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OUTCOME AND IMPACT ORIENTATION

in the projects and programmes of Welthungerhilfe

Part II: Outcome and impact orientation step by step

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LIST OF ABBREVIATIONS

DAC   Development Assistance Committee (OECD)
DFID   Department for International Development
M&E   Monitoring and Evaluation
MDG(s)   Millennium Development Goal(s)
NGO   Non-governmental organisation
OECD   Organisation for Economic Cooperation and Development
PPM   Project planning matrix

INTRODUCTION

<div style="text-align:right">**1**</div>

1.1 Background

Since the international community committed itself to achieving common development goals within the framework of the "Millennium Declaration" and the "Paris Declaration 2005", impact orientation has played an increasingly important international role in development co-operation. More then ever before, the donor community and non-governmental organisations (NGOs) are called upon to reliably prove that they use the provided funds effectively and that they make an obvious contribution towards development processes in their partner countries. To be able to provide this proof, explicit orientation towards outcome and impact is necessary when programmes and projects are planned, and outcomes/impacts have to be subsequently documented.

In its concept paper "Impact-oriented evaluation of overseas co-operation by Deutsche Welthungerhilfe" in 2003, Welthungerhilfe described its intention to monitor the outcomes/ impacts and effectiveness of its project work by means of an outcome and impact-oriented evaluation. The guiding principle of Welthungerhilfe's outcome and impact-oriented evaluation is to learn from successes and failures, to draw conclusions from mistakes and to continuously improve the outcomes and impacts of development co-operation with partners and target groups.

A Welthungerhilfe working group was commissioned to promote the process of implementing outcome and impact-oriented planning, monitoring and (self-) evaluation at Welthungerhilfe. The group's main task was to draw up guidelines defining Welthungerhilfe's understanding of outcomes and impacts and to offer practical assistance with the implementation of outcome and impact orientation during the planning, monitoring and evaluation of Welthungerhilfe projects.

To make the process as practice-oriented as possible, four projects were selected from Welthungerhilfe's portfolio and planned and implemented in accordance with outcome and impact-oriented criteria[1]. Both the experience gained in this pilot process and the existing know-how of programme managers, heads of project and partner organisations were incorporated in these guidelines.

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1   The planning workshops for the pilot projects (Pakistan, Madagascar, Peru, Congo) were documented in detail. If you are interested in reading these documents, the workshop documentation is available on a CD-Rom from Welthungerhilfe's head office.

1.2   Structure of guidelines

The guidelines are divided into three parts:

- **Part I** explains the **terms and background conditions** of outcome and impact-oriented project planning and localises outcome and impact orientation within the Welthungerhilfe project cycle.
- **Part II** is a practice-oriented document which describes the outcome and impact-oriented procedure in individual project phases **step by step** on the basis of a specific project example. Possible methods which may be used during implementation of the respective project phase – depending on type of project – are listed but not described in detail.
- **Part III** contains a list of instruments and **methods of carrying out outcome and impact orientation,** and it describes the advantages and limitations of the respective instruments. The selection is based for the most part on experience gained in Welthungerhilfe projects.

The guidelines will be improved and added to on a continual basis. Part III, in particular, should be seen as a dynamic document which is updated and extended constantly.[2] If, for example, a partner organisation or project achieves good experiences by applying new or different methods to those mentioned here, we are glad to add these methods to our guidelines. In this way, all those responsible for projects at Welthungerhilfe and its partner organisations can make use of the latest practice-oriented instructions promptly and in turn introduce their own practical experience.

1.3   Recipients of guidelines

The guidelines are intended primarily for the staff of Welthungerhilfe and partner organisations as well as external experts on short-term contracts who have been appointed to prepare and manage new projects or new phases in existing projects.

Secondly, they help decision-makers at Welthungerhilfe, such as members of management, the Board of Directors and Project Advisory Committees as well as external consultants who have been appointed, to carry out an evaluation. The guidelines represent an important point of reference which indicates whether and to what extent project planning, implementation, monitoring and evaluation (M&E) and reporting are outcome and impact-oriented.

Indirect recipients are also Welthungerhilfe's institutional donors and people interested in outcome and impact-oriented development co-operation, who can find out from the guidelines about relevant Welthungerhilfe processes and products and if applicable use these in their own work.

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2   The Division Knowledge Innovation Consultancy at Welthungerhilfe's head office is responsible for maintaining and updating the guidelines and documenting "best practices".

OUTCOME AND IMPACT ORIENTATION IN PROJECT PRACTICE

2

Outcome and impact orientation focuses on two key questions: **What should be achieved** and **what is actually achieved?** These two questions are asked repeatedly throughout the project cycle: they are considered when the project idea is developed and they influence each individual project phase. They are the focus of both intermediate and final evaluations. In practice, this means:

- Outcome and impact orientation is part of every phase. At the same time, outcome and impact orientation requires a different course of action, different mechanisms and methods in every phase.
- Outcome and impact orientation helps define and detail activities and outputs with a greater degree of precision during the course of a project. Ideally, outcome and impact orientation is the driving force behind continual observation, adjustment and improvement.
- Outcome and impact orientation can only work in coherency with monitoring. This helps to systematically examine outcomes and impacts, draw conclusions, increase levels of knowledge and, if necessary, make course adjustments.
- Outcome and impact orientation is often seen as an additional burden. However, it is an indispensable part of target-oriented project work.
- Outcome and impact orientation can only be useful if it is adapted to the financial and human capacities and timeframe of a project.

Hence:
There are no universally valid patterns or standards that are applicable to all projects. General principles have to be adapted to each individual project.

3 OUTCOME AND IMPACT ORIENTATION STEP BY STEP

Every phase of a project cycle has its own relationship to outcome and impact orientation (see Fig. 1). Thinking, planning and acting in an outcome and impact-oriented way has a different meaning means something different during the development of a project idea than it does in the final evaluation. One aspect that applies to the entire cycle and therefore always requires consideration is the avoidance of unintended, negative outcomes and impacts.

This chapter examines key questions relating to outcome and impact orientation, addresses specific problems and offers practical tips for each project phase. Methods are mentioned for the detailed steps. A variety of methods are available, as alternatives or as a basis for a possible combination. What is ultimately important is that methods that suit the respective context and project purpose are selected.

After a description of the individual steps, these guidelines demonstrate the ideal procedure on the basis of a practical example. An integrated rural development programme designed to achieve food security in Burkina Faso will be examined as an example.

All methods referred to in the individual steps but not examined in detail are described comprehensively in the Guidelines Part III relating to application.

