 14	Activity: Identify PMTCT Example Logic Model Components
<p><b>PM pages 44–45</b></p>	<p><u>Explain</u> that participants will now practice applying what they have learned. Point them to the example problem statement from the prevention of mother-to-child transmission (PMTCT) program in <b>Activity 4.2</b> (pages 44–45) of the participant manual. <u>Ask</u> participants to review the problem statement and the list of program components in Table 4.3. <u>Ask</u> them to indicate with a checkmark whether they think the program component is an input, activity, output, outcome, or impact. <u>Point out</u> that the first answer has been provided for them and when they finish, they can use Appendix D of the participant manual to check their responses.</p> <p><u>Problem Statement:</u> HIV rates have been rising among pregnant women and infant children in your country. The risk of HIV transmission from mother to child is significant during pregnancy and delivery (although particularly around the time of delivery). Breastfeeding provides an additional risk for postpartum transmission.</p>

Slides 15–19	Adding Details to the VCT Program Logic Model
	<p><u>Explain</u> that the group is now going to develop a more detailed example of a logic model.</p> <p><b>[Slide 15]</b></p> <p><u>Review</u> the first column of inputs. Point out the following:</p> <ul style="list-style-type: none"> <li>▪ A problem statement</li> <li>▪ Related inputs that program implementers think are necessary to address the problem</li> </ul> <p><u>Point out</u> the linkage between the arrows and boxes describing program components. In this case, the arrows highlight the assumption that funding is necessary for the other program inputs, such as nurses and laboratory technicians, test kits, and a counseling protocol.</p> <p><b>[Slide 16]</b></p> <p><u>Note</u> that activities have been added to the logic model, with the arrows showing the assumptions made about the relationship between inputs and activities and among activities.</p> <p><u>Point out</u> that the graphic shows the following:</p> <ul style="list-style-type: none"> <li>▪ With nurses and laboratory technicians and funding in place, the program can provide training.</li> <li>▪ With staff in place and a counseling protocol, the program can provide pre-test counseling.</li> <li>▪ Pre-test counseling will be needed before HIV testing, and HIV testing will be needed before post-test counseling.</li> </ul>

**[Slide 17]**

Note that outputs have been added to the logic model and that participants can see that a direct result is expected for each activity completed. Point out that the graphic shows the following:

- Providing training in VCT will lead to trained staff who can deliver appropriate VCT services to clients.
- Determining whether these immediate results are achieved is a critical step in assessing whether desired program outcomes will occur.

**[Slide 18]**

Note that outcomes have been added to the program logic model sequence. Point out that the graphic also shows the assumptions about the results that will occur from the inputs, activities, and outputs:

- Trained staff will increase the quality of and clients' access to VCT services.
- Test results and the post-test counseling that clients receive will inform them of their HIV status and increase their knowledge of how to access prevention, care, support, and/or treatment resources.
- The increased level of knowledge that program implementers assume will change risk behaviors and increase the number of individuals receiving HIV care and treatment.

**[Slide 19]**

Note that long-term results or impacts have been added and that the activities, resulting outputs and outcomes, and resources used to carry out the activities will ultimately lead to decreased rates of HIV transmission, incidence, and morbidity and mortality.

	<p><u>Point out</u> that a logic model reflects relationships between program activities and outcomes. <u>Explain</u> that logic models do not include M&amp;E activities, for example, because although they are a critical piece to every program, they are not part of the cause-and-effect program logic.</p> <p>Also, <u>tell</u> participants that it is important for them to develop and use a management information system (MIS) for program data storage and analysis. <u>Explain</u> that although an MIS is a valuable program tool, it is not included in the program logic model.</p>
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Slides 20–21	Activity: Develop a PMTCT Logic Model
<p><b>PM pages 51–52</b></p>	<p><u>Use</u> cards with logic model components (or refer participants to <b>Activity 4.3</b> in the participant manual [pp. 51–52]).</p> <p><b>Logic Model Card Sort Activity</b></p> <p><u>Tell</u> participants that they will conduct an activity to practice identifying program components to describe an intervention’s planned implementation and outcomes. <u>Explain</u> that they will construct a logic model for the PMTCT program example that was looked at earlier.</p> <p><b>Purpose:</b> The purpose of this activity is to give participants an opportunity to practice identifying program components and the relationships between components to help create a logic model.</p> <p><b>NOTE TO FACILITATOR:</b> Make sure that the logic model cards are shuffled so this activity is not too easy to complete.</p> <p><u>Distribute</u> the logic model cards. <u>Explain</u> that each card describes part of a logic model component: inputs, activities, outputs, outcomes, or impacts. <u>Remind</u> participants that outputs are the products of activities and that although they often seem very similar, activities tend to be action oriented and outputs are product oriented.</p> <p><u>Tell</u> them that there are three types of cards: labels (e.g., input, output), program components that are the examples of these labels, and arrow cards to show linkages or the relationships between components. <u>Provide</u> the following instructions:</p> <ul style="list-style-type: none"> <li>▪ Work on this activity with a group</li> <li>▪ Read each card and decide which part of the logic model it describes</li> </ul>

	<ul style="list-style-type: none"> <li>▪ Sort the cards into their correct categories</li> <li>▪ Assemble the cards in the proper order to create a logic model</li> <li>▪ Use the arrow cards to show relationships between components</li> <li>▪ Take 10 minutes to complete this activity</li> </ul> <p><u>Reconvene</u> the whole group. <u>Review</u> the answers and debrief the activity to make sure that everyone understands how to identify the different components of a logic model and illustrate the relationships between components.</p> <p><b>[Slide 21]</b></p> <p><u>Show</u> the answer key and distribute copies of the completed logic model or refer participants to Appendix D of the participant manual.</p>
<b>Slide 22</b>	<b>VCT Technical Assistance (TA) Logic Model</b>
	<p><u>Show</u> the example of a VCT TA logic model. <u>Point out</u> that the VCT and PMTCT example logic models focus on program implementation. <u>Tell</u> participants that logic models also can be used to describe other roles that participants may perform, including the provision of TA in supporting implementation.</p>

Slide 23	Discussion
	<p><u>Ask</u> participants how the TA logic model differs from the logic model of service implementation. You can use the following prompts for correct answers:</p> <ul style="list-style-type: none"> <li>▪ Focus is on building capacity to support service implementation.</li> <li>▪ Behavior outcomes and impacts are more distal.</li> <li>▪ Linkage between activities and long-term outcomes is more indirect.</li> </ul> <p><u>Ask</u> if there are other TA provider responsibilities that would be useful to describe in a logic model. <u>Wait</u> for responses, but also discuss capacity building and funding.</p> <p><u>Remind</u> participants that they will have an opportunity to develop logic models for their programs later in the module.</p>
Slide 24	Where to Start?
	<p><u>Point out</u> to participants that program planners may want to actually complete models in a different order than the left-to-right order in which they have been presented. For example, the following question can be used as a common starting point: “What is the problem to be addressed?”</p> <p>Subsequent slides walk the participants through the process.</p>



<b>Slide 25</b>	<b>What Outcome/Impact Objectives Does the Program Want to Achieve to Remedy the Problem?</b>
	<u>State</u> that after asking what problem is to be addressed, program planners may ask, “What is the outcome and impact that we want to achieve to remedy a problem?” <u>Complete</u> the outcomes and impacts components.
<b>Slide 26</b>	<b>What Activities Might the Program Do to Achieve These Objectives?</b>
	<u>State</u> that after determining the outcome and impact that they want to achieve, program planners may ask, “What activities might we do to achieve these objectives?”
<b>Slide 27</b>	<b>How Much Needs to Be Done to Achieve the Extent of the Outcome Objective?</b>
	<u>State</u> that after program planners determine their activities, they may ask, “How much needs to be done (outputs) to achieve the extent of outcome objectives?”
<b>Slide 28</b>	<b>What Resources Are Needed to Support That Much of the Activity?</b>
	<u>State</u> that, as shown in the left column, program planners may ask, “What kinds of resources do we need (inputs) to support the activities?”

Slide 29	Cyclical Logic Model for HIV Prevention
	<p><u>Acknowledge</u> that the group has been using a linear picture of a logic model. <u>Tell</u> participants that, in reality, logic models are more iterative in how they are actually developed and used and could be depicted as cyclical rather than linear. <u>Make</u> the following points:</p> <ul style="list-style-type: none"> <li>▪ Logic models can be developed by starting with any part of the model.</li> <li>▪ Theory, experience, and empirical data are essential tools for creating a logic model that describes an intervention that is responsive to the problem statement and that will lead to the specified outcomes.</li> <li>▪ M&amp;E is a tool for gathering information about the components of the model as well as for testing logic and assumptions that link them together, which can then be used to strengthen the logic model.</li> </ul> <p><u>Emphasize</u> that logic models are ideally developed during the program planning process, before implementation of activities. <u>Acknowledge</u> that although organizations may not have used a logic model in their initial planning, it is never too late to put a logic model in place.</p>
Slide 30	More About Logic Models
	<p>If there is time, the next two slides can be used to explain characteristics of a good logic model.</p>

Slides 31–32	A Good Logic Model...
	<p><u>Explain</u> that a good logic model has the following characteristics:</p> <ul style="list-style-type: none"> <li>▪ Includes inputs, activities, outputs, outcomes, and impacts</li> <li>▪ Reflects agreement among major stakeholders about intended implementation and outcomes (planned logic model)</li> <li>▪ Illustrates clear, sequential, and logical linkages between each part</li> <li>▪ Contains a problem statement that identifies underlying causes</li> <li>▪ Includes outcomes responsive to the issues identified in the problem statement</li> <li>▪ States outcomes as changes in knowledge, attitudes, beliefs, intentions, skills, behaviors, access, policies, or environmental conditions</li> <li>▪ Includes outcomes that are realistic for the stated activities</li> <li>▪ States outcomes that are within the scope of the program’s influence</li> </ul>
Slides 33–36	Why Develop a Logic Model?
	<p>If there is time, explain the benefits of a logic model, listed below; if not, <u>ask</u> participants to review the benefits on their own.</p> <p><u>Tell</u> participants that there are many benefits of developing logic models. <u>Remind</u> them that the participant manual contains a list of them, but they are not going to be reviewed by the group.</p> <p>Also <u>remind</u> participants that logic models are useful for everyone involved in a program—program staff, funders, and other stakeholders.</p> <p><u>Point out</u> that logic models:</p> <ul style="list-style-type: none"> <li>▪ Communicate the fundamental purpose of the program by</li> </ul>

	<p>explicitly outlining the intended outputs and outcomes of the program <b>[Slide 33]</b></p> <ul style="list-style-type: none"><li>▪ Provide a reference point for everyone involved in the program <b>[Slide 33]</b></li><li>▪ Illustrate the internal logical consistency of the program, helping planners identify gaps or unrealistic results <b>[Slide 33]</b></li><li>▪ Reveal assumptions about how the program leads to outputs and outcomes <b>[Slide 34]</b></li><li>▪ Involve stakeholders and promote communication about the program among contractors, funders, community members, and other stakeholders <b>[Slide 34]</b></li><li>▪ Promote M&amp;E <b>[Slide 34]</b></li><li>▪ Identify potential obstacles to program operations so that staff can address problems as soon as possible <b>[Slide 35]</b></li><li>▪ Help monitor progress by providing a clear plan for tracking changes to the program so that successes can be replicated and mistakes can be avoided <b>[Slide 35]</b></li><li>▪ Focus evaluation of the program by revealing appropriate evaluation questions and relevant data needs <b>[Slide 36]</b></li><li>▪ Improve program staff's expertise in planning, implementation, and evaluation <b>[Slide 36]</b></li></ul>
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Slide 37	Activity: Create a Logic Model for Your Program
<p><b>PM pages</b> <b>56–62</b></p>	<p><b>Creating a Logic Model</b></p> <p><u>Explain</u> that participants will practice developing a logic model for a program they are responsible for or provide TA to. <u>Explain</u> to those who are providing M&amp;E-related TA to other programs that they can either develop a TA or implementation logic model. <u>Remind</u> participants that logic models depict the relationships among activities and outcomes. One way to uncover assumptions about those relationships is to connect a chain of “if, then” statements.</p> <p><b>NOTE TO FACILITATOR:</b> Pass out Post-it Notes to participants.</p> <p><u>Ask</u> participant to use Post-it Notes and write out the program components for a logic model. <u>Tell</u> them that they can work individually or in a group. If they do not have information about their program, <u>ask</u> them to either use the sample description of program components provided in Table 4.4 of the participant manual (page 57) or work with other participants on developing a logic model for a program they have information on. <u>Remind</u> them that they do not have to complete the logic model components in a specific order. They can use the suggested format, but it may be easier for them to begin with an area they know, then move to other areas that they are not sure about. When they are finished writing the program components, arrange the notes to create a logic model.</p> <p>If they prefer or do not have Post-it Notes, participants can use the space provided in Figure 4.13 of the participant manual (page 61) to record their responses and create the logic model.</p>

	Once all groups are finished, facilitate a large group discussion to debrief about the process. You may decide, if there is time, to ask a group to volunteer to present its logic model and discuss the process for getting to that point.
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# **Facilitator Guide:**

## **Module 5**

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**MONITORING AND EVALUATION FOR NATIONAL PROGRAM PLANNING AND  
MANAGEMENT: DRAFT FACILITATOR GUIDE**

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## MODULE 5

### Developing Goals and Objectives—60 minutes

Slide	Facilitator Notes
Slide 1	<p><b>Developing Goals and Objectives [Title Slide]</b></p> <p>During this session, participants will:</p> <ul style="list-style-type: none"> <li>▪ Define two more monitoring and evaluation (M&amp;E) terms: goals and objectives</li> <li>▪ Describe the difference between process and outcome objectives</li> <li>▪ Practice developing SMART objectives</li> </ul> <p><b>Materials Needed</b></p> <ul style="list-style-type: none"> <li>▪ Slides 1–22</li> <li>▪ Participant manual (PM) (pages 65–78)</li> <li>▪ Flipchart paper and markers</li> <li>▪ Program descriptions (participants will need to bring the most recent description of programs they are responsible for or support to participate in the activities where they will develop SMART objectives)</li> </ul>
Slide 2	<p><b>The M&amp;E Navigator</b></p> <p><u>Note</u> where the participants are in the training on the river map. <u>Explain</u> that a critical part of clearly describing a program is articulating the program’s overall purpose and the specific means through which its aims will be accomplished. <u>Tell</u> participants that having a clear understanding of programmatic aims will help guide the development of their M&amp;E activities and help them generate relevant M&amp;E questions.</p>



Slides 3–4	Goals and Objectives
	<p><u>Point out</u> that the direction of a program is guided by specific goals and objectives. <u>Note</u> that goals are more general and objectives are more specific.</p> <p><b>Goal [Slide 3]</b></p> <p><u>Explain</u> that a goal is a broad, general statement about desired program intentions and that it generally reflects wider community concerns and interests. <u>Tell</u> participants that goals are general intentions and that a goal should be concrete enough to provide parameters and direction for establishing measurable objectives.</p> <p><b>Objective [Slide 4]</b></p> <p><u>Explain</u> that an objective is a statement of desired, specific, reasonable, and measurable program aims. <u>Tell</u> participants that objectives are precise intentions and that an objective is what the results of a program's implementation will lead to. <u>Explain</u> that objectives should not be confused with the methods or program elements themselves.</p>

Slide 5	Example
	<p><u>Describe</u> the goal and objectives of the training as an example.</p> <p><u>Tell</u> participants that the goal is to equip them with an understanding of M&amp;E and the knowledge and skills needed to incorporate M&amp;E activities into everyday program work.</p> <p><u>Remind</u> participants that the objectives for the training are more specific. <u>Recall</u> the training objectives: By the end of this training, participants will be able to:</p> <ul style="list-style-type: none"> <li>▪ Define common M&amp;E terms</li> <li>▪ Describe the use of M&amp;E data for program improvement</li> <li>▪ Develop the ability to participate in and provide leadership for M&amp;E activities as standard components of participants' programs</li> <li>▪ Identify M&amp;E technical assistance and training needs</li> </ul> <p><u>Explain</u> that each of these objectives could be measured; for example, participants could be asked to describe how M&amp;E data are used for program improvement or they could be asked to correctly identify definitions for common M&amp;E terms. To measure this objective the training facilitators would then count the number of participants who are able to correctly complete these tasks.</p>
Slide 6	Activity: Identify Goals and Objectives
<b>PM page 67</b>	<p><u>Refer</u> participants to <b>Activity 5.1</b> in the participant manual (page 67). <u>Ask</u> them to read each item in the left column of Table 5.1, decide whether the item is a goal or an objective, and mark <b>G</b> or <b>O</b>, respectively, in the right column. <u>Tell</u> participants that they can do this activity individually or as a group and can check their answers against those provided in Appendix D of the participant manual.</p>