Figure 1: Overview of project cycle
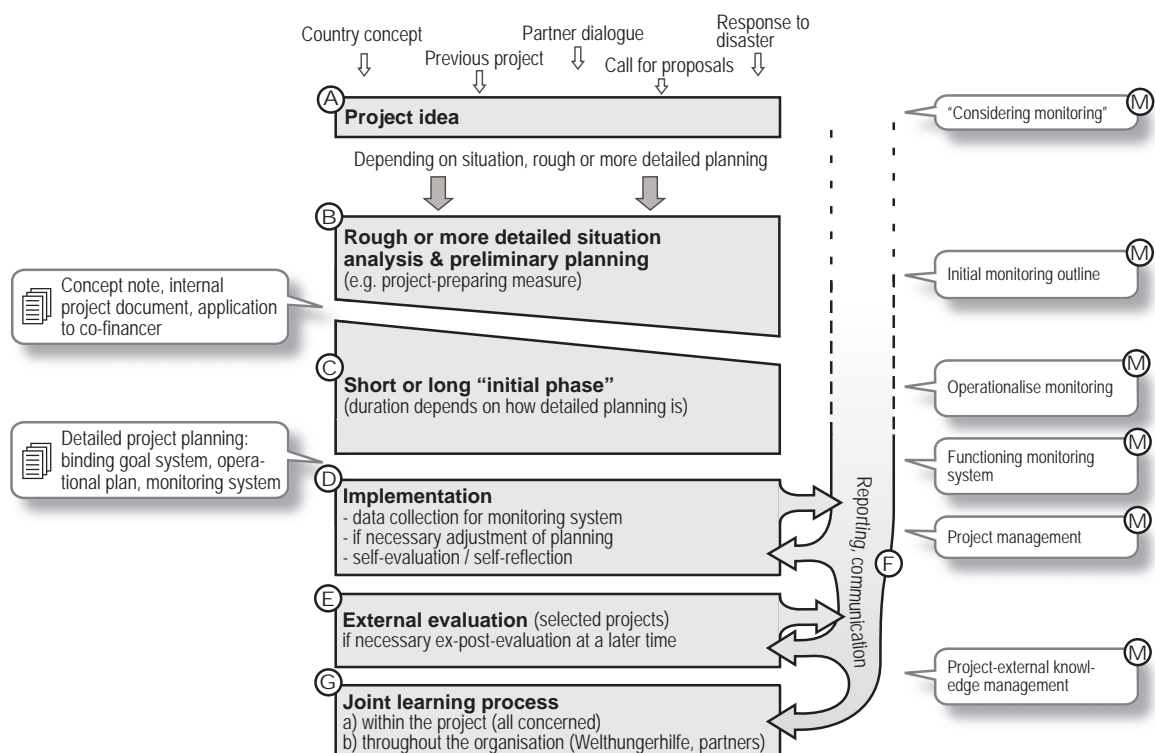
3.1   A, B: From project idea to internal project document

Even when country concepts are prepared and country programmes planned, the desired outcomes and impacts Welthungerhilfe's efforts should achieve in a country have to be clearly defined. Only when impact hypotheses are included in preliminary considerations can strategic alternatives be subsequently developed.

The first things we want to know are: What is the initial situation? What should we improve? What should we avoid? Only a situation analysis and a plan based on this analysis can adequately answer these questions. Specific information about all persons concerned, about the problems and the environment is required in order to define desired outcomes and impacts and to rule out the possible negative outcomes and impacts of a project. The situation analysis helps gear a project towards outcomes and impacts from the beginning by analysing problems and staking out a broader framework in which possible positive and negative outcomes/impacts may become apparent.

TIP

If a project idea is in its early phase or a relatively prompt reaction to a "call for proposals" is required, a rough situation analysis and planning are recommended. This analysis is carried out in greater detail at a later point in time. Detailed information is required to prepare an internal project document and also for more extensive applications for co-financers.

3.1.1 Situation analysis

The situation analysis can be divided into three steps (see following page). For preliminary planning, four further steps are necessary. In the following, the steps are presented in chronological order. In practice, however, a different order may occur. It is advisable to re-examine and, if necessary, revise early steps and conclusions. All steps can be developed by a team or individually.

For the steps of the situation analysis, available information about the future project region in the form of statistics, expert knowledge or previous knowledge from existing projects may be used. The data can also be collected and analysed with the help of the target group.

Whether or not a situation analysis workshop is held depends on available resources, time, staff and finances. Even if a planning workshop does not take place, it should be remembered that **the involvement of several persons in the planning process makes different perspectives possible.** There is often not enough time for intensive planning workshops. When a follow-up application is being processed, reference can be made to workshops which have already been carried out with the target group. In a workshop, available knowledge can be enhanced or data which is absolutely essential for project planning can be collected. The duration and location of a workshop depend on the respective goal.

NOTE

Avoid pseudo participations! If the target groups and other participants are involved in planning, it must be ensured that implementation corresponds to planning. Planning can raise high expectations among all participants. These have to remain realistic, otherwise participants lose their motivation when the plan is put into practice.

Table 1: The three steps of a situation analysis

	Step	Description of step	Methods
Situation analysis	① Clarify context of planned project	The political, legal, socio-cultural, economic and regional context of the future project is clarified. The aim is to identify important factors that influence the success of the project.	Livelihood analysis Conflict analysis "Do-no-harm" analysis
	② Stakeholder analysis	Helps analyse all stakeholders in the project, including their interests, problems and goals. As direct beneficiaries, the target groups constitute a sub-group. It is important that this group is analysed so that groups that are especially affected can be identified. This analysis can also identify possible project "losers". The project could have negative outcomes/impacts on these people and these should be ruled out in advance if possible.	Stakeholder analysis Stakeholder mapping
	③ Problem analysis and cause-effect logic	The most important problems in the region are documented and interpreted in a cause-effect logic. The aim is to identify coherencies between individual problems in order to define possible project alternatives.	Problem tree Problem-objectives matrix

The following guiding questions are ordered according to the steps of implementation. They provide information about aspects that have to be taken into consideration in the respective steps. With the help of the above mentioned methods, answers can be provided and visualised.

TIP

In this phase of the situation analysis, it is important to collect as much information as is needed for planning, but not as much as possible! Planners should mark unanswered questions. These will be answered by the project team in the initial phase.

Guiding questions for the situation analysis

Context of the planned project (Step ①)
✓ What geographical, political, legal and socio-cultural conditions prevail in the region?
✓ Is the area involved in conflict? Is there likely to be conflict about resources?
✓ Which risks may arise in the future?
✓ What consequences will this have for the upcoming project?

Stakeholder analysis (Step ②)
✓ Who are the stakeholders (interest groups) in the planned project (individuals, groups, organisations)?
✓ Who can benefit or lose as a result of the project?
✓ Which actors, such as governmental and non-governmental bodies and the projects of other organisations, are already endeavouring to solve the problems of the target group?
✓ Which services are these actors offering and which resources do they have?
✓ Who is the target group of the planned project?
✓ Have the groups most vulnerable to the problems (risk groups) been identified?
✓ In what way can target groups contribute to the project, and what resources do they have that might be of use for project implementation?
✓ What is the relationship between the actors, and how could they be involved in the project?

Problem analysis (Step ③)
✓ Who exactly is affected by which problem?
✓ What are the apparent causes of the problems?
✓ How do the existing problems influence the living conditions of the target group (according to gender)?

⚠ NOTE

The guiding questions listed here must be examined in depth for each project for preparing an internal project document. Sector-based questions for the situation analysis are contained in the guidelines Part III. It is important that such cross-cutting issues as gender, conflict-sensitive approach, HIV&AIDS and disaster risk management are considered in the situation analysis. Welthungerhilfe's orientation frameworks provide details about this.