Slides 7–8	Process and Outcome Objectives
	<p><b>[Slide 7]</b></p> <p><u>Ask</u> participants to recall that <b>process evaluation</b>:</p> <ul style="list-style-type: none"> <li>▪ Focuses on how a program was implemented</li> <li>▪ Identifies the steps taken and the decisions made in developing and implementing a program</li> <li>▪ Addresses whether the program was implemented and is providing activities or services as intended</li> </ul> <p><u>Note</u> that by documenting the program's processes for implementation, participants will be able to assess the factors related to the degree of its performance. <u>Explain</u> that <b>process objectives</b> are more precise objective statements that can be used to measure the implementation process of a program.</p> <p><b>[Slide 8]</b></p> <p><u>Ask</u> participants to recall that <b>outcome evaluation</b>:</p> <ul style="list-style-type: none"> <li>▪ Is a type of evaluation used to identify the results of a program's effort</li> <li>▪ Seeks to determine what difference was made by the program</li> <li>▪ Provides information about the effects of a program after a specified period of operation</li> <li>▪ Measures the health, knowledge, or behavioral change for the target population</li> </ul> <p><u>Explain</u> that <b>outcome objectives</b> are more precise objective statements that can help measure the specific outcomes achieved as a result of implementation efforts over a given period of time.</p>

<b>Slide 9</b>	<b>Voluntary Counseling and Testing (VCT) Program Implementation Logic Model</b>
	<u>Refer</u> to the VCT program implementation logic model and explain that participants will develop an objective associated with a program output and an objective associated with a program outcome connected with the logic model.
<b>Slide 10</b>	<b>Examples of Process and Outcome Objectives for the VCT Program</b>
	<p><u>Review</u> the following examples of each type of objectives:</p> <p><b>Process objective:</b></p> <ul style="list-style-type: none"> <li>▪ For the output: Clients receive results and post-test counseling.</li> <li>▪ Objective: By the end of the first program year, 98% of clients receiving their test results will also receive post-test counseling.</li> </ul> <p><b>Outcome objective:</b></p> <ul style="list-style-type: none"> <li>▪ For the outcome: HIV care and treatment increased.</li> <li>▪ Objective: By the end of the first program year, 50% of clients receiving positive test results will begin a treatment regimen.</li> </ul>
<b>Slide 11</b>	<b>How to Show Objectives in a Logic Model</b>
	<u>Explain</u> that the graphic in this slide shows how objectives fit into the logic model. <u>Point out</u> that the middle row of the figure summarizes the five components of the logic model developed earlier for the VCT program and that the bottom row includes examples of two objectives related to outputs.

Slides 12–13	What Is Wrong With These Objectives?
	<p><b>[Slide 12]</b>  <u>Show</u> examples of poorly written process and outcome objectives.</p> <p><b>[Slide 13]</b>          After showing the examples, <u>ask</u> participants to answer the following questions:</p> <ul style="list-style-type: none"> <li>▪ How easy or difficult is it to measure these objectives?</li> <li>▪ What makes it difficult to measure them?</li> <li>▪ Might people write objectives in this way?</li> <li>▪ What information would you add to make these objectives easier to evaluate?</li> <li>▪ What makes it difficult to write objectives that are easier to evaluate?</li> </ul>
Slide 14	SMART Method
	<p><u>Review</u> the SMART framework for writing evaluable objectives:</p> <ul style="list-style-type: none"> <li>▪ <b>Specific:</b> Does the objective clearly specify what will be accomplished and by how much?</li> <li>▪ <b>Measurable:</b> Is the objective measurable?</li> <li>▪ <b>Appropriate:</b> Does the objective make sense in terms of what the program is trying to accomplish?</li> <li>▪ <b>Realistic:</b> Is the objective achievable, given available resources and experience?</li> <li>▪ <b>Time-based:</b> Does the objective specify when it will be achieved?</li> </ul>

Slides 15–20	Examples of SMART Objectives
	<p><u>Illustrate</u> the SMART method by showing three examples of objectives and discussing whether they are SMART and why or why not.</p> <p><u>Point out</u> that it is not possible to determine whether these examples are <i>appropriate</i> or <i>realistic</i> without knowing more about the specific programs and communities. <u>Explain</u> that for now, participants should focus on whether the objectives are <i>specific</i>, <i>measurable</i>, and <i>time-based</i>.</p> <p><b>Example 1 [Slides 15–16]</b></p> <p><u>Point out</u> that in Example 1, the program objective is to provide home-based care services to elderly members of the community. <u>Explain</u> that this is not a SMART objective because of the following reasons:</p> <ul style="list-style-type: none"> <li>▪ It is not very specific: <ul style="list-style-type: none"> <li>• What do home-based care services include?</li> <li>• Who is the target population?</li> <li>• How is elderly being defined?</li> </ul> </li> <li>▪ It does not specify how many people the program aims to reach: <ul style="list-style-type: none"> <li>• Is it every elderly member of the community?</li> </ul> </li> <li>▪ It does not indicate what timeframe the program will operate in: <ul style="list-style-type: none"> <li>• Does the program plan to achieve these results within the span of 6 months? Two years?</li> <li>• The results will be different depending on the timeframe.</li> </ul> </li> </ul>

**Example 2 [Slides 17–18]**

Turn participants' attention to Example 2. Point out that the objective in this case is to have a total of 150 health workers trained to deliver antiretroviral treatment services according to national and/or international standards. Explain that this objective is better, but the time element is missing:

- It defines whom (*specific*) and how many people the program aims to train (*measurable*).
- It also describes what the target population will learn (*specific*).
- However, it does not provide a timeframe for the objective:
  - When does the program expect to achieve this objective? In 3 months? One year?
  - The timeframe will affect how activities are implemented and the results the program would expect to see.

**Example 3 [Slides 19–20]**

Point out that in Example 3, the objective is to have 1,000 clients tested for HIV by the end of the first program year. Note that this is a SMART objective because of the following:

- The objective defines the target audience and how large it is (*specific* and *measurable*).
- It tells what services the program will provide to these clients (*specific*).
- The timeframe is provided (*time-based*).

Remind participants that if a program does not have SMART objectives, it will be hard to measure progress toward those objectives; therefore, they will need to ensure that their program objectives are SMART.

Slide 21	Activity: Rewrite Objectives So They Are SMART
<p><b>PM pages 74–75</b></p>	<p><u>Ask</u> participants to turn to <b>Activity 5.2</b> in the participant manual (pages 74–75). <u>Instruct</u> them to read the first three examples in Table 5.3, which have been provided for them. <u>Point out</u> that each example includes the following:</p> <ul style="list-style-type: none"> <li>▪ A set of objectives (original objectives)</li> <li>▪ A rewritten set of objectives (SMARTer objectives)</li> <li>▪ Comments on what was wrong with the original set</li> </ul> <p>After reading the examples, <u>ask</u> participants to read the next set of original objective statements and use the SMART objective checklist to write new objective statements as needed. <u>Point out</u> that some of the objectives may not need to be rewritten and possible answers are provided in Appendix D of the participant manual. <u>Let</u> them know that they can do this activity individually or in a small group.</p>
Slide 22	Activity: Write SMART Objectives for Your Program
<p><b>PM pages 75–76</b></p>	<p><u>Refer</u> participants to <b>Activity 5.3</b> in the participant manual (pages 75–76). <u>Encourage</u> them to work individually or as a small group. <u>Ask</u> them to review the program logic model they developed earlier. <u>Tell</u> them to use Table 5.4 to create four process objectives and four outcome objectives for their program. If they already have program process and outcome objectives, <u>ask</u> them to write them in the spaces provided in the left column, then use this worksheet to ensure that they are SMART. If their existing objectives are not SMART, <u>ask</u> participants to revise them in the right column.</p>



# **Facilitator Guide:**

## **Module 6**

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## MONITORING AND EVALUATION FOR NATIONAL PROGRAM PLANNING AND MANAGEMENT: FACILITATOR GUIDE

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### MODULE 6

#### M&E Data Uses and Users—90 minutes

Slide	Facilitator Notes
Slide 1	M&E Data Uses and Users [Title Slide]
	<p><u>Explain</u> that during this session, participants will:</p> <ul style="list-style-type: none"><li>▪ Review how to develop monitoring and evaluation (M&amp;E) questions</li><li>▪ Discuss prioritizing M&amp;E questions</li><li>▪ Review how data are used for program decisions</li><li>▪ Discuss various stakeholders' uses of M&amp;E data</li></ul> <p><b>Materials Needed</b></p> <ul style="list-style-type: none"><li>▪ Slides 1–30</li><li>▪ Participant manual (PM) (pages 79–96)</li><li>▪ Flipchart paper and markers</li></ul>

Slide 2	The M&E Navigator
	<p><u>Explain</u> that participants should now have a better understanding of how to describe a program using logic models and through program goals and SMART objectives. <u>Remind</u> them that the logic models and program goals and objectives, once developed, can provide them with a starting point for planning M&amp;E activities.</p> <p><u>Note</u> where the participants are in the training on the river map and explain that the next step in the process of conducting M&amp;E activities is to set up a framework for determining what M&amp;E questions need to be developed on the basis of the data participants need to collect about a program, what these data will be used for, and who will be the end user of these data. <u>Point out</u> that the training emphasis is on gathering useful data that will help participants improve their programs in reaching desired objectives and goals.</p>
Slide 3	Developing M&E Questions
	<p><u>Point out</u> that an M&amp;E question as stated may not necessarily clarify exactly what information it is asking for; thus, it may need to be revised to accurately state what it is asking for. <u>Explain</u> that good M&amp;E questions are:</p> <ul style="list-style-type: none"> <li>▪ Clear</li> <li>▪ Precise</li> <li>▪ Feasible</li> </ul>

Slide 4	Example of a Clear M&E Question
	<p><u>Review</u> the following M&amp;E question with participants: What percentage of clients received pre-test counseling, HIV tests, results, and post-test counseling? <u>Explain</u> that this question is very clear about what is being measured and what information is needed. <u>Point out</u> that the specific data asked for in this question are:</p> <ul style="list-style-type: none"> <li>▪ Percentage of clients receiving:             <ul style="list-style-type: none"> <li>▪ Pre-test counseling</li> <li>▪ HIV tests</li> <li>▪ HIV test results</li> <li>▪ Post-test counseling</li> </ul> </li> </ul> <p><u>Note</u> that because the question is clear, participants will not have a difficult time determining what types of data will best answer the question.</p>
Slide 5	Example of an Unclear M&E Question
	<p><u>Review</u> the following example of an unclear M&amp;E question: Are our staff members capable of providing effective voluntary counseling and testing (VCT) services?</p> <p><u>Ask</u> participants the following questions:</p> <ul style="list-style-type: none"> <li>▪ What is it asking for?</li> <li>▪ What is meant by “capable of providing”?</li> <li>▪ What is meant by “effective VCT services”?</li> </ul> <p>Now <u>point out</u> why this question is unclear. <u>Explain</u> that one cannot be sure what the question is asking for. <u>Explain</u> that it is not clear what is meant by the phrases “capable of providing” and “effective VCT services” and that these phrases would need to be clarified to make the question clear.</p>

Slide 6	Rewrite the Question
	<p><u>State</u> that a better way to ask this question might be as follows: Were staff members trained (gained knowledge and skills) to implement VCT protocols correctly?</p> <p><u>Explain</u> that this rewritten question describes key areas of interest and that it suggests specific data that can be collected to answer the question.</p>
Slide 7	Another Example of an Unclear M&E Question
	<p><u>Review</u> another example of an unclear M&amp;E question: Have clients received the complete set of VCT services?</p> <p><u>Point out</u> that the question is unclear because it:</p> <ul style="list-style-type: none"> <li>▪ Implies that the program needs to know whether clients received VCT services</li> <li>▪ Does not explain what is meant by “complete set”</li> <li>▪ Does not indicate the type of clients</li> </ul>
Slide 8	A Better Way to Ask This Question
	<p><u>Explain</u> that a better way to ask this question might as follows: How many clients who received services at clinic X in 2001 received pre-test counseling, test results, and post-test counseling?</p> <p>This question does the following:</p> <ul style="list-style-type: none"> <li>▪ Identifies a specific clinic</li> <li>▪ Provides a timeframe to indicate which set of clinic clients the program needs information on</li> <li>▪ Specifies the meaning of “complete set”</li> </ul>

Slide 9	Avoid These Types of Questions
	<p><u>Point out</u> that as participants develop their M&amp;E questions, they need to avoid questions that require answers about data collection methods, procedures, or other items that cannot be learned from monitoring and evaluating their program.</p> <p><u>Review</u> a couple of examples:</p> <ul style="list-style-type: none"> <li>▪ What method should the program use to collect data?</li> <li>▪ Who funded the program?</li> </ul> <p><u>Explain</u> that the answers to these questions would provide interesting information but not the things that would typically be learned through M&amp;E; therefore these are not the type of questions participants should include.</p>
Slide 10	How M&E Questions Fit in a Logic Model
	<p><u>Show</u> participants the VCT logic model, including how questions fit into the logic model and relate to objectives. <u>Point out</u> that there is not always a one-to-one relationship between objectives and M&amp;E questions and that the examples in the graphic reflect program objectives and questions that are directly related to each other.</p> <p><u>Explain</u> that participants may have M&amp;E questions that are not directly linked to specific program objectives because those objectives may not be selected as the focus of an evaluation or because those questions are included to be responsive to stakeholders' needs.</p> <p><u>Tell</u> participants that, for example, stakeholders may be interested in the level of fidelity to protocols among counselors in the provision of VCT services. In this case, a question that is not directly linked to the two program objectives but addresses stakeholders' needs could be as follows: How do counselors differ in their approach to providing VCT services in various settings?</p>

Slides 11–12	Activity: Write VCT M&E Questions
<p><b>PM pages 83–84</b></p>	<p><b>[Slide 11]</b></p> <p><u>Refer</u> participants to <b>Activity 6.1</b> in the participant manual (pages 83–84). <u>Tell</u> participants that they can complete this activity individually or as a small group. In either case, ask participants to think of four additional questions that could be asked about the VCT program using M&amp;E and write them in the left column of Table 6.1. <u>Point out</u> that these questions will need to be based on the two VCT objectives reviewed in Module 5. After participants have developed each question, <u>ask</u> them to use the right column of Table 6.1 to describe what they would do if they had the answer to that question. <u>Point out</u> that a sample is provided in the first row and that they can view sample answers in Appendix D of the participant manual once they have completed the activity, although their answers will not be exactly the same. <u>Give</u> them approximately 10 minutes to complete the activity and explain that persons or groups will be asked to report their answers.</p> <p><b>[Slide 12]</b></p> <p><u>Ask</u> each person or group to report on two questions, avoiding redundant ones. <u>Write</u> their questions on flipchart paper. <u>Ask</u> them to also explain the following:</p> <ul style="list-style-type: none"> <li>▪ What they would do if they had the answer to each question (i.e., the right column of Table 6.1)</li> <li>▪ Why this is important to consider when listing M&amp;E questions</li> <li>▪ How easy or difficult it was to write good M&amp;E questions</li> <li>▪ How feasible it would be to answer these questions</li> <li>▪ What challenges they might encounter if they tried to answer these questions</li> </ul>

Slide 13	Prioritizing M&E Questions
	<p><u>Point out</u> that there is a cost to M&amp;E in terms of funds, time, and other resources. <u>Explain</u> that because of this cost, M&amp;E questions need to be limited to those that gather useful information and are feasible to answer, given available resources.</p> <p><u>Note</u> that some M&amp;E questions listed from the previous activity may provide information that is more or less useful for improving a program (e.g., “nice to know” versus “need to know”) and that, likewise, some M&amp;E questions may be easier or harder to answer.</p> <p><u>Ask</u> participants for a question that they think is difficult to answer. <u>Ask</u> what makes this question difficult to answer.</p> <p><u>Tell</u> participants that it is helpful to consider how the answers to M&amp;E questions might be used in prioritizing questions on the basis of their usefulness and feasibility. <u>Point out</u> that just because a question is difficult to answer does not mean it should be removed as a priority question. Sometimes the most important questions are the hardest to answer.</p>
Slide 14	Activity: Develop Your Own M&E Questions
<b>PM page 87</b>	<p><u>Ask</u> participants to turn to <b>Activity 6.2</b> in the participant manual (page 87). <u>Explain</u> that they can work individually or as a group on this activity. <u>Instruct</u> them to review the program description, logic model, and SMART objectives they developed earlier, then to complete Table 6.2 by developing measurable M&amp;E questions for their program.</p>