PRACTICAL EXAMPLE: Burkina Faso

Integrated rural development programme to achieve food security in the provinces of Bam and Sanmatenga

Step ① in practice: Project context (significantly abridged)

Food supplies in the provinces of Bam and Sanmatenga on Burkina Faso's Central Plateau are chronically deficient, especially for women and children. People in the region depend on agriculture as their most important source of livelihood, but subsistence farming is completely inadequate for farming families. Only around 70 % of grain requirements, such as sorghum and corn, are covered by local produce even in normal crop-growing years. A situation of conflict does not at present exist.

**Figure 2:** Context analysis of the provinces of Bam and Sanmatenga
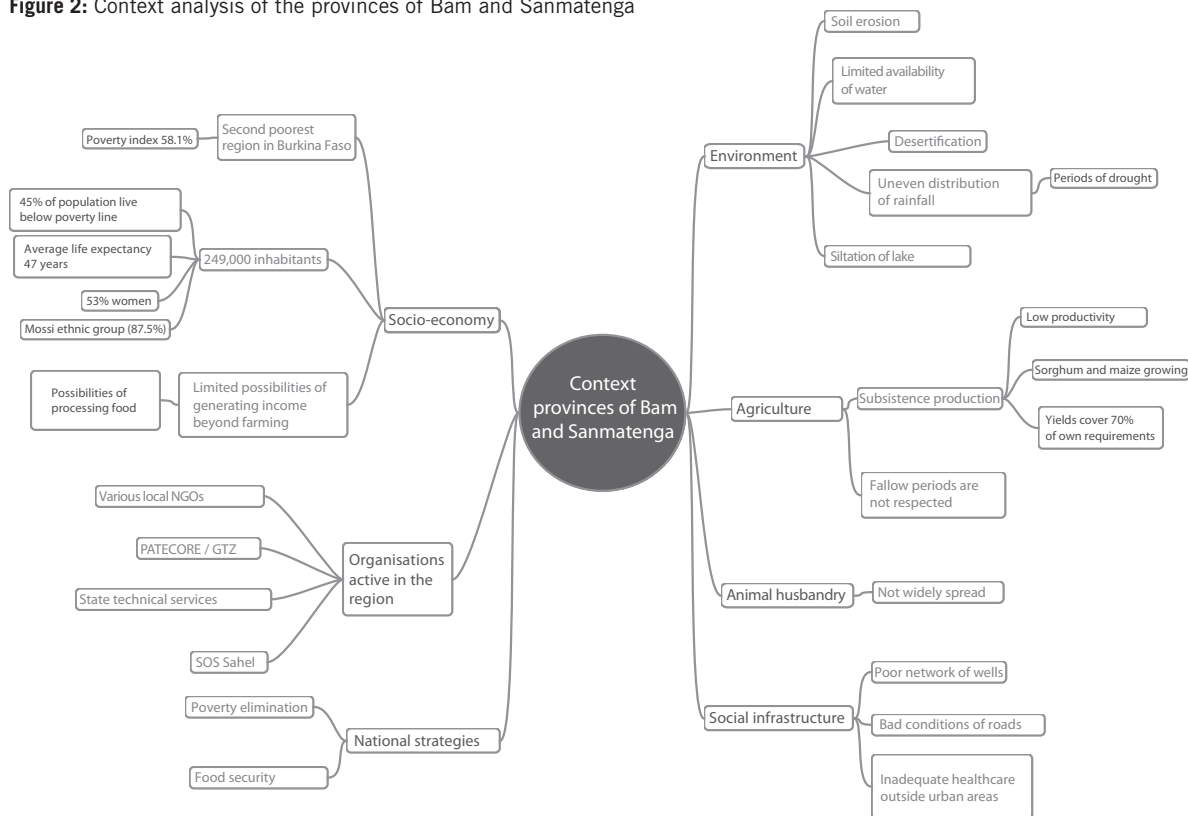
Step ② in practice: Stakeholder analysis (excerpt)

Table 2: The different actors

Group/Organi-sation	Activity of the group	What is expected of project	Potentials	Weaknesses, limitations, obstacles	Consequences for planning
Contributors					
ZOOD-NOMA (NGO)	Training and supervision of village groups Training of multipliers	Extension of previous measures	Very good experience, high motivation, positive evaluation by Welthungerhilfe	Not enough staff	Adapt staff requirements to measures and prepare appropriate budget
PATECORE	Transportation of stones for stone walls	Good co-operation and synergy effects	Many years' experience, good equipment	Still to be determined	Clarify further co-operation in good time
Cooperative bank	Provision of loans and guarantee funds	Still to be determined by survey	Previously good experience with repayments	Still to be determined	If necessary include more detailed analysis by bank in planning
Target groups					
Village groups	Cultivation of sorghum and corn	Improvement of food security Improvement of soil quality	Highly motivated to improve the situation Willingness to make own contribution	Lack of know-how No means of transporting stones In some cases, lack of manpower because of HIV-infection	Guarantee transport through external partner Secure individual contributions with guarantee funds Include HIV-sensitisation measures
Women	Field work Cooking Childcare	Improved health More income Clean water Food security	High motivation Willingness to make own contribution	Poor state of health Little knowledge of food and hygiene	Plan special measures for women

Step ③ in practice: Problem analysis and cause-effect relationship

Level of detail of cause-effect relationship for internal project document/co-financing application

Figure 3: Problem tree for the population of the provinces of Bam and Sanmatenga
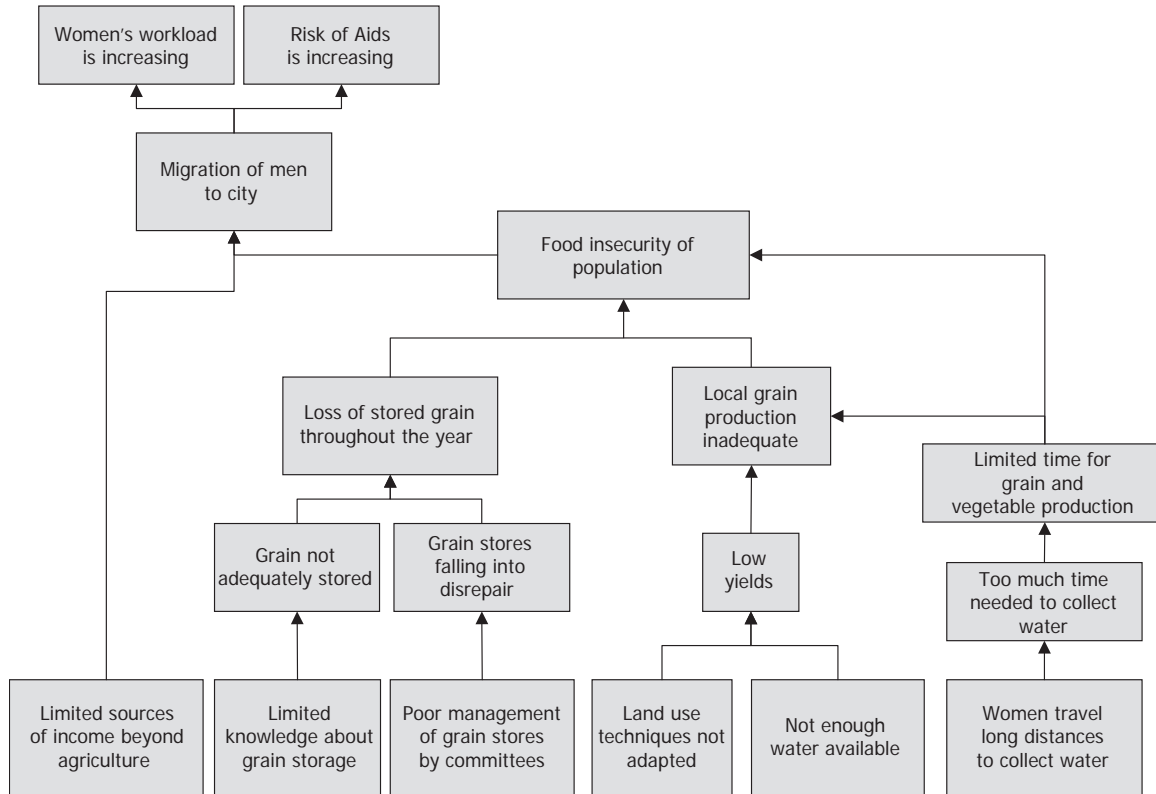
3.1.2 Preliminary planning