Slide 15	What Is Data Use?
	<p><u>Point out</u> that M&amp;E is not about “collecting” data, even though people often spend a lot of time thinking about data sources, questionnaires, and “having” a lot of data. Explain that, ultimately, M&amp;E is about “using” data for program improvement, for the generation of new knowledge, and for reporting and accountability (judging). Tell participants that for the rest of the training, the group will be talking a lot about using M&amp;E data for these reasons.</p>

Slides 16–17	Why Use Data?
	<p><u>Explain</u> that data can be used for various reasons that are often categorized in terms of internal and external uses.</p> <p><b>[Slide 16]</b></p> <p><u>Describe</u> internal uses of data. <u>Explain</u> that data can be used for the following internal purposes for program improvement and that these data are usually obtained from an organization’s process M&amp;E activities:</p> <ol style="list-style-type: none"> <li>1. To manage and improve program processes and systems by comparing program planning data with actual implementation data Examples: <ul style="list-style-type: none"> <li>▪ Inform staffing decisions</li> <li>▪ Monitor service delivery site activities</li> <li>▪ Track and monitor materials disseminated and expenditures</li> </ul> </li> <li>2. To inform capacity building plans and activities Examples: <ul style="list-style-type: none"> <li>▪ Hire more staff members</li> <li>▪ Train staff members</li> <li>▪ Purchase more supplies</li> </ul> </li> <li>3. To make decisions about the future direction of the program Examples: <ul style="list-style-type: none"> <li>▪ Scale up services or expand coverage</li> <li>▪ Identify new geographical areas and/or other services to be added to the program</li> </ul> </li> <li>4. To guide and enhance service delivery Examples: <ul style="list-style-type: none"> <li>▪ Assess whether services are culturally appropriate</li> </ul> </li> </ol>

- Understand client needs
- Monitor changes in client risk behavior
- Follow up with clients

**[Slide 17]**

Describe the following external uses of data:

1. To communicate program successes and challenges to the community

Examples:

- Provide valuable information and lessons learned for agencies planning to implement similar programs
- Raise awareness about HIV risk and prevention efforts

2. To gain additional resources

Example:

- Raise funds

3. To be accountable to clients, donors, and other stakeholders

4. To report to policy makers

Slide 18	What Kinds of Decisions Can Be Made on the Basis of Data?
	<p><u>Describe</u> the following examples of the decisions that can be made on the basis of data. <u>Note</u> some of the data sources from which the decisions can be based.</p> <p><u>Identify target populations</u> Behavioral surveillance data can provide information to guide the identification of risk populations in a particular area. Using this information, program planners can make an informed decision about where to locate their services.</p> <p><u>Focus the intervention</u> Longitudinal studies can be used to estimate trends over time. Interventions can then be designed to address trends that, for example, promote the transmission of disease.</p> <p><u>Improve service access</u> Client location information can help determine whether services are reaching areas that need to be reached according to surveillance data that identify areas of HIV or AIDS cases. Such information can help program managers decide if a site is the most appropriate venue for a certain intervention.</p> <p><u>Improve program delivery</u> By combining pre- and post-intervention measures of client behaviors, attitudes, intentions, or knowledge, changes in targeted indicators can be assessed, thereby evaluating whether the program made a difference and how it can be strengthened.</p>

Slide 19	Discussion
	<u>Engage</u> in a discussion by asking participants to share with the larger group the kinds of program decisions they have made on the basis of data collected.
Slide 20	Steps for Using Data to Make Program Decisions
	<p><u>Explain</u> to participants that the following are five logical steps for data use:</p> <ol style="list-style-type: none"> <li>1. Identify stakeholders' needs and their interest in the program</li> <li>2. Determine the questions and uses that stakeholders have for the data</li> <li>3. Determine what data will answer the questions</li> <li>4. Develop a data use plan</li> <li>5. After data collection and analysis, use the data</li> </ol>
Slide 21	Step 1: Identify Stakeholders' Needs and Their Interest in the Program
	<p><u>Tell</u> participants that M&amp;E data are only worthwhile if they are used. <u>Explain</u> that these data have many potential uses and that exactly how data are used depends on the stakeholders who need data or the "users."</p> <p><u>Ask</u> participants how they define a stakeholder, then review the following definition:</p> <p style="padding-left: 40px;"><i>A stakeholder is anyone who has a "stake" (interest) in the program.</i></p> <p><u>Explain</u> to participants they should then ask the following questions about the programs they are responsible for or provide technical assistance to:</p> <ul style="list-style-type: none"> <li>▪ Who are the stakeholders?</li> <li>▪ What is their interest in the program?</li> </ul>

Slide 22	Types of Stakeholders
	<p><u>Explain</u> that stakeholders can include program beneficiaries, implementers, and/or donors/funders.</p> <p><u>Ask</u> participants to name other stakeholders not on the list. Possible responses may include the following:</p> <ul style="list-style-type: none"> <li>▪ Country directors</li> <li>▪ Policy makers</li> <li>▪ Surveillance system personnel</li> <li>▪ Beneficiaries</li> <li>▪ Program managers</li> <li>▪ Journalists/media</li> <li>▪ Supervisor or colleagues</li> <li>▪ Individuals in the private sector</li> </ul>
Slide 23	Stakeholder Implications for M&E
	<p><u>Remind</u> participants that stakeholders have different needs and wants, which affect how those responsible for M&amp;E will interact with them. <u>Explain</u> that some groups, for example, may not need or want detailed statistical information but would still like to have a general synopsis of program findings, whereas others may have the time, interest, and know-how to interpret complex data.</p> <p><u>Make sure</u> that participants recognize that decision makers are likely to be busy and distracted and have tunnel vision. <u>Explain</u> that getting a clear sense of how program stakeholders intend to use data will be quite important for meeting their needs.</p>

<b>Slide 24</b>	<b>Step 2: Determine the Questions and Uses That Stakeholders Have for the Data</b>
	<p><u>Remind</u> participants that it is very important to develop precise M&amp;E questions that they are going to ask of their program. <u>Tell</u> them that M&amp;E questions are typically based on the particular uses a program's stakeholders will have for data, as well as how these uses translate to M&amp;E questions.</p>
<b>Slide 25</b>	<b>For Example...</b>
	<p><u>Describe</u> the following example:</p> <p>A donor may want specific data on whether the program has reached a stated objective (80% of youth between the ages of 14 and 17 in district X will receive information about available family planning services and HIV/sexually transmitted infection [STI] prevention by the end of the year). The donor will use these data to make decisions about continued funding and support for a district-level youth reproductive health information, education, and communication program carried out by Y organization.</p> <p>A corresponding M&amp;E question might be as follows: What percentage of youth between the ages of 14 and 17 in district X received information about available family planning services and HIV/STI prevention by the end of the year?</p>

Slide 26	Step 3: Determine What Data Will Answer the Questions
	<p><u>Tell</u> participants that once they know what questions are of interest, they must determine what kind of data they need to answer that question and where these data will come from.</p> <p><u>Note</u> that different kinds of data can be used to answer different kinds of questions and that in many cases, information available from databases, records, files, reports, or publications may be used to answer questions. <u>Mention</u> that on the following day, the group will review different sources of data and the kinds of questions that each can be used to answer.</p>
Slide 27	Step 4: Develop a Data Use Plan
	<p><u>Emphasize</u> the importance of documenting the potential program changes that might be made on the basis of answers to stakeholders' questions, the steps needed to make those program changes, the roles of those who would need to be involved, and what strategies will be used to ensure that data are used. <u>Explain</u> that this should be done before participants collect data as a part of M&amp;E planning.</p>



Slides 28–29	Step 5: After Data Collection and Analysis, Use the Data
	<p><u>Point out</u> to participants that what is meant by using M&amp;E findings is quite different from what is meant by reporting or disseminating M&amp;E findings: Reporting and disseminating findings are the mechanisms by which information is shared and that facilitate use. <u>Remind</u> participants of the three main purposes for M&amp;E programs and that the use of M&amp;E findings will result in decisions made about program improvement, accountability, and knowledge development.</p> <p><u>Explain</u> the following points: In addition to sharing M&amp;E findings with key stakeholders, it is important to create processes for ensuring that the data are used. Specifically, it may be helpful to monitor the implementation of a data use plan developed in Step 4. It also may be helpful to have follow-up meetings or discussions after M&amp;E findings are shared with stakeholders to discuss what decisions and steps have been taken to actively use the information generated from the M&amp;E activities conducted.</p>

Slide 30	Activity: Think Like a Stakeholder
<p><b>PM pages 93–95</b></p>	<p><u>Ask</u> participants to turn to <b>Activity 6.3</b> in the participant manual (pages 93–95). <u>Point out</u> that they can work individually or in a small group and that they will need to select one of the following stakeholder roles for themselves or their group:</p> <ul style="list-style-type: none"> <li>▪ Beneficiary (they receive direct services from the program or program participants)</li> <li>▪ Implementer (they deliver the program or provide the service)</li> <li>▪ Donor (they provide funds to implement the program)</li> </ul> <p><u>Ask</u> the participants to read the executive summary (program description) for Mrs. Thembe’s OVC community-based youth program (page 94 in the participant manual). Then ask them to imagine themselves in the stakeholder role they have chosen when they answer the questions following the program description on page 95.</p> <p><u>Debrief</u> the activity with the large group with the following questions:</p> <ul style="list-style-type: none"> <li>▪ What are the similarities and differences in the questions developed?</li> <li>▪ Do the questions seem more similar than different?</li> <li>▪ What do the similarities and differences tell about how beneficiaries, implementers, and donors approach M&amp;E?</li> </ul> <p><u>Point out</u> that the similarities in the questions suggest that M&amp;E can be a program management tool. <u>Emphasize</u> that M&amp;E is a way to collect information that is important to multiple stakeholders.</p>

# **Facilitator Guide:**

## **Module 7**

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## MONITORING AND EVALUATION FOR NATIONAL PROGRAM PLANNING AND MANAGEMENT: FACILITATOR GUIDE

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### MODULE 7

#### Measures and Indicators—135 minutes

Slide	Facilitator Notes
Slide 1	<b>Measures and Indicators [Title Slide]</b>
	<p><u>Explain</u> that during this session, participants will:</p> <ul style="list-style-type: none"><li>▪ Review the definition and purpose of measures, indicators, baseline, and targets</li><li>▪ Discuss global and national indicators</li><li>▪ Review criteria for selecting indicators</li></ul> <p><b>Materials Needed</b></p> <ul style="list-style-type: none"><li>▪ Slides 1–30</li><li>▪ Participant manual (PM) (pages 97–120)</li><li>▪ Flipchart paper and markers</li></ul>

No Slide	Energizer: How Are You?
	<p><b><u>Purpose:</u></b></p> <p>This energizer activity helps participants think about the process of determining what data or measures and indicators are needed to answer their monitoring and evaluation (M&amp;E) questions by getting them to elicit information from their peers.</p> <p><b><u>Directions:</u></b></p> <p><u>Ask</u> participants to break into three teams. <u>Give</u> half of each team a word describing a change in their current state of being. For each team, use one of the following words: hungry, thirsty, or sleepy. <u>Tell</u> participants that the group receiving the word must come up with ways to indicate that they are hungry, thirsty, or sleepy without using a list of common words associated with these states of being. <u>Tell</u> them that the second half of each team needs to guess what the other half is trying to indicate with the various clues.</p> <p>Start each group at the same time and give them 2 minutes to play the game. Whichever team gets the answer first wins. <u>Close out</u> the game with a few questions to get participants to think about the ease or difficulty in coming up with clues and getting the answer. <u>Mention</u> that this game is designed to provide participants with practical examples of how indicators are selected and used, which will be an important part of the next discussion.</p>

Slide 2	The M&E Navigator
	<p><u>Note</u> where the participants are in the training on the river map.</p> <p><u>Remind</u> them of the previous discussion about the relationship between M&amp;E data users and uses and developing M&amp;E questions.</p> <p><u>Point out</u> that once they have identified what it is exactly that they want to know or, more specifically, what questions they would like answers to, the next step is to determine what data they will need to answer those questions.</p>
Slide 3	What Are Measures?
	<p><u>Explain</u> that measures are data used to describe people, services, or situations using characteristics such as age, size, magnitude, and level.</p> <p><u>Explain</u> that a measure can either be quantitative (e.g., years, numbers, dollars, percentages) or qualitative (e.g., satisfaction, perception of quality).</p> <p><u>Point out</u> that measures provide a standard, basis for comparison, or reference point to communicate change against expected results or program objectives.</p> <p><u>Explain</u> that measures can be used alone or in combination with other measures to help organizations understand and improve their programs.</p>

Slides 4–5	Examples of Measures
	<p><u>Review</u> the two sets of examples.</p> <p><b>[Slide 4]</b></p> <p><u>Explain</u> that in one case, participants might have a single measure to assess program outputs. Use the following examples:</p> <ul style="list-style-type: none"> <li>▪ We served 100 people between the ages of 19 and 25 (the measure is age).</li> <li>▪ In 2005, we purchased 25,000 test kits (the measure is the number of test kits purchased).</li> </ul> <p><b>[Slide 5]</b></p> <p><u>Explain</u> that in another case, participants might have a combination of measures to assess the same program outputs. <u>Use</u> the following examples:</p> <ul style="list-style-type: none"> <li>▪ We served 60 women and 40 men between the ages of 19 and 25 (measures are gender and age).</li> <li>▪ Between January and June 2005, we purchased 6,000 test kits, and between July and December, we purchased 19,000 test kits (measures are date of purchase and number of test kits purchased).</li> </ul> <p><u>Point out</u> that, usually, several measures are possible for each M&amp;E question and the important thing is to choose measures that are the most useful in answering the question.</p>

Slide 6	Relate Measures to a Logic Model
	<p><u>Refer</u> participants to this slide, which outlines the relationships between the logic model components, objectives, and questions.</p> <p><u>Ask</u> participants to do the following:</p> <ul style="list-style-type: none"> <li>▪ Identify examples of the types of data they would need to answer the M&amp;E questions</li> <li>▪ Explain why they think these would best help answer the questions and how they would characterize this type of data</li> </ul> <p><u>Explain</u> that when deciding what data to collect, participants should consider the burden on them and their organization and the people they would collect data from (respondents/subjects).</p> <p><u>Point out</u> that it is possible to generate a number of measures that may be helpful in monitoring and evaluating programs. However, remind participants that they need to identify the measures that are deemed most useful in answering the related questions.</p>
Slide 7	Activity: Practice Selecting Measures
<b><i>PM pages 99–100</i></b>	<p><u>Ask</u> participants to turn to <b>Activity 7.1</b> in the participant manual (pages 99–100). <u>Explain</u> that they can work alone or in a group. Ask them to review the M&amp;E question and the list of proposed measures in Table 7.1. <u>Instruct</u> them to select the measure or measures that they think are the best to use to answer the question. Also <u>ask</u> them to explain why they chose or did not choose each measure.</p>



Slide 8	Measures and Indicators
	<p><u>Tell</u> participants that they probably will not have enough time or resources to monitor and evaluate every aspect of a program.</p> <p><u>Explain</u> that because of this constraint, it will be important for them to select a unit of data elements or variables that provide a good indication of how well their program is functioning over time.</p> <p><u>Highlight</u> the following points:</p> <ul style="list-style-type: none"> <li>▪ Measures alone do not necessarily provide enough information to indicate how effective a program or project is in reaching its objectives or intended results.</li> <li>▪ Anything can be measured; however, not every measure is a good indication of program or project functioning.</li> <li>▪ Indicators are selected measures of a few important data elements of a program that stakeholders believe best represent progress or changes in quality over time.</li> <li>▪ Indicators are usually not based on one variable; many variables or data elements may be needed to construct an indicator.</li> </ul>
Slide 9	Indicator Definition
	<p><u>Review</u> the following elements of the definition of an indicator:</p> <ul style="list-style-type: none"> <li>▪ Units of data elements or variables, measured over time, that document changes in processes, outcomes, or capacity</li> <li>▪ Signposts of change; they are only intended to indicate whether objectives are being achieved</li> <li>▪ Not proof of or explanations about specific changes resulting from programs</li> </ul>

Slide 10	Why Are Indicators Important?
	<p><u>State</u> that indicators are important because they:</p> <ul style="list-style-type: none"> <li>▪ Provide a reference point for program planning, management, and reporting</li> <li>▪ Allow a program to assess trends and identify problems</li> <li>▪ Can act as early warning signals for corrective action</li> </ul> <p><u>Explain</u> that indicators can help program implementers identify the potential problem to be addressed and the related outcomes. <u>Explain</u> that by verifying changes, they can also help demonstrate progress when things go right and provide early warning signals when things go wrong.</p>
Slide 11	Indicators: Considerations
	<p><u>Point out</u> that participants should not feel that it is necessary to develop an indicator for every issue they are addressing. Also <u>note</u> that one indicator may not adequately assess whether a particular result or objective is being achieved, in which case it may be helpful to select a number of complementary indicators.</p>