Table 3: The four steps of preliminary planning (target and outcome/impact analysis)

	Step	Description of step	Methods
Preliminary planning	④ Determine possible project purposes	In this step, possible project purposes are determined on the basis of the problem analysis. Project purposes are changes in behaviour of the target group and changes in their living conditions.	Objectives tree Problem-goal matrix
	⑤ Analyse outcomes/impacts of project	In this step, project outputs and activities are defined on the basis of the project purpose. These are then examined by results chains which have to be prepared. Negative outcomes/impacts should also be identified. The planners must decide which fields of observation the future project should focus on in order to be able to react to possible negative outcomes and impacts.	Prepare results chains/structure
	⑥ Prepare project planning matrix and develop indicators	Project purpose, overall goal, outputs and activities are entered into a 16-space matrix. Special attention must be paid to formulation of the project purpose comprising of use of output and direct benefits: Which positive changes (in behaviour) occur for the target group as a result of use of the outputs? In this phase, the basis for the project's **monitoring system** are laid. Indicators support outcome and impact monitoring. They describe important aspects of the project purpose and outputs and make these measurable. After the project planning matrix has been developed, indicators are formulated to define quantity, quality, time and place. Sources of verification for the indicators are listed in the third column. Possible risks and assumptions are documented in the fourth column.	Prepare project planning matrix Develop indicators Checklist to examine planning logics

	Step	Description of step	Methods
Preliminary planning	⑦ Summarise analyses in text form	Implementation of all the steps in the situation analyses and preliminary planning is documented in text form. To prepare a *concept note,* 2–3 pages are usually sufficient. An internal project document should be written up in greater detail. The results of the situation analysis provide the information needed for the internal project document.	Internal project document Welthungerhilfe

Guiding questions for preliminary planning

Goal and outcome/impact analysis (Steps ④–⑦)
✓ Which problem causes can the future project influence? Which of the target group's problems can be alleviated or eliminated by the intervention?
✓ Which direct uses should the project have for the target groups or partners? Which changes in behaviour or direct living conditions for the target group should be achieved? How will these changes affect the living conditions of the target groups?
✓ To which higher benefit does the future project/programme contribute? (e.g. to the implementation of one or more Millennium Development Goals)

PRACTICAL EXAMPLE: Burkina Faso
Integrated rural development programme to achieve food security in the provinces of Bam and Sanmatenga

Step ④ in practice: Possible project purposes

Based on the problem analysis, the desired changes in behaviour and the living conditions of the target groups are examined. Using the objectives tree (see Fig. 4) possible project alternatives may be defined.

Possible project purpose on the basis of the problem analysis:
Food security for women, children and men in the provinces of Bam and Sanmatenga

Changes in behaviour in the target group can be achieved in this particular case, for example, on the level of land use techniques and storage. Possible outputs of the future project:

■ Knowledge about effective storage is available
■ Knowledge about land use techniques is available
■ Knowledge about improving soil quality is available
■ Sufficient irrigation water is available
■ Clean drinking water is available

Taking into account the stakeholder analysis and problem analysis, involvement in HIV&AIDS sensitisation would also seem advisable. Another possible project output would then be: knowledge about HIV&AIDS is widely spread.

Step ④ in practice: Objectives tree (means-end logic) on a level of detail for an internal project document/co-financing application

**Figure 4:** Objectives tree for the provinces of Bam and Sanmatenga
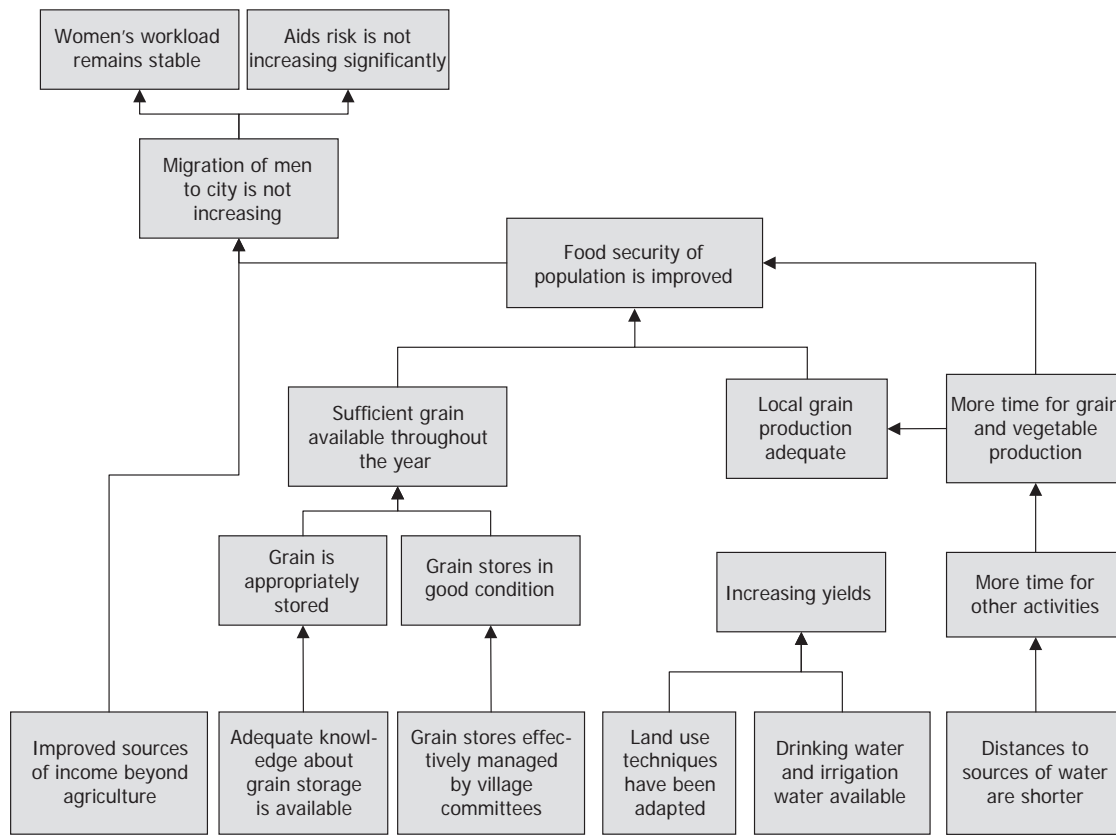
> ## ⚠ NOTE
> The depicted means-end coherency is inadequate to produce a project plan. Although it reveals possible project interventions, it does not indicate where other positive or undesired negative outcomes and impacts may occur. The results chains or structures which are prepared in the preliminary planning phase take this problem into account.

Step ⑤ in practice: Impact structure (excerpt)

Figure 5: Impact structure of food security project in Bam and Sanmatenga
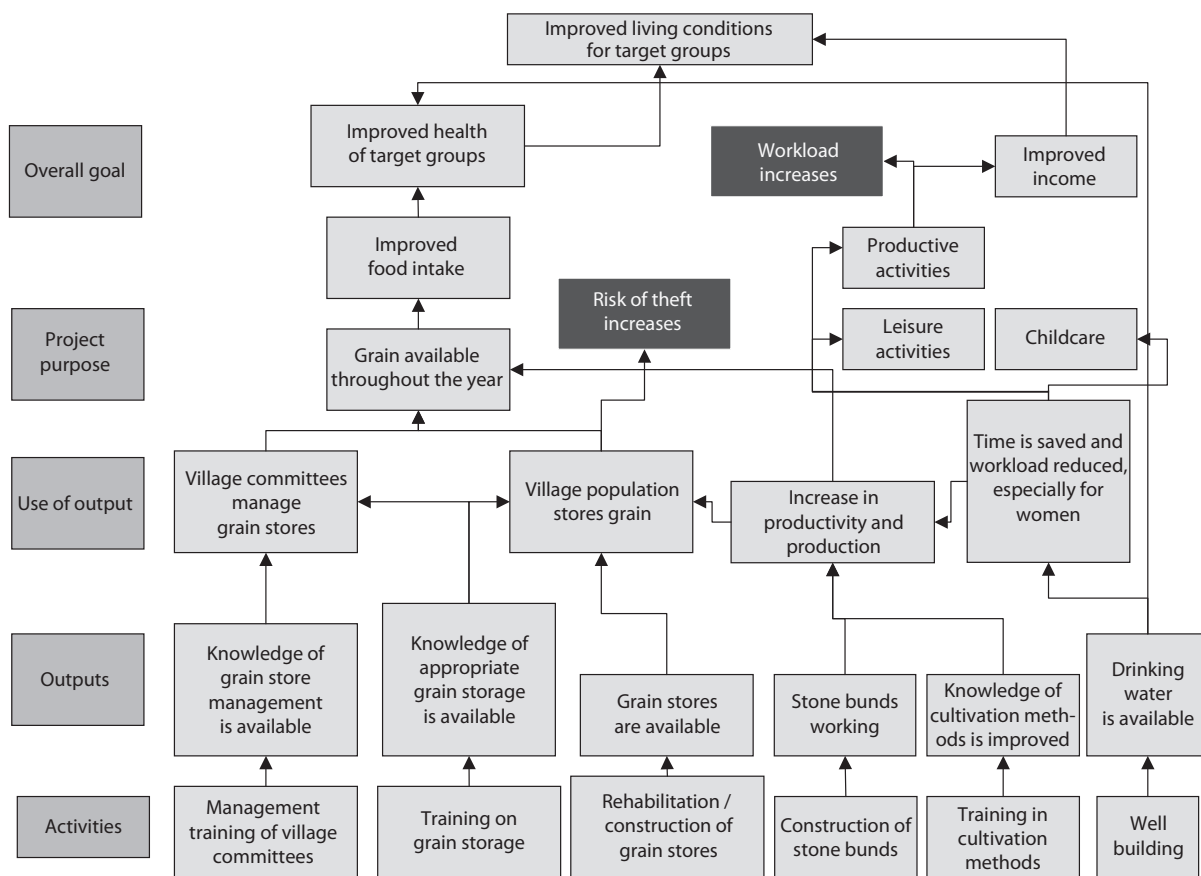
> ⚠️ **NOTE**
>
> In this impact structure (indicates complexes cause-effect relationships), several project alternatives are considered. However, the chain already illustrates in this form unintended side-effects (dark grey box). These represent risks for the success of the project and should therefore be considered in subsequent project planning. Possible questions: Which precautionary measures should be taken to make theft less easy? How can income-generating measures be designed in such a way that they do not increase women's workload? These areas of the results chain should also be seen as observation fields during outcome and impact monitoring.

Step ⑥ in practice: Project planning matrix (excerpt)

Summarised description	Indicators	Sources	Assumptions
Overall goal/development objective: The food situation in the region Centre-North (provinces of Bam and Sanmatenga) has been improved quantitatively and qualitatively.	The number and percentage of undernourished children below five decreased 45 % by 2015 compared to 1990.		
Project purpose: Grain supplies for 50 villages is guaranteed throughout the year.	By December 2010: At least 70 % of all children under five in households in villages supervised by the project receive at least two meals a day during the so-called "hunger periods" which correspond to WHO criteria (by the end of 2008 25 %, by the end of 2009 50 %). Increase in the production of grain by an average of 20 %. From April 2009, sufficient grain is stored in village granaries in the so-called "hunger periods" and sold at a price which is approximately the medium value of the last five years.	■ Field surveys ■ Reports from consultants ■ Inventory accounting/observation of grain market	■ Rainfall in the project region remains stable (400–600 mm/year), well-distributed in terms of time and space; ■ Epidemics can be contained
Outputs			
Output 1: Village groups are able to use suitable techniques and measures to increase productivity.	By the end of 2010, 80 % of villagers in the village groups are able to construct erosion protection embankments according to the project standard without the help of trainers. By December 2010, 80 % of the trained farmers distribute self-made compost onto the fields as fertiliser.	■ Quality tests on erosion protection systems	
Output 2: Drinking water is available for the population.	By 2009, drinking water in all wells built by the project correspond to WHO standard. By the end of 2009, ten wells in ten project villages provide at least 20 litres of drinking water per day and per person throughout the year.	■ Quality tests on wells ■ Field surveys	
Output 3: The village population is able to ensure correct grain storage.	By June 2009, 75 % of training participants receive a certificate as "grain manager" after taking a practical test.	■ Test results/documents from training course	
Activities			
1.1 Build erosion protection structures in co-operation with the target group and Patecore. 1.2 Communicate know-how needed to build an erosion protection system. 1.3 Help build compost pits and advise on ways to improve soil. 1.4 Facilitate producers' access to improved seed. 1.5 Help village groups share experiences. 1.6 Support the sharing of experience with similar projects. …			

3.2   C: Initial phase of project/programme

The initial phase of projects is of particular importance. In the period between project approval and the start of a project, the initial conditions that existed during planning may change. It is therefore essential that the situation analysis and planning in the initial phase of a project are reviewed. The results of this review are then included in a binding project plan with indicators and an operational plan.