Slide 12	Example of an Indicator
	<p><u>Review</u> the example of buying a used car. <u>Explain</u> to participants that they could look at many things when examining the car, including the tire tread, how clean the oil is, the wear on the brake pads, and the rust on the body of the car.</p> <p><u>Point out</u> that these measures are all associated with the car's well-being but that no one of them is the best gauge or indicator of the car's condition—the best indicator of the car's condition is likely to be the number of kilometers the car has been driven.</p> <p><u>Explain</u> that these data reduce a large amount of data down to its simplest form. <u>Tell</u> participants that the odometer reading shows how much the car has been driven, which indicates how much wear the engine has undergone, thus providing a useful indication for evaluating the condition of the car.</p>
Slide 13	Another Example of an Indicator
	<p><u>Review</u> another example related to developing indicators to measure the extent of voluntary counseling and testing (VCT) in the country. <u>Point out</u> that they could measure many things, including:</p> <ul style="list-style-type: none"> <li>▪ Number of people counseled</li> <li>▪ Number of people tested</li> <li>▪ Number of test kits purchased</li> </ul> <p><u>Explain</u> that although all of these measures are useful, simply determining the percentage of the general population aged 15–49 receiving HIV test results in the past 12 months may be the data that reduce a large amount of information to the simplest form, providing the best indication of the extent of VCT in the country.</p>

Slide 14	Global and National Indicators
	<p><u>Point out</u> to participants that now that they have reviewed what measures and indicators are in a general sense, they can expand the discussion to global and national indicators.</p> <p><u>Remind</u> them that many of them may already be familiar with global and national indicators for their country's national HIV/AIDS program. Briefly <u>review</u> the history of the development of some global indicators as well as key points related to their selection.</p>
Slide 15	UNGASS Indicators
	<p><u>Explain</u> that as a part of the Declaration of Commitment on HIV/AIDS, developed at the United Nations General Assembly Special Session on HIV/AIDS (UNGASS) in 2001, a pledge was made on behalf of the United Nations (UN) General Assembly—that it would annually review the progress achieved in realizing the Declaration of Commitment's goals.</p> <p><u>Tell</u> participants that to facilitate this process, the Joint United Nations Programme on HIV/AIDS (UNAIDS) and its partners developed a set of core indicators that permit the monitoring of measurable aspects of the various international and national actions, national program outcomes, and national impact objectives outlined in the Declaration of Commitment. <u>Explain</u> that these indicators are divided into two subgroups: global indicators and national indicators.</p> <p><u>Let</u> participants know that they can reference the UNGASS document <i>Monitoring the Declaration of Commitment on HIV/AIDS Guidelines on Construction of Core Indicators</i> (August 2002) for detailed specifications of these global indicators, the information required to measure them, and guidance on their interpretation.</p>

Slide 16	Global Indicators
	<p><u>Tell</u> participants that in addition to the UNGASS indicators, there are other global-level indicators, such as the PEPFAR (President's Emergency Plan for AIDS Relief) indicators and the UN Millennium Development Goals indicators.</p> <p><u>Explain</u> that global indicators do the following:</p> <ul style="list-style-type: none"> <li>▪ Provide information on levels and trends in international progress in the mitigation of HIV/AIDS</li> <li>▪ Inform the international political debate</li> <li>▪ Sensitize public opinion on global development issues (e.g., HIV/AIDS, tuberculosis [TB], water sanitation)</li> <li>▪ Help donors set priorities</li> <li>▪ Improve coordination and collaboration within the international community</li> </ul> <p>If there is time, you can <u>mention</u> that, generally, global indicators provide information on levels and trends in the international commitment to HIV/AIDS mitigation and that multilateral and bilateral agencies are responsible for calculating global indicators.</p>

Slides 17–18	National Indicators
	<p><u>Mention</u> that national indicators in general do the following:</p> <ul style="list-style-type: none"> <li>▪ Raise awareness and focus the national debate on development issues (e.g., HIV/AIDS, TB, water sanitation)</li> <li>▪ Help countries set their priorities</li> <li>▪ Inform and monitor national policies</li> </ul> <p>If there is time, you can <u>mention</u> that national indicators measure progress within individual countries and focus on three key areas: national commitment and action; national program and behavior; and national-level program impact.</p> <p><u>Explain</u> that the indicators measuring national commitment and action focus on policy, strategic, and financial inputs for the prevention of the spread of HIV infection, the provision of care and support for those who are infected, and the mitigation of the social and economic consequences of high morbidity and mortality.</p> <p><u>Tell</u> participants that indicators of the national program and behavior focus primarily on program outputs, coverage, and outcomes (e.g., increased knowledge about HIV/AIDS or changes in behavior).</p> <p><u>Explain</u> that indicators measuring national-level program impact focus on the extent to which program activities have succeeded in reducing rates of HIV infection.</p> <p><u>Point out</u> that the national-level HIV/AIDS indicators:</p> <ul style="list-style-type: none"> <li>▪ May be outlined in a national M&amp;E plan</li> <li>▪ May have been selected on the basis of the prevention, care, and treatment goals and objectives of the country</li> </ul>

	<ul style="list-style-type: none"> <li>Can be measured from data collected from surveys and routine data collection methods that support a national M&amp;E strategy</li> </ul>
<b>Slide 19</b>	<b>Activity: M&amp;E Questions and Indicators for Your Program</b>
<b>PM page 105</b>	<p><u>Ask</u> participants to turn to <b>Activity 7.2</b> in the participant manual (page 105). <u>Point out</u> that they can do this activity individually or in a group. <u>Ask</u> them to review the M&amp;E questions they developed earlier, then develop indicators that would provide them with data to answer those questions. <u>Ask</u> them to write their answers in Table 7.2. <u>Note</u> that the first row has been filled in for them as an example.</p>
<b>Slide 20</b>	<b>Baselines, Targets, and Goal Measures</b>
	<p><u>Tell</u> participants that once they have decided which indicators they will collect data on (that is, which ones will best help answer their questions), their next step should be setting up an indicator system that describes their baselines, targets, and goal measures.</p>
<b>Slide 21</b>	<b>Questions to Ask</b>
	<p><u>Review</u> the four key questions for setting up an indicator system:</p> <ol style="list-style-type: none"> <li>1. Where are we now? (Baseline)</li> <li>2. Where do we want to be in X years? (Goal)</li> <li>3. What are the annual milestones we want to achieve to get to the goal? (Annual targets)</li> <li>4. How will we know if we are making progress toward our targets and goal? (Indicators)</li> </ol> <p><u>Let</u> the participants know that during this part of the session, you will be reviewing key points about baseline, target, and goal measures.</p>

<b>Slide 22</b>	<b>Baseline Measures</b>
	<p><u>Review</u> the following information:</p> <p>A baseline measure represents a program’s starting point and answers the question, Where are we now? or Where are we starting? It represents the value of an indicator at the beginning of a program. It reflects the status of an indicator before an organization begins program implementation.</p>
<b>Slide 23</b>	<b>How Do You Develop a Baseline Measure?</b>
	<p><u>Describe</u> the process for developing a baseline measure. <u>Note</u> that the ideal way of establishing a baseline for an indicator is with:</p> <ul style="list-style-type: none"> <li>▪ Stakeholder input</li> <li>▪ Data from a recommended or preferred data source</li> <li>▪ 3 to 5 years of historical data, so that a stable baseline can be established</li> </ul> <p><u>Review</u> some alternative data sources and methods for developing baselines if the recommended data sources are not available. <u>Remind</u> participants that the goal is to develop systems to collect these data and that these represent alternate sources if the recommended data are not yet available and should not be considered permanent substitutes.</p>
<b>Slide 24</b>	<b>Target Measures</b>
	<p>Define “target” and note that a target answers the following question: Where do we want to be at the end of a year? <u>Explain</u> that a target represents the desired value of an indicator at the end of a period of time (e.g., the end of a funding cycle) and that it reflects the status of an indicator after a period of service provision. <u>Note</u> that comparisons between baselines and annual targets help identify progress.</p>



Slide 25	Goal Measures
	<p>Define “goal” and note that a goal answers the following question: Where do we want to be X years in the future? <u>Explain</u> that this is a long-term measure of progress and that it represents the desired value of an indicator at the end of a given period. <u>Note</u> that it reflects the status of an indicator after a set number of years of services have been provided.</p>
Slide 26	Estimating Targets and Goals
	<p><u>Review</u> some guidelines for estimating targets and goals. <u>Explain</u> the following:</p> <ul style="list-style-type: none"> <li>▪ Targets and goals should be challenging but realistic.</li> <li>▪ They should represent realistic expectations of change while encouraging staff to exceed past performance.</li> <li>▪ Staff involvement in the process of target and goal setting can help gauge an appropriate level at which to set targets and goals.</li> </ul> <p><u>Point out</u> that methods for setting targets and goals include looking at data from previous years to see if there is a trend or pattern and using this information as a basis for predicting future performance. <u>Note</u> that other methods include consulting with experts working in a particular area or reviewing published research or evaluation findings. <u>Tell</u> participants that reviewing data about the performance of similar organizations also can be used in projecting performance.</p> <p><u>Explain</u> that factors outside these data may influence performance and should be considered when making performance projections. <u>Note</u> that these factors include the following:</p> <ul style="list-style-type: none"> <li>▪ Developmental stage of the program</li> <li>▪ Characteristics of the target population</li> <li>▪ Resource availability</li> </ul>

	<ul style="list-style-type: none"> <li>▪ Stakeholder expectations</li> <li>▪ Social and political factors</li> </ul>
<b>Slide 27</b>	<b>Key Elements of a Good Indicator</b>
	<p><u>Tell</u> participants that the group will now review the key considerations in selecting a good indicator.</p> <p><u>Point out</u> that before an indicator is selected, it should be SMART:</p> <ul style="list-style-type: none"> <li>▪ Specific—An indicator must be related to the conditions that the program wishes to change.</li> <li>▪ Measurable—An indicator must be quantifiable and allow for statistical analysis of the data.</li> <li>▪ Attainable: An indicator must be attainable at a reasonable cost using appropriate collection methods.</li> <li>▪ Relevant: An indicator must be necessary to measure and have relevance to the management of information needs of the persons who will use it.</li> <li>▪ Time-based: An indicator must have a time period for collection clearly stated.</li> </ul>

Slides 28–29	Choosing Measures or Indicators
	<p><u>Explain</u> that once indicators are deemed as SMART, then they should be selected on the basis of the following general guidelines:</p> <ul style="list-style-type: none"> <li>▪ Ensure that indicators are linked to program goals and are able to measure change.</li> <li>▪ Ensure that standard indicators are used to the highest extent possible for comparability over time and between population or target groups.</li> <li>▪ Consider the cost and feasibility of data collection and analysis if these indicators are used.</li> <li>▪ Consider the stage of the problem being addressed with the target population and make certain that indicators are appropriate for this stage.</li> </ul> <p><u>Explain</u> that participants should keep the number of indicators to the minimum needed, with specific reference to which indicators are required and which indicators are going to help with programming and management decisions. <u>Note</u> that additional indicators can always be identified later.</p> <p><i>Source: World Health Organization and Global Partners, Monitoring and Evaluation Toolkit, page 17.</i></p>

Slide 30	Activity: Select National and Global Indicators for a Program
<b><i>PM pages 110–118</i></b>	<p><u>Ask</u> participants to turn to <b>Activity 7.3</b> in the participant manual (pages 110–118). <u>Explain</u> that they can work on this activity alone or with a group. <u>Instruct</u> them to refer to the list of sample national-level HIV/AIDS indicators for a country, which begins on page 111. Next, <u>ask</u> them to enter the M&amp;E questions they developed earlier into Table 7.4. <u>Point out</u> that the first row has been completed for them as an example. <u>Ask</u> them to identify at least two indicators that will answer each M&amp;E question. Next, <u>ask</u> them to explain how they will use this information and how these indicators/measures will best answer their M&amp;E questions.</p>

# **Facilitator Guide:**

## **Module 8**

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## MONITORING AND EVALUATION FOR NATIONAL PROGRAM PLANNING AND MANAGEMENT: FACILITATOR GUIDE

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### MODULE 8

#### Data Sources and Data Collection Methods—85 minutes

Slide	Facilitator Notes
Slide 1	Data Sources and Data Collection Methods [Title Slide]
	<p><u>Explain</u> that during this session, participants will:</p> <ul style="list-style-type: none"><li>▪ Review data sources for various monitoring and evaluation (M&amp;E) activities</li><li>▪ Review M&amp;E data collection issues</li><li>▪ Review the relationship among objectives, M&amp;E questions, measures/indicators, data sources, and M&amp;E methods</li></ul> <p><b>Materials Needed</b></p> <ul style="list-style-type: none"><li>▪ Slides 1–22</li><li>▪ Participant manual (PM) (pages 121–134)</li><li>▪ Flipchart paper and markers</li></ul>

No Slide	Large Group Data Collection Exercise: Observation Game
	<p><b>Purpose:</b></p> <p>This game is designed to help participants get a sense for systematically watching what is happening within a particular setting. For example, if the setting is the community, the observer may watch where members of a target population congregate, what and whom they respond to, and whom they associate with. Taking mental notes during the game simulates how unobtrusively notes should be taken during observation data collection.</p> <p>This game also helps participants better understand how observation can provide an array of useful information and facilitate a more comprehensive understanding of the context in which an activity or event is occurring. It may provide more impartial data as information is gathered and documented without the knowledge of others and includes a relatively objective account of the physical environment.</p> <p><b>Directions:</b></p> <p><u>Ask</u> everyone to sit in a circle and systematically watch what is happening within this particular setting. <u>Begin</u> the exercise by taking two pens, pencils, or rolled up pieces of white paper and handing them to the person on your left. <u>Ask</u> each participant who receives the items to pass them to the person on the left in the same way that you first passed them.</p> <p><u>Make sure</u> that you hand the items to the person on your left with your arms crossed so that the item in your right hand is crossed over the item in your left hand. You also must <u>make sure</u> that your legs are crossed at the ankles in the same manner (right over left) as you hand the items to the next person. It is important that your actions are subtle so that the game is challenging for participants and they focus on</p>

	<p>observing the details critical to solving the game.</p> <p>You may decide to <u>go</u> a few rounds before attempting to pass the items again in a more obvious way, in the event that no one figures out the pattern. As each participant passes the items, <u>let</u> them know whether they are correct or “incorrect, but provide no other clues. <u>Ask</u> participants not to call out the pattern if they think they know it.</p> <p>At the end of the activity, <u>point out</u> to participants that what they have been engaged in is the data collection method known as observation, which you will talk with them about a little later on in the module.</p> <p><u>Ask</u> whether they thought observation was the most appropriate way to do the “correct” thing, given the task they were asked to complete. <u>Ask</u> whether they could have used other ways to get the right answer. <u>Ask</u> what they could have done if they wanted to find out something different (e.g., determine how the items that were passed around felt to five participants).</p> <p><u>Explain</u> that this module will focus on understanding data collection methods and that other methods will be discussed.</p>
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<b>Slide 2</b>	<b>The M&amp;E Navigator</b>
	<u>Note</u> where the participants are in the training on the river map.
<b>Slide 3</b>	<b>Relationship Between Logic Model Components</b>
	<p><u>Remind</u> participants of the earlier discussion on how to determine what data are needed to answer M&amp;E questions. <u>Review</u> the topic by stating that measures or indicators help answer M&amp;E questions by providing organizations with information indicating change or progress in reaching expected results.</p> <p><u>Point out</u> that the next step after an organization identifies what data are needed is to determine where to get these data (identifying data sources) and how best to obtain the data (methods for collecting the data).</p>
<b>Slide 4</b>	<b>Data Sources</b>
	<p><u>Tell</u> participants that data sources are simply the places where M&amp;E data are obtained (e.g., medical records, program report questionnaires).</p> <p><u>Point out</u> that data sources should:</p> <ul style="list-style-type: none"> <li>▪ Provide the necessary information to answer the program's M&amp;E questions</li> <li>▪ Be feasible, given the available resources</li> <li>▪ Offer confidence in the quality of information gathered</li> </ul>