One aim of outcome and impact orientation at Welthungerhilfe is to monitor projects in terms of their intended positive outcomes/impacts. This is only possible if reliable information about project activities, project outputs and their outcomes and impacts is available. An outcome and impact-oriented monitoring system provides this information.

To guarantee outcome and impact orientation, the development and documentation of an outcome and impact-oriented monitoring system is a binding requirement for all Welthungerhilfe projects. The monitoring system is developed in the initial phase.

Implementation of the following steps should be carried out in co-operation with as many members of project staff as possible. In this way, they can familiarise themselves with project purposes, contribute their own know-how and find out about the initial steps of outcome and impact-oriented project monitoring. To carry out a review of planning and to develop a monitoring system, between five and ten working days are needed, depending on the size of the project.

3.2.1 Detailed project planning

Table 4: Four steps of detailed project planning

	Step	Description of step	Methods
Detailed project planning	① Review results chains	The PPM is used to find out whether results chains have been prepared for all project activities and outputs and whether negative side-effects were overlooked during preliminary planning. If necessary, these should be supplemented. Project measures must be documented so that they can be subsequently considered in an operational plan. The PPM is then reviewed to see if it includes the most important outcomes and impacts.	Develop results chains Checklist PPM
	② Check indicators of PPM	A test is carried out to find out whether the level of outputs, project purpose and overall goal have meaningful indicators in the PPM. These may have to be supplemented with observation fields from the results chains.	Develop indicators
	③ Check completeness of PPM	The logics and completeness of the PPM are analysed using the test checklist.	Checklist PPM
	④ Prepare operational plan	Responsibilities and financial requirements for planned project activities must be defined and included in a prepared plan. The operational plan helps identify work peaks and the time by which certain 'milestones' should be achieved. At a later point in time, all activities affecting outcome and impact monitoring must be compared with pre-recorded activities and the operational plan must be supplemented.	Operational plan

> ⚠ **NOTE**
> The more roughly the preliminary planning has been carried out in Phases A–C, the more time the project team needs to review planning. If results chains and indicators have not been developed carefully enough during preliminary planning, or the logics of the PPM are not comprehensible, the project team must prepare this again.

3.2.2 Development of an outcome and impact-oriented monitoring system

After planning has been reviewed, the project team has a basis upon which it can develop an outcome and impact-oriented monitoring system with the indicators. Before the steps involved in developing an outcome and impact-oriented monitoring system are described, here are some general details about project monitoring and an explanation of specific aspects of outcome and impact-oriented monitoring systems.

BOX: Outcome and impact orientation in monitoring

Project monitoring is a process that is carried out internally, systematically and regularly. For a long time, this process in development co-operation projects concentrated on observing activities. With the orientation towards outcome and impact, the challenge now is to make outcome and impact observation an integral part of project monitoring. This requires careful planning of the monitoring process and the participation of many members of project staff. It is often necessary, first of all, to dispel misgivings and misconceptions about monitoring.

Common misgivings and misconceptions about monitoring

- ☹ Monitoring only has to be carried out for co-financers.
- ☹ Monitoring only means more work and hampers implementation of important activities.
- ☹ Monitoring is much too complicated.
- ☹ Monitoring means collecting masses of data and statistics that nobody needs.
- ☹ Monitoring is carried out by only one member of a project team.
- ☹ Monitoring has nothing to do with evaluation.

⚠ NOTE

To dispel misgivings about monitoring, as many members of project staff as possible should be involved in developing and implementing the monitoring system. They should be familiar with its goals, components and phases. This also means that monitoring cannot be delegated to one person in a project but that it is a participative process in which everyone is involved.

3.2.3 How the monitoring system works

Outcome and impact-oriented monitoring occurs while activities are being implemented and is therefore an accompanying process. Discussions and possible changes in project strategy can only occur if data is regularly collected and jointly evaluated, and if conclusions can be made about project activities. It is therefore vital that monitoring is planned in detail. The outcome and impact monitoring concept drawn up by all project staff is binding for all during subsequent implementation. Activities that result from the planning of monitoring must be incorporated in the operational plan at the end of the conception phase. Even when the monitoring system is planned, it is advisable to consider the modalities of subsequent reporting.

Figure 6: How a monitoring system works
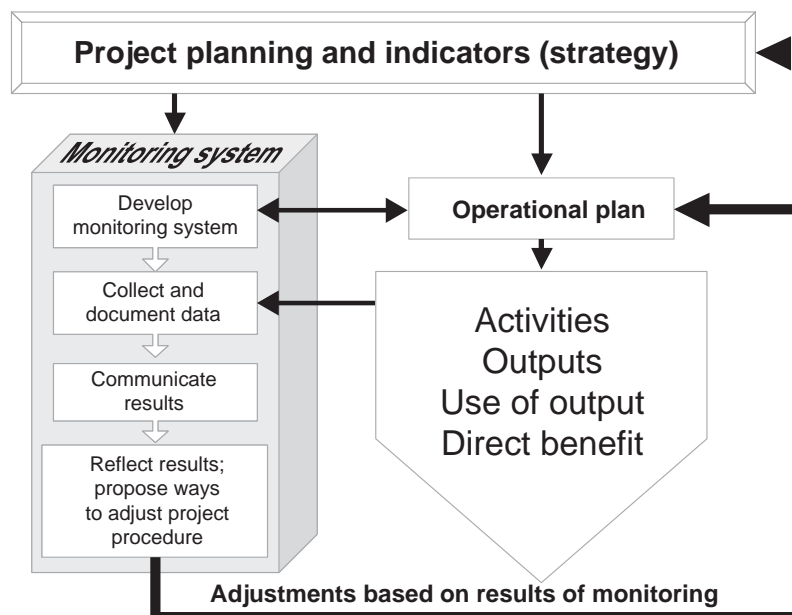
Source: IFAD 2002, modified

The chronology depicted in the above diagram represents the ideal scenario. In reality, individual phases overlap and steps that have already occurred are frequently referred to again.

TIP

Project monitoring activities are not normally an integral part of project planning. They should therefore be developed in the initial phase and included in the project's operational plan so that outputs and outcomes/impacts can be reviewed and if necessary improved.