Slides 5–7	Examples of Commonly Available Data Sources
	<p data-bbox="423 296 1382 331"><u>Highlight</u> examples of data sources at the various levels, as follows:</p> <p data-bbox="423 405 553 441"><b>[Slide 5]</b></p> <ul data-bbox="451 464 1398 936" style="list-style-type: none"> <li data-bbox="451 464 1003 499">▪ National-level data sources include:             <ul data-bbox="509 516 1398 936" style="list-style-type: none"> <li data-bbox="509 516 1398 604">• National data collection efforts (e.g., census, vital statistics, national/regional surveys)</li> <li data-bbox="509 625 1398 772">• International surveys (e.g., Family Planning Program Effort, AIDS Program Effort Index, Demographic and Health Survey)</li> <li data-bbox="509 793 1398 936">• Ministry of Health policies, financial reports, or legal or regulatory statements (e.g., bills or legislative acts, recommendations, white papers)</li> </ul> </li> </ul> <p data-bbox="423 1010 553 1045"><b>[Slide 6]</b></p> <ul data-bbox="451 1068 1305 1377" style="list-style-type: none"> <li data-bbox="451 1068 1094 1104">▪ Organizational-level data sources include:             <ul data-bbox="509 1121 1305 1377" style="list-style-type: none"> <li data-bbox="509 1121 883 1157">• Evaluations and audits</li> <li data-bbox="509 1178 1053 1213">• Organizational networking analysis</li> <li data-bbox="509 1234 964 1270">• Organizational assessments</li> <li data-bbox="509 1291 1305 1327">• Budget and expenditure records/financial statements</li> <li data-bbox="509 1348 943 1383">• Program and donor reports</li> </ul> </li> </ul> <p data-bbox="423 1451 553 1486"><b>[Slide 7]</b></p> <ul data-bbox="451 1509 1328 1818" style="list-style-type: none"> <li data-bbox="451 1509 1024 1545">▪ Individual-level data sources include:             <ul data-bbox="509 1562 1328 1818" style="list-style-type: none"> <li data-bbox="509 1562 834 1598">• Supervision reports</li> <li data-bbox="509 1619 786 1654">• Self-evaluations</li> <li data-bbox="509 1675 1328 1761">• Personnel records (e.g., job descriptions, performance evaluations, background checks, training summaries)</li> <li data-bbox="509 1782 1162 1818">• Routine health service records and reports</li> </ul> </li> </ul>

Slides 8–9	Data Collection Methods
	<p><u>State</u> that once participants have identified the sources from which they will obtain their M&amp;E data, the next step is to decide what methods they will use to collect this information.</p> <p><u>Let</u> participants know that in deciding the most appropriate methods of data collection, it is important for them to understand their purpose for collecting data and the differences among data collection methods.</p> <p><u>Point out</u> that in addition to understanding which methods are most appropriate for the kind of information they need, it is also important for participants to assess what resources are available within their organizations or outside of their organizations to help support this work.</p> <p><u>Ask</u> participants to share what they think are the related advantages and disadvantages of each method.</p> <p><u>Let</u> participants know that there are a number of data collection methods that can be used to monitor and evaluate their programs and that these methods are often divided into two categories:</p> <ul style="list-style-type: none"> <li>▪ Quantitative methods</li> <li>▪ Qualitative methods</li> </ul> <p><b>[Slide 8]</b></p> <p><u>Explain</u> that <b>quantitative</b> methods generally include structured or standardized approaches for collecting and analyzing numerical or categorical (e.g., race, ethnicity, gender) data. <u>Review</u> the following examples:</p> <ul style="list-style-type: none"> <li>▪ Surveys</li> <li>▪ Questionnaires</li> <li>▪ Checklists</li> </ul>

	<p><b>[Slide 9]</b></p> <p><u>Explain</u> that <b>qualitative</b> methods often involve semistructured or open-ended data collection methods aimed at generating in-depth, descriptive information. <u>Review</u> the following examples:</p> <ul style="list-style-type: none"> <li>▪ Interviews</li> <li>▪ Focus groups</li> <li>▪ Record reviews</li> <li>▪ Observations</li> </ul> <p><u>Point out</u> that participants can use quantitative methods and qualitative methods alone or in combination to answer M&amp;E questions and better understand different aspects of a program. Using a combination of methods allows participants to validate their findings and help their organization build a more comprehensive M&amp;E process.</p> <p><u>Inform</u> participants that the group will now discuss several types of quantitative and qualitative methods.</p>
<b>Slide 10</b>	<b>Surveys and Questionnaires</b>
	<p><u>Review</u> that surveys and questionnaires:</p> <ul style="list-style-type: none"> <li>▪ Are data collection tools with a structured set of questions</li> <li>▪ Have a series of questions (items) with predetermined response choices</li> <li>▪ Can also include open-ended items for elaboration or clarification</li> <li>▪ Can be completed by respondents or surveyors</li> <li>▪ Can target either the general population (e.g., all people aged 15–49) or specific risk populations (e.g., sex workers, injection drug users)</li> </ul>

Slide 11	Uses of Surveys and Questionnaires
	<p><u>Explain</u> that surveys/questionnaires are often used to:</p> <ul style="list-style-type: none"> <li>▪ Study attitudes and perceptions</li> <li>▪ Collect self-reported assessments of changes in response to the program</li> <li>▪ Collect program assessments</li> <li>▪ Collect some behavioral reports</li> <li>▪ Test knowledge</li> <li>▪ Determine changes over time</li> </ul> <p><u>Ask</u> participants to share their experience administering surveys and questionnaires.</p>
Slide 12	Checklists
	<p><u>Review</u> that checklists:</p> <ul style="list-style-type: none"> <li>▪ List action items, steps, or elements needed for a task, activity, event, or particular situation</li> <li>▪ Measure the level of completeness or performance, degree of quality, or progress toward a particular stage or goal</li> <li>▪ Contain items, steps, or elements to be checked or consulted using a criterion scale (e.g., has X action been completed, yes or no?)</li> </ul>
Slide 13	Uses of Checklists
	<p><u>Explain</u> that checklists are often used to:</p> <ul style="list-style-type: none"> <li>▪ Assess the quality of services/care delivered to patients</li> <li>▪ Monitor the implementation of program processes and protocols</li> <li>▪ Assess the practice of new knowledge, skills, and responsibilities</li> </ul> <p><u>Ask</u> participants to share their experience using checklists.</p>

Slides 14–15	Interviews and Focus Groups
	<p><u>Review</u> the following key points about interviews and focus groups:</p> <ul style="list-style-type: none"> <li>▪ They are used to gather detailed, qualitative descriptions of how programs operate and how stakeholders perceive them.</li> <li>▪ Interviews are generally conducted one-on-one, whereas focus groups are conducted in small groups.</li> <li>▪ Both are usually conducted with targeted samples of stakeholders (e.g., staff, administrators, youth, families, funders, community members).</li> <li>▪ Respondents are expected to answer using their own terms.</li> <li>▪ They can be conducted in person or by phone.</li> <li>▪ Questions are generally open ended but predetermined.</li> <li>▪ Responses are documented in detailed notes or transcription.</li> <li>▪ Some interviews use structured quantitative response categories.</li> </ul>
Slide 16	Uses of Interviews and Focus Groups
	<p><u>Explain</u> that interviews and focus groups are often used to:</p> <ul style="list-style-type: none"> <li>▪ Study attitudes and perceptions using respondents' own language</li> <li>▪ Collect self-reported assessments of changes in response to the program</li> <li>▪ Collect program assessments</li> <li>▪ Document program implementation</li> <li>▪ Understand and describe program processes</li> <li>▪ Determine changes over time</li> <li>▪ Support exploratory work used to obtain in-depth knowledge</li> </ul> <p><u>Ask</u> participants to share their experience conducting interviews and/or focus groups.</p>

<b>Slide 17</b>	<b>Record Reviews</b>
	<p><u>Explain</u> that record reviews:</p> <ul style="list-style-type: none"> <li>▪ Involve the review and analysis of documents (e.g., agendas, outlines, intake and tracking forms, and other service records; financial records; calendars; process logs and forms)</li> <li>▪ Make use of information that is routinely collected during the implementation of a program</li> <li>▪ Are useful to monitor and evaluate the process of implementing a program</li> <li>▪ Help analyze existing program records and other documents not gathered or developed specifically for M&amp;E</li> </ul>
<b>Slide 18</b>	<b>Uses of Record Reviews</b>
	<p><u>Explain</u> that record reviews are often used to:</p> <ul style="list-style-type: none"> <li>▪ Collect some behavioral reports (e.g., from clinic records)</li> <li>▪ Verify self-reported data</li> <li>▪ Determine changes over time</li> </ul> <p><u>Ask</u> participants to share their experience reviewing documents to obtain data.</p>
<b>Slide 19</b>	<b>Observations</b>
	<p><u>Review</u> that observations:</p> <ul style="list-style-type: none"> <li>▪ Are conducted to view and hear actual program activities</li> <li>▪ Can be focused on programs overall or participants in programs</li> <li>▪ Involve instruments (e.g., protocols or guides, sometimes checklists)</li> </ul>

Slide 20	Uses of Observations
	<p><u>Explain</u> that observations are often used to:</p> <ul style="list-style-type: none"> <li>▪ Document program implementation</li> <li>▪ Witness levels of skill/ability, program practices, and behaviors</li> <li>▪ Determine changes over time</li> </ul> <p><u>Ask</u> participants to share their experience conducting observations.</p>
Slide 21	Activity: Data Sources and Collection Methods for a Voluntary Counseling and Testing Program
<b>PM pages 127–128</b>	<p><u>Ask</u> participant to turn to <b>Activity 8.1</b> in the participant manual (pages 127–128). <u>Explain</u> that they can do this activity individually or in a group. <u>Instruct</u> them to review the example logic model (Figure 8.3), which describes the program providing pre-test counseling, HIV testing, and post-test counseling services. <u>Point out</u> that the objectives, questions, and data uses were defined in the previous modules. <u>Instruct</u> participants to fill in Table 8.3 with their suggestions for the most effective and efficient methods to collect these data (i.e., tell why they chose each method) and possible sources for collecting the data required.</p>
Slide 22	Activity: Your Data Collection Methods and Experience
<b>PM pages 128–133</b>	<p><u>Ask</u> participants to turn to <b>Activity 8.2</b> in the participant manual (pages 128–133). <u>Explain</u> that they can do this activity alone or in a group. <u>Instruct</u> them to reread the descriptions of methods in Table 8.4. They should use the table to describe their experience using any of these methods to collect program data. <u>Encourage</u> them to think about and describe what were or might be the advantages and disadvantages of using the methods listed to collect their program data. <u>Point out</u> that the experience could be their personal experience or that of their group or country.</p>



# **Facilitator Guide:**

## **Module 9**

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## MONITORING AND EVALUATION FOR NATIONAL PROGRAM PLANNING AND MANAGEMENT: FACILITATOR GUIDE

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### MODULE 9

Data Management—105 minutes

Slide	Facilitator Notes
Slide 1	Data Management [Title Slide]
	<p><u>Explain</u> that during this session, participants will:</p> <ul style="list-style-type: none"><li>▪ Discuss key elements of data flow</li><li>▪ Review principles for data management</li><li>▪ Learn about data processing and storage issues</li><li>▪ Learn about data quality issues</li><li>▪ Discuss data analysis issues</li></ul> <p><b><i>Materials Needed</i></b></p> <ul style="list-style-type: none"><li>▪ Slides 1–48</li><li>▪ Participant manual (PM) (pages 135–154)</li><li>▪ Data quality handout</li><li>▪ Flipchart paper and markers</li></ul>
Slide 2	The M&E Navigator
	<p><u>Note</u> where the participants are in the training on the map. <u>Mention</u> that this module will begin with a discussion about data flow, which will help participants to better understand the management and quality assurance steps they will need to take in order to move data through the various points of processing and ready the information for dissemination.</p>

Slides 3–4	What Is Data Flow?
	<p><u>Explain</u> that data flow is the movement of data from the point at which they are collected (data source) to the various points at which they will be further processed into formats that are usable by the various stakeholders. <u>Point out</u> that data flow tracks the different steps in the data management process:</p> <ul style="list-style-type: none"> <li>▪ Data collection</li> <li>▪ Data entry</li> <li>▪ Data synthesis</li> <li>▪ Data cleaning</li> <li>▪ Data quality check</li> <li>▪ Data analysis</li> </ul>
Slide 5	Data Flow Components
	<p><u>Point out</u> that participants need to understand how M&amp;E data flow throughout programs they manage or support and that they need to ensure that all relevant stakeholders have a clear understanding of this. <u>Explain</u> that one way of clarifying the flow of M&amp;E data is by plotting them in a diagram. <u>Point out</u> that a data flow diagram identifies where data come from, how and where they are processed, how and where they are stored, and to whom or where they will be sent. <u>Emphasize</u> that a good data flow diagram will include the following components:</p> <ul style="list-style-type: none"> <li>▪ Data sources—where M&amp;E data come from</li> <li>▪ Data storage—how and where the data are stored</li> <li>▪ Data processes—when, how, and by whom the data are entered, synthesized, cleaned, and analyzed</li> <li>▪ Data end points—what happens to the data once they are processed, whom the data are passed to, and in what format</li> </ul>

Slide 6	<b>Data Flow Diagram</b>
	<p><u>Walk</u> participants through the sample data flow diagram, highlighting the lines that connect each data flow component.</p> <p><u>Remind</u> participants that the goal of a data flow diagram is to present a commonly understood visual depiction of how M&amp;E data will move from the stage of data collection to data dissemination and use.</p>
Slide 7	<b>Example: Farm Workers' Condom Distribution Program</b>
	<p><u>Explain</u> that participants need to review the logic model of the farm workers' condom distribution program before they discuss the data flow diagram for the farm workers' program. <u>Ask</u> participants to turn to these graphics in the PM.</p>
Slide 8	<b>Data Flow Diagram for the Farm Workers' Program</b>
	<p><u>Explain</u> that the group will review the components of a data flow diagram using an example of an HIV prevention program that focuses on condom distribution to farm workers.</p>
Slide 9	<b>Data Sources</b>
	<p><u>Explain</u> that <b>data sources</b> can represent the laboratories and clinics where information will come from program, clinic, and commodity records. <u>Tell</u> participants that the data that will be collected from these sources will include information such as the number of condoms distributed and the number of farm workers who visited the clinics.</p>
Slide 10	<b>Data Storage</b>
	<p><u>Explain</u> that <b>data storage</b> indicates the physical places where collected data are stored (e.g., client care logs/registers, computer files). <u>Tell</u> participants that storage points can include something as basic as an office file cabinet or a technology-based source, such as data management and analysis programs (Epi Info, SAS, SPSS, Microsoft Access or Excel).</p>

<b>Slide 11</b>	<b>Data Processes (Entry, Cleaning, Analysis, Synthesis)</b>
	<p><u>Explain</u> that <b>data processes</b> illustrate when, how, and by whom data will be entered, cleaned, analyzed, and synthesized. <u>Tell</u> participants that in the farm workers' condom distribution program, an arrow and a brief label can be used to indicate when a specific data process activity will take place (e.g., data entry, data cleaning) and who will conduct the activity (e.g., field data collector).</p>
<b>Slide 12</b>	<b>Data End Points</b>
	<p><u>Explain</u> that <b>data end points</b> are where the information will go after it has been entered, cleaned, analyzed, and synthesized. <u>Tell</u> participants that the data end points could be other program staff members or those institutions or individuals external to organizations, such as program funders, program beneficiaries, or local government.</p> <p><u>Mention</u> that data end points may also become data sources if the information needs to be sent to other stakeholders.</p>

Slides 13–14	Activity: Develop Your Program’s Data Flow Diagram
<p><b>PM pages 141–142</b></p>	<p><u>Ask</u> participants to turn to <b>Activity 9.1</b> in the participant manual (pages 141–142). <u>Explain</u> that this is a two-part activity and that they can work alone or in a group to create a data flow diagram for their program.</p> <p><b>Part 1 [Slide 13]</b></p> <p><u>Tell</u> participants that in Part 1 of the activity, they will need to develop a preliminary list of the four elements of their program’s data flow. <u>Ask</u> participants to use Table 9.2 to fill in their responses and consider the following elements:</p> <ul style="list-style-type: none"> <li>▪ Where will the data come from (data source points)?</li> <li>▪ Where will they be stored (data storage points)?</li> <li>▪ How will the data be processed and who will process them (data processes)?</li> <li>▪ Where will the data be sent (data end points)?</li> </ul> <p><u>Instruct</u> them to write each of the four elements of their program’s data flow diagram into the space provided.</p> <p><b>Part 2 [Slide 14]</b></p> <p><u>Tell</u> participants that in Part 2 of the activity, they will need to create a data flow diagram. <u>Instruct</u> them to refer to the data source points, storage points, processes, and end points they identified in Part 1. Next, <u>ask</u> them to draw their data flow diagram in the space provided in Table 9.2. <u>Tell</u> them that they will also need to draw lines showing how these elements are connected.</p> <p><u>Give</u> participants 20 minutes to complete this exercise. Then <u>ask</u> two people to present their flow diagrams and discuss their experiences. <u>Extend</u> the discussion to the rest of the class.</p>