3.2.4 Development of a monitoring system

Table 5: Four steps involved in preparing the monitoring system

		Step	Description of step	Methods
Development of a monitoring system	⑤	Clarify aim of outcome/impact monitoring	First of all, the meaning of outcome/impact monitoring is clarified. Those people subsequently involved in monitoring, such as the project team and possibly target group representatives, then agree on the role of monitoring in the specific project. At this step, it is vital that the role of the target group in monitoring is discussed.	Guiding questions on the objective of outcome/impact monitoring
	⑥	Clarify monitoring approach	This step clarifies who needs what information. The nature of the required information determines the choice of contents which are to be monitored and how the results are communicated. Qualitative and process-related information is often more important for project-internal learning. For accountability, quantitative and result-related information is usually required. Not all monitoring results have to be passed on to all participants. A decision is also made about which type of outcome/impact monitoring should be selected, whether merely an indicator-based alternative or a combination of indicator examination and open, qualitative outcome and impact analysis should be chosen.	Guiding questions for monitoring approach Details about comparisons in outcome/impact monitoring Details about the use of quantitative and qualitative data collection methods Details about reference data investigations and baseline studies Description of methods

	Step	Description of step	Methods
Development of a monitoring system	⑦ Operationalise monitoring	The project team decides on: ■ persons responsible ■ intervals ■ nature of data to be collected ■ documentation of data ■ nature and time of analysis In this step at the latest, the participation of the target group is clarified in detail. For example: Should the target group be actively involved in collecting data and/or in the reflection phase? Details result from the content and methods of the approach. Remember: the more complex the data analysis is, the more restricted participation can be.	Guiding questions on operationalisation of outcome/impact monitoring Monitoring plan
	⑧ Complete operational plan	The activities necessary for monitoring must be added to the operational plan and compared with the already documented activities for project implementation. The completed operational plan forms the basis for activities monitoring in the project.	Operational plan

Guiding questions for the development of a monitoring system

Aim of outcome and impact monitoring (Step ⑤)
- ✓ Which specific expectations and fears do we have with outcome and impact monitoring?
- ✓ What knowledge about outcome and impact monitoring already exists and can be used?
- ✓ How can data collection and the use of information be designed in such a way that it is transparent for everyone?
- ✓ Which resources are available for monitoring?
- ✓ Who can contribute towards outcome and impact monitoring and in what way?
- ✓ How can the target groups participate?

Monitoring approach (Step ⑥)
- ✓ Which outcomes/impacts do we want to observe?
- ✓ Who will use the information obtained by the monitoring system and how? Which conclusions can be made for the documentation and presentation of the data?
- ✓ Who needs what information in the project to manage the project and to improve the organisation of everyday work?
- ✓ Which information is required for self-evaluation or an external evaluation?
- ✓ What kind of information is of relevance to Welthungerhilfe's internal knowledge and quality management?
- ✓ Who needs what kind of results for the accountability of the project?
- ✓ What kind of monitoring approach do we want to choose? Purely indicator-based or a mixture of indicator-based monitoring and regularly implemented open and qualitative outcome and impact analyses?
- ✓ What kind of monitoring are we familiar with and have used so far?
- ✓ What parts of this can we continue to use?
- ✓ Where is further training required?

Operationalise monitoring (Step ⑦)
- ✓ Persons responsible (who collects which data and when)?
- ✓ At what intervals should data be collected?
- ✓ Where does the required data come from? How can we collect it?
- ✓ What collection methods and data sources do we want to use?
- ✓ Which methods are we already familiar with?
- ✓ How is documentation carried out?
- ✓ Decision rules for project management (what should happen when certain thresholds have been reached?)

Complete operational plan (Step ⑧)
- ✓ Which activities have arisen as a result of the examination of the results chain and PPM?
- ✓ Which monitoring activities are planned?
- ✓ Do monitoring activities overlap with other project activities?

NOTE

The participation of target groups in the monitoring process is interpreted in many projects as the use of participative methods to collect data. Participative outcome and impact observation, however, goes much further than this. It means considering carefully who should carry out which processes and who benefits from the results. Particularly in the data collection, data documentation and reflection phases, it is important to reconsider how the target group can be involved. Joint reflection workshops are an effective way of discussing the results of outcome and impact observation with the target groups and including these in considerations about conclusions.

NOTE

The question of participation therefore has to be considered in the initial phase of outcome and impact monitoring development. In practice, a combination of participative elements and less participative elements is recommended. However, it is vital that the results of outcome and impact monitoring are presented to and discussed with target groups.

3.3   D: Implementation

This is the phase in which the monitoring plan is put into practice. In the initial phase, monitoring was roughly planned out. In the implementation phase, decisions about sample sizes are made, methods are developed and interviewers and/or presenters for the surveys are trained. This is followed by the actual data collection, data preparation and data analysis.

Possible self-evaluations and decisions about necessary external evaluations are also made in this phase.

3.3.1 Preparation of outcome and impact monitoring

Table 6: The first three steps: preparation of outcome/impact monitoring

		Step	Description of step	Methods
Preparation of outcome/impact monitoring	①	Determination of necessary sample sizes	It is not usually possible to carry out comprehensive surveys. A random test is therefore made. This is necessary both for quantitative and qualitative surveys.	Details about sampling
	②	Development of selected methods	The methods have to be adapted to the purpose of monitoring. There is therefore no fixed basic set of methods for outcome and impact monitoring. In this step, the most appropriate methods to provide the necessary data must be chosen. Formats for the documentation of data during surveys must then be prepared. If available, tried and tested methods should be used.	Details about the use of quantitative and qualitative data collection methods Method descriptions Details about the documentation of data
	③	Training of interviewers and presenters	Depending on whether standardised questionnaires, qualitative interview guidelines or moderated group discussions are used, a person responsible for the implementation has to be appointed. In all cases, the persons implementing measures must be familiar with the course of procedure. This usually requires at least one training session.	Instructions on collecting data

💡 **TIP**

Outcome and impact observation in projects cannot guarantee academic precision. Such precision is usually impossible because of the lack of financial and human resources, inadequate data and because of the time pressure under which projects are carried out. This is why outcome and impact observation should always be compared with the project's available resources.

3.3.2 Implementation of outcome and impact monitoring

Table 7: Steps four to seven: implementation of outcome/impact monitoring

		Step	Description of step	Methods
Implementation of outcome/impact monitoring	④	Test survey design	The developed data collection formats must be tested and adapted together with interviewers and presenters. This ensures that the project can actually collect the required data.	Instructions on collecting data
	⑤	Implementation of data collection and analysis	While data is collected and evaluated, the quality of information and surveys should be considered in a critical reflection process. In this phase, thematic and methodical results are developed.	Guiding questions on the implementation of outcome and impact monitoring
	⑥	Communication of results	The results of the discussion must be processed and passed on to the interest groups of the project. Welthungerhilfe expects a report on the progress in terms of outcomes/impacts.[3] If a project is co-funded, the donor specifies intervals. Results should be discussed with the target groups at least twice a year.	Reference to stakeholder analysis Details on reporting
	⑦	Learning process at Welthungerhilfe	This includes the learning process within a project and the learning process at Welthungerhilfe as an organisation. Experiences are collected and processed and fed into Welthungerhilfe's knowledge management.	Subject areas, institutional knowledge management (in planning)

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3   Format and frequency of reporting are based on Welthungerhilfe's valid internal standards.

> **TIP**
>
> Outcome and impact monitoring is a process! During this process, experiences are gained. It is therefore unlikely that monitoring is actually carried out as planned. Only the actual implementation shows what is possible and what is not possible. Enough time should therefore be allowed to adjust monitoring and the operational plan. In this way, monitoring becomes more accurate and meaningful from year to year.

Guiding questions for the preparation and implementation of outcome and impact monitoring

Samples (Step ①)
- ✓ Which target groups do we want to examine?
- ✓ Which sampling procedure do we want to apply?
- ✓ Which sample size is appropriate?