Slide 15	Data Flow Beyond Your Program
	<p><u>Remind</u> participants that data flow end points may be within the programs they manage or support or they may represent stakeholders outside of these programs. <u>Mention</u> that the data flow also may include another round of data entry, cleaning, analysis, synthesis, and/or dissemination to other stakeholders for further review and use.</p> <p><u>Explain</u> that this often occurs when collected data need to be reported beyond an initial round of stakeholders to other stakeholders to support decision-making processes at other levels (e.g., community, district, provincial, national, and global levels). <u>Point out</u> that data can also flow in the other direction and that they are often sent back and forth between stakeholders at these various levels (e.g., data may be sent to the ministry of health, and the ministry may provide feedback).</p>
Slide 16	Data Management
	<p><u>Explain</u> that once data are collected, it will be important for participants to have in place processes that facilitate the effective transfer of the data from a raw form to a more usable format. <u>Note</u> that this requires having in place systems for data management, which means considering how to manage the “who, what, when, and where” of data processing (data entry, cleaning, analysis, synthesis, quality assurance) to ensure the generation of quality, usable data.</p>

Slide 17	Principles of Data Management
	<p><u>Describe</u> the following shorthand guide to the data management process:</p> <p>In order to effectively manage data you need to:</p> <ul style="list-style-type: none"> <li>▪ <b>Do it early:</b> Organize the data management needs before data are actually collected</li> <li>▪ <b>Do it often:</b> Update and manage information frequently</li> <li>▪ <b>Do it organized:</b> Ensure that good data storage, retrieval, and security systems are in place</li> <li>▪ <b>Do it well:</b> Maintain data quality through all parts of the data flow</li> </ul> <p><u>Point out</u> that “it” refers to <b>data management</b>.</p>
Slide 18	Do It Early
	<p><u>Explain</u> that as part of developing and establishing a good data management system, participants should think about the following issues <i>before</i> data collection activities begin:</p> <ul style="list-style-type: none"> <li>▪ Considering who will be involved in the data management process and their resources and skills</li> <li>▪ Agreeing on a standardized approach and predetermined formats</li> <li>▪ Ensuring the security and confidentiality of data</li> </ul>
Slide 19	Do It Often
	<p><u>Emphasize</u> the importance of regularly updating records, storing and entering data, and providing feedback to improve the system. <u>Mention</u> that the failure to do so increases the burden of meeting reporting deadlines and increases the risk of introducing errors.</p>



Slide 20	Activity: Design Your Data Management Process, Part 1
<p><b>PM pages 144–145</b></p>	<p><u>Ask</u> participants to turn to <b>Activity 9.2</b> in the participant manual (pages 144–145). <u>Explain</u> that this is the first part of a two-part activity and that they will complete the second part later in the module.</p> <ul style="list-style-type: none"> <li>▪ <u>Point out</u> that they can do this activity as a group or individually. <u>Instruct</u> them to read and answer the following questions, using Table 9.3:</li> <li>▪ Who is or should be involved in your data management process and why?</li> <li>▪ Is there is an agreed-upon, standardized approach and predetermined formats you are using to guide your data management process? If not, why not?</li> <li>▪ What steps do you take to ensure the security and confidentiality of data?</li> </ul> <p>Next, <u>ask</u> participants to briefly describe their process in Table 9.3 for:</p> <ul style="list-style-type: none"> <li>▪ Updating program records</li> <li>▪ Entering and storing program data</li> <li>▪ Monitoring and improving the system</li> </ul>

Slides 21–22	Do It Organized
	<p><u>Point out</u> that it is important that participants' processes and procedures for managing data are:</p> <ul style="list-style-type: none"> <li>▪ Systematic</li> <li>▪ Understandable to staff and funders</li> <li>▪ Able to support the use of data storage systems that provide quick and easy retrieval of needed information</li> </ul> <p><u>Explain</u> that ensuring that data management systems are organized will:</p> <ul style="list-style-type: none"> <li>▪ Help ensure that multiple people (e.g., new staff, funders) can access, understand, and use the data</li> <li>▪ Allow <b>data quality</b> to be compared over time</li> <li>▪ Make it easier to identify areas for improvement</li> <li>▪ Help build institutional memory</li> </ul>
Slide 23	Setting Up a Good System for Data Storage Management
	<p><u>Point out</u> that a critical piece to staying organized will be setting up good systems for data storage management. <u>Tell</u> participants that as they develop processes and procedures for data storage, they should consider the following:</p> <ul style="list-style-type: none"> <li>▪ What information needs to be stored</li> <li>▪ Who needs access to the information and when</li> <li>▪ How information will be stored</li> <li>▪ What information needs to be kept and what can be discarded</li> </ul>

Slide 24	Do It Well
	<p><u>Explain</u> that with “doing it well,” it is important to consider the following:</p> <ul style="list-style-type: none"> <li>▪ If data will be entered into electronic databases, consider using data entry programs that identify errors and inconsistencies between variables (e.g., a mother who is entered as being younger than her children)</li> <li>▪ Do not over-interpret data or indicators when confidence in data quality is low</li> <li>▪ Do not under-interpret data or indicators when confidence is high</li> </ul>
Slide 25	Activity: Design Your Data Management Process, Part 2
<b>PM page 147</b>	<p><u>Ask</u> participants to turn to <b>Activity 9.2</b> in the participant manual (page 147). <u>Explain</u> that this is the second part of the activity. <u>Instruct</u> them to read and answer yes or no to the questions about their data management process. Next, if they answer <u>no</u> to any of these questions, <u>ask</u> them to think about and briefly describe what their organization needs to do (i.e., the action step) to get these things in place.</p>

No Slide	Energizer: Data Quality
	<p><u>Explain</u> that a large group activity will be conducted to introduce issues affecting data quality. (This activity can be used as an energizer to get people moving around.)</p> <p><u>Distribute</u> the Data Quality Handout to participants and ask them to collect the requested information from 15 participants in the next 10 minutes.</p> <p>Once the 10 minutes have passed, <u>debrief</u> the activity by getting answers to the following questions:</p> <ul style="list-style-type: none"> <li>▪ How many participants were able to complete the handout in the allotted time?</li> <li>▪ Did they collect the information in the requested format (e.g., name: last name, first name; birthday: month/day)?</li> <li>▪ How did each participant ensure accuracy? For example, did she ask the other participants to fill out the questions themselves, or did she ask them to slowly spell out surnames?</li> <li>▪ Did anyone attempt to fill in any remaining entries themselves before time ran out?</li> </ul>
Slide 26	Data Quality
	<p><u>Point out</u> that data quality directly affects participants' ability to provide stakeholders with information that can help them make the most informed decisions.</p>

<b>Slide 27</b>	<b>Not Paying Attention to the Quality of Data...</b>
	<p><u>Stress</u> that the lack of high-quality data can have significant costs to a program. <u>Provide</u> the following examples: the additional use of resources to take corrective actions; reduced stakeholder confidence and support; missed opportunities to identify areas of strength or gaps in program activities; and the need to address incorrect decisions made on the basis of bad data.</p>
<b>Slide 28</b>	<b>Misconceptions About Data Quality</b>
	<p><u>Explain</u> that people often believe that their data are good enough because they trust that the data management processes will inherently produce accurate, interpretable, and usable data, even when there is no evidence (e.g., quality assurance processes) to support this claim. <u>Note</u> that this results in missed opportunities to improve the overall efficiency and effectiveness of a program.</p>

Slides 29–30	How to Maximize Data Quality
	<p><u>Emphasize</u> to participants that the following points are EXTREMELY important:</p> <ul style="list-style-type: none"> <li>▪ Data quality should be maintained at each stage of the management process.</li> <li>▪ Program staff members integrate formal data quality assurance processes at every stage of data collection, management, and data dissemination.</li> </ul> <p><u>Note</u> that to ensure high-quality data, participants must give careful attention to the design and implementation of data management systems, ongoing monitoring of data collection activities, and proactive steps to correct problems that compromise the quality of data.</p> <p><u>Mention</u> that if they are gathering data from existing sources, participants should make sure that the data are recorded on clear forms and reported on a regular, timely basis. <u>Tell</u> them to be sure that the measures they use are standard measures or the same as the ones they want.</p> <p><u>Explain</u> that if they are collecting new data, participants want to be sure that the data collection tools are appropriate for gathering all of the information that is needed.</p> <p><u>Point out</u> that documentation of quality assurance efforts and inconsistent results will help data users understand the limitations of the data and ways to improve data collection procedures.</p>

Slide 31	Key Principles of Data Quality
<p><b>PM pages 149–150</b></p>	<p>If there is time, <u>review</u> that following slides on six key principles of data quality: precision, reliability, validity, integrity, completeness, and timeliness. If there is limited time, <u>ask</u> participants to review on their own Table 9.5 in the PM (pages 149–150).</p> <p><u>Point out</u> that participants may want to consider the precision, reliability, validity, integrity, completeness, and timeliness of data and how threats to these can compromise the quality of data.</p>
Slides 32–33	Precision
	<p><u>Explain</u> that precision requires data to be collected, analyzed, and interpreted at an appropriate level of detail to answer M&amp;E questions.</p> <p><u>Review</u> the following example:</p> <p>“Let us say you need to answer the following question: What percentage of female and male voluntary counseling and testing (VCT) clients who were tested received their test results in the past year? You would need to collect data on gender, counseling and testing visits, and date of visits. If any of these variables were missing from the data source (e.g., service delivery log, client records) or data storage site (e.g., on the data entry forms, in the data entry database), the data would lack precision.”</p>

Slides 34–35	Reliability
	<p><u>Explain</u> that reliability refers to the ability of a method to give consistent results over many tests, repeated at different times.</p> <p><u>Review</u> the following example:</p> <p>“This principle is most relevant to data sources. For example, if you are collecting data on the number of staff members trained across multiple VCT sites, you need to make sure that all sites are including the same types of training events in their count. Some sites might consider staff meetings as a training event, whereas others might only count trainings that included course objectives and curricula.”</p>
Slides 36–37	Validity
	<p><u>Explain</u> that validity involves the accuracy of a measurement (i.e., the measure really measures what is intended). <u>Note</u> that, simply put, valid data are as close to the truth as possible.</p> <p><u>Review</u> the following example:</p> <p>“Validity is most relevant to the instruments used for collecting the data at the data source. Making sure that you are getting the type of response you are expecting is particularly challenging for self-reported data. If terms are too technical or if questions are not asked in a precise way, they can be misinterpreted. For example, you may ask a client if his previous HIV test result was positive. If he is interpreting ‘positive’ as a good result—that is, he does not have the HIV infection—he will respond ‘yes,’ which is not valid for what you want to know.”</p>



Slides 38–39	Integrity
	<p><u>Explain</u> that integrity measures the “truthfulness” of the data: Are the data free from untruth introduced by either human or technical means, willfully or unconsciously?</p> <p><u>Review</u> the following example:</p> <p>“The integrity of the data needs to be ensured at each stage of data flow. The staff at the data source collecting the data must be accurate in recording data on the data collection forms. When data are entered into the database (at the storage site), they must be entered accurately. Data processes should include documentation for how data will be entered and cleaned. Maintaining data integrity at the data dissemination stage means that data are reported without intentional bias or manipulation. “</p>
Slides 40–41	Completeness
	<p><u>Explain</u> that completeness means that all intended data are collected.</p> <p><u>Review</u> the following example:</p> <p>“Data should be collected and entered to maximize the completeness of information. The data should include all eligible people or units and all data variables. If key variables are missing, then the amount of data you have available to analyze and report on will be reduced and may compromise your ability to make conclusions about the findings.”</p>

Slides 42–43	Timeliness
	<p><u>Explain</u> that timeliness is data collection, entry, submission, use, and reporting occurring with appropriate frequency and according to schedule. <u>Note</u> that data reporting at regular intervals enables the assessment of progress in the implementation process and the achievement of results. <u>Mention</u> that with timely collection, collation, and reporting of data, participants can do the following:</p> <ul style="list-style-type: none"> <li>▪ Communicate early warning signals to senior management about any potential implementation issues</li> <li>▪ Formally request support or assistance where needed</li> <li>▪ Communicate the status of implementation and results to stakeholders</li> <li>▪ Facilitate replenishment of funds</li> </ul> <p><u>Review</u> the following example:</p> <p>“Data are timely when they are up-to-date and available when needed. For example, if data on when test results are received are not entered until several months after the end of the year and reports are due before the data are entered, then the count of how many people received their test results within the reporting period will be underestimated.”</p>
Slide 44	Activity: Ensure Data Quality in Your Program
<b>PM page 151</b>	<p><u>Ask</u> participants to turn to <b>Activity 9.3</b> in the participant manual (page 151). <u>Instruct</u> participants to review the program data flow diagram they developed earlier (Table 9.2). They should use Table 9.6 to describe three steps/actions that their organization takes or needs to take to ensure data quality at each stage of data flow.</p>

Slide 45	<b>Data Analysis</b>
	<u>Explain</u> that the session will now briefly discuss methods of data analysis.
Slide 46	<b>Quantitative Data Analysis</b>
	<p><u>Explain</u> that quantitative analysis is the process of presenting and interpreting numerical data and that it often involves descriptive statistics and inferential statistics:</p> <ul style="list-style-type: none"> <li>▪ <b>Descriptive statistics</b> include measures of averages (mean, median, and mode) and measures of differences in the average (range and standard deviation). These give the interpreter a better understanding of the trends in the data collected.</li> <li>▪ <b>Inferential statistics</b> are the outcomes of statistical tests, which help the interpreter test set hypotheses and relate findings to the M&amp;E questions posed.</li> </ul> <p><u>Explain</u> that quantitative analysis can be used to answer questions like the following:</p> <ul style="list-style-type: none"> <li>▪ What is the percent distribution?</li> <li>▪ What is the average?</li> <li>▪ How do participants rate the usefulness and relevance of the program?</li> <li>▪ How much variability is there between different client groups?</li> <li>▪ What is the relationship between a program and the outcomes?</li> <li>▪ How strong is the relationship?</li> <li>▪ Are the results statistically significant?</li> </ul>

Slide 47	Qualitative Data Analysis
	<p><u>Point out</u> that qualitative data analysis involves observing or describing a certain phenomena, classifying it, and seeing how concepts interconnect. <u>Mention</u> that it includes drawing out certain themes from what was observed, discussed, etc., to understand processes, behaviors, and conditions as perceived by the groups or individuals being studied.</p> <p><u>Tell</u> participants that qualitative analysis is used to interpret, examine, compare and contrast, and understand relevant patterns or themes within data. <u>Note</u> that relevance will need to be assessed on the basis of the stated objectives of the program and M&amp;E questions that need to be addressed.</p> <p><u>Explain</u> that qualitative analysis can involve different approaches, such as ethnographic techniques, narrative analysis, discourse analysis, and textual analysis. The selection of specific qualitative data analysis methods will need to be based on the types of data being analyzed.</p> <p>Source: Division of Research, Evaluation and Communication, National Science Foundation. (1997). Part II. Overview of qualitative methods and analytic techniques. In J. Frechtling &amp; L. Sharp (Eds.), <i>User-friendly handbook for mixed method evaluations</i>. Retrieved from <a href="http://www.ehr.nsf.gov/EHR/REC/pubs/NSF97-153/START.HTM#TOC">http://www.ehr.nsf.gov/EHR/REC/pubs/NSF97-153/START.HTM#TOC</a></p>

	<p>Qualitative analysis can be used to answer questions like the following:</p> <ul style="list-style-type: none"> <li>▪ Is the intervention being implemented according to plan?</li> <li>▪ What are some of the difficulties faced by staff?</li> <li>▪ Why did some participants drop out early?</li> <li>▪ What is the experience like for participants?</li> <li>▪ Is there any unexpected impact on families and communities</li> </ul>
<b>Slide 48</b>	<b>Integrated Approach</b>
	<p><u>Tell</u> participants that although the two approaches differ substantially in their objectives and characteristics, quantitative and qualitative analysis methods are highly complementary.</p>

# **Facilitator Guide:**

## **Module 10**

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## MONITORING AND EVALUATION FOR NATIONAL PROGRAM PLANNING AND MANAGEMENT: FACILITATOR GUIDE

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### MODULE 10

#### Sharing M&E Findings—90 minutes

Slide	Facilitator Notes
Slide 1	<b>Sharing M&amp;E Findings [Title Slide]</b>
	<p><u>Explain</u> that during this session, participants will:</p> <ul style="list-style-type: none"><li>▪ Learn the importance of sharing monitoring and evaluation (M&amp;E) findings</li><li>▪ Discuss what, with whom, when, and how to share M&amp;E data</li><li>▪ Learn ways to share M&amp;E data</li></ul> <p><b>Materials Needed</b></p> <ul style="list-style-type: none"><li>▪ Slides 1–36</li><li>▪ Participant manual (PM) (pages 155–174)</li><li>▪ Flipchart paper and markers</li></ul>
Slide 2	<b>The M&amp;E Navigator</b>
	<p><u>Note</u> where the participants are in the training on the map. <u>Explain</u> that in covering the last step in the M&amp;E navigator, the group will discuss the importance of and ways for sharing M&amp;E findings for use by program stakeholders. <u>Point out</u> that this module explains how to decide what to share and how and when to share data. <u>Mention</u> that the module also provides an overview of various <b>visual aids</b> that can be used to display data.</p>

<b>Slide 3</b>	<b>Why Share M&amp;E Findings?</b>
	<p><u>Explain</u> the following reasons why participants and their key stakeholders should share findings from the M&amp;E activities:</p> <ul style="list-style-type: none"> <li>▪ To improve program management functions</li> <li>▪ To enhance stakeholder support</li> <li>▪ To advocate for additional resources and/or policies</li> <li>▪ To contribute to the global knowledge of what works</li> </ul>
<b>Slide 4</b>	<b>Improve Program Management</b>
	<p><u>Explain</u> that sharing M&amp;E findings about a program can help improve the management of that program in a variety of ways, including the following:</p> <ul style="list-style-type: none"> <li>▪ Help program staff understand how and why the program is working</li> <li>▪ Highlight program strengths and accomplishments</li> <li>▪ Improve program planning</li> <li>▪ Identify gaps in program implementation</li> <li>▪ Identify future program needs</li> <li>▪ Help future decision making about the best use of resources</li> </ul>
<b>Slide 5</b>	<b>Enhance Stakeholder Support</b>
	<p><u>Explain</u> that sharing M&amp;E findings with key external stakeholders can help strengthen a program in a variety of ways, including the following:</p> <ul style="list-style-type: none"> <li>▪ Help stakeholders and the community understand what the program is doing</li> <li>▪ Help ensure social, financial, and political support</li> <li>▪ Help a program establish or strengthen its network of individuals and organizations with similar goals</li> </ul>



Slide 6	Advocate
	<p><u>Explain</u> that sharing M&amp;E findings with key stakeholders, especially funding agencies, can also be a way to advocate for additional resources and/or policies for a program in a variety of ways, including the following:</p> <ul style="list-style-type: none"> <li>▪ Help raise awareness of the program among the public, policy makers, and donors</li> <li>▪ Strengthen funding proposals—regular documentation and dissemination of results and lessons learned from M&amp;E can be impressive to donors and can serve as a basis for increasing or sustaining support for programs</li> </ul>
Slide 7	Contribute to Knowledge of What Works
	<p><u>Explain</u> that sharing information with key stakeholders can also be a way to contribute to knowledge that all programs in a particular region or country or those with a similar focus can draw on by allowing others to learn from experience gained from implementing a program and by contributing to a body of lessons learned and best practices that can strengthen all HIV/AIDS programs.</p>
Slide 8	Your Audience
	<p><u>Explain</u> that many possible audiences may need to review and use findings generated from M&amp;E activities. <u>Mention</u> that some of the most common audiences are as follows:</p> <ul style="list-style-type: none"> <li>▪ Beneficiaries</li> <li>▪ Surveillance system personnel</li> <li>▪ HIV/AIDS program managers</li> <li>▪ The participants' own program staff</li> <li>▪ Politicians/policy makers</li> <li>▪ Donors/international agencies</li> <li>▪ The private sector</li> <li>▪ Media</li> </ul>

Slides 9–10	What to Share
	<p><u>Explain</u> that once a decision has been made regarding why and with whom to share M&amp;E data, the next step will be to determine what specific information needs to be shared. <u>Mention</u> that in making this determination, it may be helpful for participants to:</p> <ul style="list-style-type: none"> <li>▪ Know the audience members and their information needs and expectations</li> <li>▪ Know what is required—What do they use data for? How often do they need information?</li> </ul> <p><u>Note</u> the following examples of specific information that audiences may be interested in:</p> <ul style="list-style-type: none"> <li>▪ Program objectives, activities, and results</li> <li>▪ Related measures and indicators</li> <li>▪ How data were collected and analyzed</li> <li>▪ Facts and figures (quantitative data) and descriptive data (qualitative data)</li> <li>▪ Differences between what was intended and what happened</li> <li>▪ Successes and lessons learned</li> <li>▪ What could be done differently</li> <li>▪ Options for the way forward</li> </ul> <p><u>Point out</u> that knowing the audience members and what their information needs are will help in selecting an appropriate format for presenting the data to the audience.</p>

Slide 11	When to Share
	<p><u>Explain</u> that participants also may want to consider the best time to share findings from M&amp;E activities, keeping in mind the following:</p> <ul style="list-style-type: none"> <li>▪ M&amp;E results should be disseminated and used throughout a program cycle or year, not just at the end.</li> <li>▪ To the extent possible, dissemination of M&amp;E data can be linked to donor reporting and budget cycles. Even if this is not required by donors, regular documentation and dissemination of results and lessons learned from M&amp;E can be impressive to donors and can serve as a basis for increasing or sustaining support for programs.</li> <li>▪ Appropriate timing can increase the attention given to data (e.g., releasing information on World AIDS Day or at major HIV/AIDS or donor conferences, not releasing routine health data during major events such as election campaigns).</li> </ul>
Slide 12	Activity: Whom Do You or Could You Share Information With?
<p><b><i>PM pages 158–159</i></b></p>	<p><u>Ask</u> participants to turn to <b>Activity 10.1</b> in the participant manual (pages 158–159). <u>Point out</u> that they can work alone or in a group on this activity. Instruct them to use Table 10.1 to provide examples of whom they share information with, what information they share, and how often they share information. <u>Ask</u> participants to give four examples.</p>

Slide 13	How to Share Information
	<p><u>Explain</u> that there are many ways in which M&amp;E data can be shared. <u>Mention</u> some of the most useful and common ways of sharing this information:</p> <ul style="list-style-type: none"><li>▪ Reports</li><li>▪ Presentations</li><li>▪ Press conferences</li><li>▪ Memos</li><li>▪ Success stories</li><li>▪ Radio spots</li><li>▪ Posters</li><li>▪ Fact sheets</li><li>▪ Brochures</li></ul> <p><u>Tell</u> participants that the group will not spend a lot of time discussing these ways to communicate at this time. <u>Ask</u> them to refer to Table 10.2 on page 160 of the participant manual which lists these ways to communicate, along with some of their strengths and weaknesses.</p>

Slide 14	Discussion
<p><b>PM pages 162–167</b></p>	<p><u>Ask</u> participants the following questions and list their responses on flipchart paper:</p> <ul style="list-style-type: none"> <li>▪ What formats have you used or seen used to communicate data?</li> <li>▪ What do you see as the advantages and disadvantages of each format?</li> <li>▪ Were these successful in disseminating and communicating findings with the given audience?</li> <li>▪ What do you think contributed to the success?</li> <li>▪ Do you know of other ways data can be shared with stakeholders?</li> </ul> <p><u>Discuss</u> these responses as a group.</p> <p><u>Refer</u> participants to Parts 1 and 2 of <b>Activity 10.2</b> in the participant manual (pages 162–167) as an alternative to this discussion.</p>

Slides 15–35	Visual Aids
	<p><b>[Slide 15]</b></p> <p><u>Point out</u> that in some cases, participants may find it helpful to use visual aids when sharing data. <u>Explain</u> that visual aids are ways to present data that are easier to understand than if the information were in text. <u>Mention</u> that, ideally, visual aids should convey an understanding about the data that would not be readily apparent if they were described in text.</p> <p><b>[Slide 16]</b></p> <p><u>Note</u> that any presentation can be improved by the use of appropriate visual aids, such as the following:</p> <ul style="list-style-type: none"> <li>▪ Tables</li> <li>▪ Charts <ul style="list-style-type: none"> <li>• Line graphs</li> <li>• Bar graphs</li> <li>• Pie charts</li> </ul> </li> <li>▪ Maps</li> <li>▪ Photographs</li> </ul> <p><b>[Slides 17–35]</b></p> <p><u>Review</u> the examples of the most common visual aids.</p>
Slide 36	Activity: Develop Visual Aids for the Information Provided
<b>PM pages 171–172</b>	<p><u>Ask</u> participants to turn to <b>Activity 10.3</b> in the participant manual (pages 171–172). <u>Point out</u> that they can work on this activity individually or in a small group. <u>Instruct</u> them, for each case outlined, to develop a visual aid for the information provided.</p>

# **Facilitator Guide:**

## **Module 11**

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## MONITORING AND EVALUATION FOR NATIONAL PROGRAM PLANNING AND MANAGEMENT: FACILITATOR GUIDE

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### MODULE 11

#### Building M&E Capacity and Assessing Readiness—240 minutes

Slide	Facilitator Notes
Slide 1	Building M&E Capacity and Assessing Readiness [Title Slide]
	<p>During this session, participants will:</p> <ul style="list-style-type: none"><li>▪ Discuss the importance of building monitoring and evaluation (M&amp;E) capacity</li><li>▪ Review an organizing framework for a functional national HIV M&amp;E system</li><li>▪ Discuss considerations for developing an M&amp;E plan</li><li>▪ Discuss the importance of assessing M&amp;E readiness</li><li>▪ Review key considerations in assessing readiness</li></ul> <p><b>Materials Needed</b></p> <ul style="list-style-type: none"><li>▪ Slides 1–33</li><li>▪ Participant manual (PM) (pages 175–184)</li><li>▪ M&amp;E readiness assessment tool (Appendix F of the PM)</li><li>▪ Training evaluations</li><li>▪ Certificates of completion</li><li>▪ Index cards with cultural proverbs</li><li>▪ Flipchart paper and markers</li></ul>



Slide 2	M&E Capacity Building
	<p><u>Point out</u> that so far, the training has reviewed and discussed key concepts, methods, terminology, principles, and frameworks that support the integration of M&amp;E into HIV programmatic activities. <u>Note</u> that many of the participants will not only be involved in the implementation of one or a range of M&amp;E activities, but may also be charged with helping to build the M&amp;E capacity of programs they manage or provide technical assistance (TA) to.</p>
Slide 3	Making M&E a Routine Part of a Program...
	<p><u>Tell</u> participants that before M&amp;E can become a mainstay within programs, a concerted effort is needed to ensure that mechanisms are in place for the following:</p> <ul style="list-style-type: none"> <li>▪ Supporting program staff, partners, consultants, or other implementers of M&amp;E activities in performing their jobs effectively</li> <li>▪ Ensuring that there are enough resources to carry out and sustain M&amp;E activities</li> <li>▪ Assisting organizations, agencies, and institutions in establishing and maintaining comprehensive systems for planning, implementing, and managing the M&amp;E activities that support programs at the community, district, provincial (regional), and national levels</li> </ul>

Slide 4	What Is Capacity Building?
	<p><u>State</u> that capacity building is the process of improving the ability of persons, groups/organizations, and/or systems to meet objectives, address stakeholders' needs, and, ultimately, perform better.</p> <p><i>Source: Centers for Disease Control and Prevention/Global AIDS Program and Macro International Inc. (2006). Building national HIV/AIDS monitoring and evaluation capacity: A practical guide for planning, implementing, and assessing capacity building of HIV/AIDS monitoring and evaluation systems—Draft (p. 6). Atlanta, GA: Macro International Inc.</i></p> <p><u>Explain</u> that capacity building focuses on strengthening the knowledge, skills, and abilities of individuals, groups/organizations, and/or systems through various processes and activities so the program can better perform tasks related to achieving its particular goals and objectives.</p> <p><u>State</u> that in addition to developing and implementing strategies for enhancing performance, capacity building also must include processes for tracking and adapting capacity and performance to continue to meet the needs of HIV/AIDS programs.</p>

Slide 5	Why Is Capacity Building Important?
	<p><u>Explain</u> that in the past, M&amp;E often was seen as a funder-mandated activity to support accountability efforts solely at the program level. Note that this perspective fostered a climate where the development of M&amp;E capacity within organizations and at district, provincial, and national program levels was considered a low priority by many development agencies and governments.</p> <p><u>Mention</u> that with the steady growth of HIV/AIDS, many countries have increased their commitment and funding dedicated to fighting the epidemic. <u>Note</u> that the increased commitment and funding have resulted in a growing global demand for accountability, program improvement, and increased knowledge about what works and why and, hence, the need for building M&amp;E capacity to enhance decision-making processes at all levels.</p>

Slides 6–7	Organizing Framework for an M&E System
	<p><u>Explain</u> to participants that in 2004, global partners agreed on the Three Ones as management principles to guide countries' responses to HIV:</p> <ul style="list-style-type: none"> <li>▪ One agreed HIV/AIDS Action Framework that provides the basis for coordinating the work of all partners</li> <li>▪ One National AIDS Coordinating Authority, with a broad-based multisector mandate</li> <li>▪ One agreed country-level Monitoring and Evaluation System</li> </ul> <p><u>Point out</u> that in support of the third One, through a subcommittee of the UNAIDS (Joint United Nations Programme on HIV/AIDS) Monitoring and Evaluation Reference Group, development partners created an organizing framework for a functional national, multisectoral HIV M&amp;E system.</p> <p><u>Tell</u> participants that the organizing framework presents 12 components of an M&amp;E system, which are considered to be relevant across national-level partners (including national AIDS coordinating authorities, ministries of health, umbrella organizations for civil society and the private sector, and other government ministries) and subnational-level partners (including local governments, health facilities, and other implementers of HIV services).</p> <p><u>State</u> that the framework is intended to facilitate the following:</p> <ul style="list-style-type: none"> <li>▪ Identification of strengths and weaknesses of the existing M&amp;E systems</li> <li>▪ Development of a national plan for M&amp;E system implementation</li> <li>▪ Coordination of investments in M&amp;E</li> <li>▪ Monitoring of progress toward a fully functional national HIV M&amp;E system</li> </ul>

Slides 8–11	12 Components of a Functioning M&E System
	<p><b>[Slide 8]</b></p> <p><u>Explain</u> that this diagram illustrates the 12 components of a functioning M&amp;E system.</p> <p><u>Point out</u> the following:</p> <p><b>[Slide 9]</b></p> <ul style="list-style-type: none"> <li>▪ The outer ring represents the planning, human resources, and partnerships that support data collection and data use:             <ul style="list-style-type: none"> <li>• Organizational structures with HIV M&amp;E functions</li> <li>• Human capacity for HIV M&amp;E</li> <li>• Partnerships to plan, coordinate, and manage the HIV M&amp;E system</li> <li>• National, multisectoral HIV M&amp;E plan</li> <li>• Annual, costed, national HIV M&amp;E work plan</li> <li>• Advocacy, communications, and culture for HIV M&amp;E</li> </ul> </li> </ul> <p><b>[Slide 10]</b></p> <ul style="list-style-type: none"> <li>▪ The middle ring focuses on the key functions of the system—collecting, capturing, and verifying data:             <ul style="list-style-type: none"> <li>• Routine HIV program monitoring</li> <li>• Surveys and surveillance</li> <li>• HIV evaluation, research, and learning agenda</li> <li>• National and subnational HIV M&amp;E databases</li> <li>• Supportive supervision and data auditing</li> </ul> </li> </ul> <p><b>[Slide 11]</b></p> <ul style="list-style-type: none"> <li>▪ The center of the diagram represents the central purpose of the M&amp;E system—using data for decision making:             <ul style="list-style-type: none"> <li>• Data dissemination and use</li> </ul> </li> </ul>

Slide 12	M&E Plan
	<p><u>Point out</u> that as mentioned earlier, several key processes must be in place in order to create a context for strengthening M&amp;E knowledge, skills, and capabilities of individuals (e.g., program staff), agencies, and/or systems that support HIV programs at the community, district, provincial, and national levels. <u>Mention</u> that one essential element is the development and implementation of M&amp;E plans.</p> <p><u>Explain</u> that an M&amp;E plan is a documented plan for tracking the specific M&amp;E activities that need to be carried out and the required resources needed to do them. <u>Tell</u> participants that an M&amp;E plan outlines the following:</p> <ul style="list-style-type: none"> <li>▪ What will be monitored and/or evaluated</li> <li>▪ What data are needed and will be collected</li> <li>▪ How the data will be used</li> <li>▪ How M&amp;E activities will be managed and supported</li> </ul> <p><u>Explain</u> that an M&amp;E plan will provide participants with a practical framework for implementing or supporting M&amp;E activities of programs they currently manage or provide TA to. <u>Highlight</u> that such a plan can serve as a reference point for other stakeholders as well. <u>Point out</u> that, ideally, an M&amp;E plan is developed during the design and planning phases of a program.</p> <p><u>Point out</u> that the development of M&amp;E plans is beyond the scope of this training. However, <u>explain</u> that the group will take a few minutes to review and discuss the key elements of an M&amp;E plan. <u>Mention</u> that at the close of the training, the group can discuss ways in which participants can receive additional TA in developing an M&amp;E plan for a program they manage or support.</p>

Slide 13	Key Elements of an M&E Plan
	<p><u>Review</u> the key elements of an M&amp;E plan:</p> <ul style="list-style-type: none"> <li>▪ Description of the program</li> <li>▪ Purpose of M&amp;E activities and objectives</li> <li>▪ M&amp;E questions</li> <li>▪ Description of what data will be collected</li> <li>▪ Methods for collecting, managing, and sharing data</li> <li>▪ Descriptions of who will implement various aspects of the plan</li> <li>▪ Resources needed to implement the plan or complete M&amp;E activities</li> <li>▪ Timeline for when M&amp;E activities will be carried out and completed</li> </ul>
Slides 14–15	Description of the Program
	<p><u>Explain</u> that three key components should be included in the program description:</p> <ul style="list-style-type: none"> <li>▪ Program summary narrative</li> <li>▪ Description of program components</li> <li>▪ Program logic model</li> </ul> <p><b>[Slide 14]</b></p> <p><b>Program narrative:</b></p> <p><u>Explain</u> that the program summary narrative should describe the following:</p> <ul style="list-style-type: none"> <li>▪ The problem or situation that the program seeks to address</li> <li>▪ The program goals and objectives as part of the overall description of the program</li> <li>▪ How the program will improve the problem or situation (inputs and activities)</li> <li>▪ The expected changes that will occur as a result of the program (outputs and outcomes)</li> </ul>

**[Slide 15]**

**Description of program components:**

Explain that participants should consider the different components of their program—problem statement, inputs, activities, outputs, outcomes, and impacts—and provide descriptions of these in greater, more specific detail than what is briefly given in the program narrative.