Choice of methods (Step ②)
- ✓ Which methods do we want to use?
- ✓ Which methods are practicable in terms of available time and financial resources?
- ✓ Who will collect data (project staff or external person)? What are the consequences of this?
- ✓ Are project staff and partner organisations sufficiently qualified? Who needs further training?
- ✓ Which methods correspond to the skills of staff?
- ✓ Which methods are familiar to staff and have already been tried and tested?
- ✓ What are the training requirements of the staff implementing the methods?
- ✓ Which formats help us process the collected data most effectively?

Training of interviewers and presenters (Step ③)
- ✓ Who will carry out the training (internally or externally)?
- ✓ Who should be trained?
- ✓ What previous knowledge is available?
- ✓ How can the training be made as practice-oriented as possible?
- ✓ Should training include the implementation of an initial data collection phase?
- ✓ Does training include data evaluation?
- ✓ How should problems that arise during interviewing and presentation (for example "What is meant?") be taught during training?
- ✓ Where do we need external support?

Test survey design (Step ④)
- ✓ Where should the test be carried out?
- ✓ Have the interviewers and presenters understood their tasks?
- ✓ Do the interview questionnaires and guidelines produce the desired data?
- ✓ Can the collected data be entered into the prepared formats or does the collection method have to be amended?
- ✓ Is the obtained data sufficient, meaningful and reliable?
- ✓ What changes have to be made to the survey design?

Implementation of data collection and analysis (Step ⑤)
- ✓ Have all logistical and organisational preparations been made?
- ✓ Have villages and communities been informed?
- ✓ Is data collection occurring in the planned timeframe?
- ✓ Is data being simultaneously fed into the formats?
- ✓ Is monitoring providing the desired information?
- ✓ Does a change in the data collection procedure become necessary in the course of implementation?
- ✓ Is the analysis user-friendly (graphic representations, diagrams, tables) and appropriate?
- ✓ Are analysis meetings held regularly?
- ✓ Which amendments should be discussed and introduced on the basis of the results?
- ✓ Is monitoring on this scale practicable?
- ✓ What should be changed for the next round of monitoring?

Communication of results (Step ⑥)
- ✓ Which results have to be communicated to whom and when?
- ✓ How can results be most effectively communicated to the target group?
- ✓ How are results processed at Welthungerhilfe?
- ✓ How can results be processed in such a way that they satisfy the requirements of co-financers?
- ✓ Which representatives of the target group are invited to the presentation?
- ✓ How can the discussion of results with the target group be organised in such a way that the target group actively makes suggestions for the further course of procedure?
- ✓ Has the project provided all those concerned with sufficient information?

Learning process at Welthungerhilfe (Step ⑦)
- ✓ Have the desired outcomes and impacts occurred?
- ✓ How do results chains have to be corrected?
- ✓ What influence does this have on the implementation of activities? What do we have to intensify, what do we have to change?
- ✓ Is the information understood and used?
- ✓ Does a change in project work occur?
- ✓ Does our learning process work? Does a critical reflection take place?
- ✓ Are the indicators for outcome and impact monitoring adequate? To what extent do they have to be amended, supplemented or cancelled?

3.3.3 Self-evaluation

Table 8: The three steps of self-evaluation

		Step	Description of step	Methods
Self-evaluation	①	Collection phase (if required; otherwise during regular monitoring)	The data about indicators from the outputs and project purpose level (outcome and impact-oriented indicators) must be available for the subsequent workshop, if this has not already occurred in the regular monitoring. Data on specific questions resulting from implementation of the project may also be collected. Interviews with the target group are essential.	Direct approach/open questions for target group/advantages and disadvantages
	②	Workshop (approx. two days/year)	Presentation, discussion and analysis of the data prepared in Step 1. Project staff including national staff (various levels) takes part in this workshop. External presentation is recommended.	SWOT analysis
	③	Evaluation and plan adjustment/ preparation of a plan of action/plan of implementation	Adjustment of plan based on the results of Step 2.	

Guiding questions for the implementation of a self-evaluation

Implementation of a self-evaluation (Steps ① to ③)
- ✓ Are the outputs produced according to the project plan?
- ✓ Are the outputs used by the target group?
- ✓ Which positive and negative outcomes and impacts have been observed and can be expected so far?
- ✓ What are positive and negative outcomes and impacts attributable to?
- ✓ Does the plan have to be modified?

3.4 E: External evaluation

Table 9: The seven steps of an external evaluation

		Step	Description of step	Methods/ Reference documents
External evaluation	①	Notification and planning of evaluation	Those responsible for the programme inform Evaluation Unit of requirements. A representative depiction of sector and regional portfolio is considered when the evaluations are selected. The annual planning is carried out by the Evaluation Unit.	Welthungerhilfe Handbook Chap. 2103; Chap. 2738; Concept paper Impact-oriented evaluation
	②	Preparation of evaluation	The Terms of Reference are prepared. When individual projects and country programmes are carried out, standard Welthungerhilfe terms are applied. Expatriate and, if possible, national consultants are selected and placed under contract. Logistical preparation on location by project team, information is passed on to partners, target group and other relevant actors.	Standard Terms of Reference

		Step	Description of step	Methods/ Reference documents
External evaluation	③	Mission (2–3 weeks)	Implementation of evaluation survey on location with participative data collection methods. Presentation of provisional conclusions and recommendations for the project team, if applicable, other actors are invited.	
	④	Reporting and approval by Evaluation unit	Preparation by consultant. Discussion of report during final meeting with the participation of those responsible for the programme, if applicable, inclusion of comments and proposals for improvement. Final approval by the Evaluation Unit.	
	⑤	Joint learning process	Identification of important learning experiences or good practices by the Evaluation Unit. Inclusion of findings in Welthungerhilfe's knowledge management.	Subject areas, institutional knowledge management (in conception)
	⑥	Implementation of recommendations of the evaluation	Recommendations of intermediate evaluations should be put into practice in ongoing project. The recommendations are followed up by those responsible for the programme.	
	⑦	Accountability	On the basis of individual evaluations and the summary in the Annual Report, accountability occurs vis-à-vis the Board of Directors and Supervisory Board.	

Guiding questions for the implementation of an external evaluation

Implementation of an external evaluation (Steps ① to ⑦)
- ✓ Are the outputs produced according to the project plan?
- ✓ Are the outputs used by the target group?
- ✓ How can relevance, efficiency, effectiveness, outcome/impact and sustainability be rated? – Where are the terms defined?
- ✓ Which outcomes and impacts (positive, negative etc.) can be observed and expected?
- ✓ What are positive and negative outcomes and impacts attributable to?
- ✓ What recommendations can be made on the basis of these "lessons learnt" and "good practices"?

WELTHUNGERHILFE

We are …

one of Germany's biggest private relief organisations; founded in 1962, we are non-profit making, non-denominational and politically independent. Our work is financed by private donations and public grants.

We want …

to help people in developing countries improve their living conditions to such an extent that they can secure their livelihoods without outside aid. Our efforts are geared towards the needs, interests and rights of the poor population in rural regions.

We provide …

help from one set of hands with rapid humanitarian aid in acute crisis regions and in long-term projects carried out in close co-operation with local partners, in regions where hunger and poverty determine the everyday lives of the people.

We work …

with national and international partners from the world of politics, schools, media and other areas to ensure that we do not merely pay lip service to the idea of solidarity: development should open up opportunities and help empower people in their society on a sustainable basis.

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