**Program logic model:**

Explain that in order for end users of the plan to better understand how program components work toward reaching the stated program objectives, participants may find it helpful to graphically display the functional relationships between the components using a logic model. Point out that they can refer back to Module 4 on describing a program and the draft logic models they created earlier for more guidance on this process.

Remind participants that they can start at any point within the logic model, but a suggested framework for creating a logic model includes the following steps:

1. **Identify the problem statement**—What is the problem requiring intervention?
2. **Identify outcomes**—What would it look like if this problem were resolved?
3. **Identify activities**—What activities must be implemented to bring about these results?
4. **Identify outputs**—How much of these activities need to be done to achieve the desired results?
5. **Identify inputs**—What resources are needed to achieve the level of output required?



Slide 16	Purpose of M&E Activities and Objectives
	<p><u>Explain</u> that now that participants have provided a description of the program, the next step is to outline the specific purpose of their M&amp;E activities and related objectives. <u>Review</u> the following examples of M&amp;E objectives:</p> <ul style="list-style-type: none"> <li>▪ To learn how and to what extent the program will achieve its objectives</li> <li>▪ To describe the anticipated outcomes of the program's efforts</li> <li>▪ To determine how outcomes will inform decision making</li> </ul>
Slide 17	M&E Questions
	<p><u>Tell</u> participants that they will need to identify the M&amp;E questions that can be used to guide a program's M&amp;E efforts. <u>Remind</u> participants to consider the information they and their stakeholders need/want, as well as its purpose, when developing the M&amp;E questions.</p> <p><u>Mention</u> that they also will need to prioritize M&amp;E questions that will best get the information they need. <u>Remind</u> participants that they may want to take into account the resources available and an implementing organization's capacity when prioritizing questions.</p> <p><u>Explain</u> that they need to ensure that each question is measurable so it is clear what information they need to obtain. <u>Ask</u> participants to refer back to Module 6 for more details on M&amp;E questions.</p>

Slide 18	Description of What Data Will Be Collected
	<p><u>Remind</u> participants that although there is a lot of data that could be collected about a program, they or the organizations they support probably do not have the time, resources, money, or interest in collecting all possible data on a program.</p> <p><u>Remind</u> participants that they, therefore, will need to prioritize what data will need to be collected and describe these within the M&amp;E plan.</p> <p><u>Tell</u> participants that when they outline what data will be collected, they need to be sure to:</p> <ul style="list-style-type: none"> <li>▪ Describe the data needed to answer the M&amp;E questions</li> <li>▪ Describe the relevant measures and indicators</li> <li>▪ Outline potential sources for the data</li> </ul>
Slides 19–21	Methods for Collecting, Managing, and Sharing Data
	<p><b>[Slide 19]</b></p> <p><b>Data Collection</b></p> <p><u>Tell</u> participants to think carefully about where they will gather the data on the selected measures and indicators. <u>Point out</u> that collecting new information can be expensive and time-consuming. Therefore, their first step should be to determine whether existing data sources have the information they need.</p> <p><u>Explain</u> that during this process, participants should list the data collection tools they have and describe what they are used for (what data they collect), then they can also list the data collection tools they may need to develop or obtain and what data needs these tools will address. <u>Mention</u> that participants also should outline the specific data collection method each tool is linked to.</p>

**[Slide 20]**

**Data Management**

Explain that in the data management process, participants should describe *who* will process data and *what, when, where, and how* data will be processed (data entry, cleaning, analysis, and synthesis). State that they also need to describe the data storage systems that will be used and data quality assurance processes. Lastly, explain that it may be helpful to include a data flow diagram that describes data processes, storage sites, data sources, and data end points for the program.

**[Slide 21]**

**Data Dissemination**

Explain that during this process, it is important to describe what information will be shared; with whom (e.g., internal and external stakeholders); reasons for sharing this information (e.g., program improvement, advocacy, increased stakeholder support, sharing of lessons learned and best practices, accountability); when it will be shared (e.g., timelines, schedules); and how it will be shared; (e.g., reports, presentations, press conferences, memos, success stories, radio spots, posters, fact sheets, brochures).

Slide 22	Descriptions of Who Will Implement Various Aspects of the Plan
	<p><u>Remind</u> participants that the programs they manage or support will involve program staff, organizational administrative staff, and other stakeholders. <u>State</u> that depending on the available resources and time, the M&amp;E activities may be carried out by these individuals, may require the use of external experts/consultants, or may involve a combination of both.</p> <p><u>Note</u> that regardless of who is involved in M&amp;E activities, it will be important for participants to clearly describe the roles and responsibilities of those who will be involved.</p> <p><u>Point out</u> to participants that in the event they decide they will need external expertise, it may be helpful to specifically describe the following:</p> <ul style="list-style-type: none"> <li>▪ The external consultants' scope of work</li> <li>▪ Whether the individuals have formal training to conduct M&amp;E activities</li> <li>▪ Previous M&amp;E-related experience and prior experience working with similar programs</li> <li>▪ Timeline and processes for communication</li> </ul>

Slide 23	Resources Needed to Implement the Plan
	<p><u>Explain</u> that participants should include a summary of resources needed and the associated cost (i.e., budget) to implement the proposed M&amp;E activities. <u>Point out</u> that as participants work with program staff and stakeholders to set M&amp;E budget priorities, they will need to consider their organization's resources (i.e., human, financial, and material) and capacity.</p> <p><u>Mention</u> that to develop the budget, participants should consider the costs of the following:</p> <ul style="list-style-type: none"> <li>▪ Administrative costs</li> <li>▪ Program staff compensation (e.g., salary, benefits)</li> <li>▪ Consultants</li> <li>▪ Travel</li> <li>▪ Communication</li> <li>▪ Printing and duplication</li> <li>▪ Materials</li> <li>▪ Training</li> </ul> <p><u>Tell</u> participants that they also should consider their costs in the context of the following M&amp;E-related tasks:</p> <ul style="list-style-type: none"> <li>▪ Development of the M&amp;E plan</li> <li>▪ Analysis of stakeholder needs</li> <li>▪ Development of M&amp;E questions</li> <li>▪ Selection of indicators and identification of data sources</li> <li>▪ Data collection</li> <li>▪ Data management: <ul style="list-style-type: none"> <li>• Entry</li> <li>• Synthesis</li> <li>• Cleaning</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>• Storage</li> <li>• Analysis</li> <li>▪ Data quality assurance</li> <li>▪ Dissemination of M&amp;E findings</li> </ul> <p><u>Point out</u> to participants that when developing the budget, they may want to include justifications that describe in detail the budget items and provide an explanation of the factors used to determine the costs. <u>Mention</u> that they also may want to include the period the budget will cover (e.g., September 2007 through August 2008).</p> <p><u>Suggest</u> that participants check with in-country resources and TA providers (e.g., M&amp;E officers, donor agencies, government agencies, National AIDS Council) for assistance with developing M&amp;E budgets.</p>
<b>Slide 24</b>	<b>Timeline for Completing M&amp;E Activities</b>
	<p><u>Explain</u> that knowing when various related M&amp;E tasks will be carried out is essential for ensuring the timely completion of activities and dissemination of findings to stakeholders. <u>Tell</u> participants that including a timeline for M&amp;E activities will help those responsible for keeping track of the various tasks and activities scheduled. <u>Mention</u> that it will be important to also regularly update the timeline and ensure that all involved are aware of changes and important dates.</p> <p><u>Point out</u> that participants may want to include sections for the following in their timeline:</p> <ul style="list-style-type: none"> <li>▪ M&amp;E activities or critical events</li> <li>▪ Responsible individuals for each activity</li> <li>▪ Target completion dates completion date</li> </ul>

Slides 25–27	Determining M&E Readiness
	<p><b>[Slide 25]</b></p> <p><u>Explain</u> that not all programs are equally ready to develop an M&amp;E plan. <u>Note</u> that getting a general sense of a program’s readiness to support M&amp;E activities is a first step in making M&amp;E a routine part of a program.</p> <p><b>[Slide 26]</b></p> <p><u>Remind</u> participants that the information covered in this course and the activities they completed were designed to help them complete questions on the readiness assessment tool (Appendix F of the participant manual). <u>Explain</u> that their efforts to answer these questions and thus assess their organization’s readiness will help them determine the status of the following:</p> <ul style="list-style-type: none"> <li>▪ Key M&amp;E priorities for the program or programs they provide TA to</li> <li>▪ The relationship of these priorities to the national agenda and/or PEPFAR (President’s Emergency Plan for AIDS Relief)</li> <li>▪ Specific M&amp;E data needs</li> <li>▪ Resources available or needed to support M&amp;E activities</li> <li>▪ Essential elements/components within the M&amp;E structure</li> </ul> <p><b>[Slide 27]</b></p> <p><u>Explain</u> that assessing M&amp;E readiness can help an organization determine the status of the following:</p> <ul style="list-style-type: none"> <li>▪ Political will or key stakeholder support for M&amp;E</li> <li>▪ Current technical and organizational (institutional) capacities to initiate and manage ongoing M&amp;E activities</li> <li>▪ Technical and organizational (institutional) capacity needed to support ongoing M&amp;E activities</li> <li>▪ Efforts to identify priorities and strategies for strengthening M&amp;E efforts</li> </ul>

Slides 28–29	What Is Needed to Support Readiness?
	<p data-bbox="427 249 1419 394"><u>Point out</u> that as participants assess whether the essential elements are in place to support their organization's M&amp;E system, it may be helpful for them to think about the following:</p> <ul data-bbox="456 415 1390 947" style="list-style-type: none"><li data-bbox="456 415 906 447">▪ M&amp;E human resource needs</li><li data-bbox="456 468 1032 499">▪ M&amp;E goals, objectives, and questions</li><li data-bbox="456 520 1166 552">▪ Key indicators, baseline measures, and targets</li><li data-bbox="456 573 1084 604">▪ Plan for data collection and management</li><li data-bbox="456 625 1008 657">▪ Plan for data use and dissemination</li><li data-bbox="456 678 1325 779">▪ Budgetary needs to support M&amp;E (proportional to program resources)</li><li data-bbox="456 800 1008 831">▪ Processes for operationalizing M&amp;E</li><li data-bbox="456 852 1338 947">▪ Strategies for strengthening M&amp;E technical and institutional capacity</li></ul>



Slides 30–31	General Readiness to Implement M&E
	<p><u>Suggest</u> that participants consider the following questions when thinking about whether there is general readiness to implement M&amp;E:</p> <ul style="list-style-type: none"> <li>▪ Is there a willingness to incorporate M&amp;E in a program?</li> <li>▪ Have the intended users of information generated from M&amp;E activities been identified?</li> <li>▪ Is there a logic model describing planned implementation and outcomes?</li> <li>▪ Have M&amp;E questions been identified that address stakeholders' needs?</li> <li>▪ Have specific uses for the findings from M&amp;E data been identified?</li> <li>▪ Have the data needed to answer high-priority questions been identified?</li> <li>▪ Are the needed data available or feasible to collect?</li> <li>▪ Have evaluation resources been secured?</li> <li>▪ Have data collection, management, and analysis procedures been developed?</li> <li>▪ Is there a strategy to disseminate and use the evaluation findings?</li> </ul>
Slide 32	Activity: Your M&E Readiness Assessment
<b>PM page 182</b>	<p><u>Ask</u> participants to turn to <b>Activity 11.1</b> in the participant manual (page 182). <u>Point out</u> that they can complete this activity individually or in a small group. <u>Instruct</u> participants to review each question in the M&amp;E readiness assessment tool (Appendix F). For the program they currently work on or provide TA to, <u>ask</u> them to write a brief description of the status of the activity; the related actions/next steps; responsible parties and timeline; resources needed; and TA needs.</p>

<b>Slide 33</b>	<b>Discussion</b>
	<p>For the large group discussion, <u>ask</u> a few participants to present a summary of the readiness assessments and discuss highlights, challenges, and next steps.</p> <p>After the presentations, <u>ask</u> participants to think about similarities and differences between the assessments, as well as how they might be able to learn and gain resources from other colleagues who are further along in the M&amp;E system development process.</p>
<b>No Slide</b>	<b>Review/Summarize</b>
	<p><u>Review</u> key concepts from the overall training, using the M&amp;E navigator as a reference. <u>Use</u> this time to answer participants' questions, comments, and next steps and to address any other items that were not covered.</p>
<b>No Slide</b>	<b>Planning for Next Steps</b>
	<p><u>Ask</u> participants to identify one thing they were glad to have seen, heard, or done during the course of the training and one thing they wish they had seen, heard, or done during the training. <u>Ask</u> participants to share their answers. Write the answers on the flipchart paper or on Post-it Notes. <u>Do not make</u> specific comments to any particular answer, just make an overall closing statement about feedback (e.g., "these are all good pieces of information for us, and we will take these into consideration when planning future trainings with similar audiences"). <u>Discuss</u> next steps for follow-up training and TA.</p>

No Slide	Closing and Training Evaluation
	<p><u>Explain</u> to participants that the training has now come to an end and it is time for the facilitators to learn from the participants. <u>Say</u> that you are eager to know what they thought of the course and <u>ask</u> them to complete an evaluation form so that you can get a better sense of their overall experience with the training as well as some suggestions for improving it. <u>Pass out</u> the evaluation. <u>Give</u> participants 20 minutes to complete it. Be sure to <u>thank</u> them when you collect the completed evaluations.</p> <p><b>Certificates of Completion</b></p> <p><u>Explain</u> to participants that you hope they have gotten a lot out of the training and you appreciate them taking time out of their busy schedules to participate in this course. <u>Acknowledge</u> all of the hard work and effort the participants put into the training and the subsequent work they and their program staff will put into integrating M&amp;E program activities.</p> <p><u>Announce</u> that all participants will receive a certificate of completion as a small token of thanks and appreciation for their participation. <u>Ask</u> each participant to come forward and receive the certificate when their name is called. <u>Distribute</u> the certificates and give a round of applause, if appropriate.</p>
No Slide	“Proverbs” Closing Activity
	<p><u>Distribute</u> index cards with cultural proverbs to everyone in the group. <u>Explain</u> that everyone will read a proverb and explain how the proverb relates to M&amp;E. <u>Provide</u> an example by selecting a proverb, reading it aloud, and explaining what you think it means and how it relates to M&amp;E. After all participants have read and explained a proverb, <u>point out</u> how much everyone has learned throughout the training and <u>thank</u> everyone for their participation.</p>



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