



**The Slum Aid Project (SAP) Design Monitoring and Evaluation
Strategy (DEMES)
2007-2013**

Approved by.....(Executive Director)

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(i) Preface

Design Monitoring and Evaluation is a vital management tool for development interventions. The Slum Aid Project has for along time only developed tools and plans without the DEMES in place. SAP realizes that different parties, communities, donors and development organizations need to know how effective their efforts have been. SAP also knows the Monitoring and Evaluation has today come out as the most relevant tool to better performance of development programs.

SAP is now re-focusing attention on how this DEMES strategy can enhance the social, political, and economic advancement of the people living in the slums through SAP interventions.. It is, therefore, crucial to identify the connections that may exist between various evaluation approaches, methodologies and practices for better performance.

The growing demand for development effectiveness is largely based on the realization that producing good “deliverables” is not enough. We at SAP, are also aware that efficiently well-managed projects and outputs will lose their relevance if they yield to no visible improvement in peoples’ lives.

We pledge to uphold the DEMES strategy, to learn from our past successes or failures, and to always use recommendations from our Monitoring and Evaluations reports to better our performance.

1.0 Introduction

The DEMES strategy is guided by the SAP Strategic plan (2008-2012) and the Policy development strategy document. Slum Aid Project has designed a DEME strategy to improve on the effectiveness, relevancy and efficiency of all their projects. The major terms this strategy sets out to look at are;

Relevance: Is the program still relevant to the problem it was intended to address?

Effectiveness: To what extent does the intervention achieve its objectives? What supports and barriers affected achievement?

Efficiency: Is the program delivered in a timely and cost-effective manner?

Impact: What happened as a result of the program? Has the intervention made any evident change in the lives of the people?

Sustainability: To what extent can the program sustain itself after the program funding ceases?

Efficacy: Is this what we intended to do, are we doing that which we set out to do? Are we on track?

External Utility: To what extent might the approaches, methods, and/or content of the program have potential value if applied to another program/project?

More specifically the strategy will provide the framework in which decisions and actions on DEME for SAP will be made that are in agreement with SAP's development approach, and are technically sound.

The Organisation (Slum Aid Project)

Slum Aid Project (SAP) is a Non Governmental Organization working in 7 slum areas around Kampala in Uganda. These areas include; Wandegeya, Nakulabye, Katwe 1 Kisenyi, Naguru 11, Kibuli, and Wabigalo. The Organization works towards improving lives of the people living in the slum areas.

The humble beginnings of SAP can be traced back to 1991 when four female students, then at Makerere University Kampala identified with the vulnerable conditions in which people in the slum areas lived.

We at SAP believe that all people have a right to a good life, and this is why we came out with a mission to strengthen the capacity of slum communities in Uganda, (men, women and Children) to challenge and effect sustainable positive change through research and documentation, capacity building, advocacy , policy influence, Organizational development and fundraising.

Although the Monitoring and Evaluation (M&E) function has been in SAP since the early 1990s, it is imperative to note that many areas were not developed within this function, In this M&E function planning, design and M&E operated as 3 different units. This posed some challenges including;

1. Unnecessary pressure that mounts on some functions while others may be under utilized,
2. Operating as 'silos' where design is separated from M&E does not provide for integration in programming.

SAP underwent an Organizational Capacity Assessment (OCA) in 2006, The OCA provided an over-arching framework to guide reform and transformation in the management of SAP. One of the areas that needed change was the M&E function. One of the recommendations was for SAP to develop a Development Strategy and Design Monitoring and Evaluation strategy to guide all their programmes, thus the DEMES.

2.0 Objectives of DEME Strategy

1. To give clear guidelines for integration of design, monitoring and evaluation for effective programming.
2. To guide the process of developing project designs and seeking funding opportunities for SAP programmes.
3. To develop guidelines for carrying out monitoring and evaluation in SAP programmes.
4. To be guided to document and share lessons learnt with donors, colleagues and stakeholders and to ensure that our lessons and practices are passed on to the coming generation for sustainability purposes.

5. This strategy emphasizes learning as a key principle at various levels of the DEMES, to document and share lessons learnt with donors, colleagues and stakeholders
6. To improve aid effectiveness by supporting the development of operational and policy lessons.
7. To help the evaluation function, make a vital contribution to best practices at SAP

3.0 Coordination of Design Monitoring and Evaluation Function

The DEME strategy will be coordinated by a team of Monitoring and Evaluation officers together with all officers in the programs division and SAP slum volunteers. The role of this function will be to guide and coordinate Programme design, monitoring and evaluation in all SAP programmes by providing technical support in survey, research, programme design, planning, monitoring and evaluation and transition as well as developing other tools for improved quality of ministry in different Slum Aid Project (SAP) Uganda supported programmes.

There will be a team leader, the Senior Program Manager (SPM), who will work with a team of other M&E officers both at the secretariat and project level. While the SPM and other M&E officers will be based at the secretariat a team of SAP volunteers will be on the ground (in the slum areas) at the project level to ensure a smooth flow of activities pertaining to this strategy. SAP slum Volunteers have been trained to take on M&E activities at the project level. The SPM, will however, provide all the required DEME tasks, working closely with the Executive director and other development related officers..

The Design, Monitoring and Evaluation function includes;

- Programme design at all levels,
- Monitoring of all programmes,
- All types of evaluations including the mid term and final evaluation or any other evaluation that may be required by management or any other as may be requested by a stakeholder.
- Operations audits and internal audits: These will be done by the SAP audit team. In conjunction with the programs division.

- Training of all the key actors in the DEME processes will be a key success factor, including training of stakeholders.

Design

Designing begins after assessment, To design is planning a program and project strategies using assessment results to integrate community needs with their priorities and making a decision on whether to implement the program or project. When developing a program or project design it is important that the community participates at all possible opportunities setting development priorities.

SAP will involve the Communities because they may not own the program once they are left out at the design stage. There is, however, a need to identify the forums and processes that will be used to involve stakeholders in project review and adaptation, and build in flexibility to respond to unplanned opportunities

A project design gives direction to implementers. The purpose of developing a design is to have a logical and strategic plan that prioritizes the needs and opportunities identified in the assessment so that the resulting program or project can be implemented and managed.

Here are some ideas for the design team to build learning opportunities and change into the design.

- Design the process, as well as objectives, at the higher levels.
- Focus on clear goals (impacts) and purposes (outcomes), rather than over-specifying activities and outputs
- Be explicit about uncertainty.
- Build in mini-research phases at key moments.
- Design to have the project strategy and logframe matrix revised each year.
- Make "adaptive management" a key function in the terms of reference for senior management and partner contracts.
- Budget for experimentation and for the unexpected

Why design?

- Strategizing for solutions;
- Identifying and planning for risk management.
- Planning for monitoring, evaluation, learning and accountability.
- The design document will also be used to communicate the program.
- The design is also used as a basis in communicating to potential donors in so as to acquire funding.
- A participatory design process can strengthen relationships, build consensus, and uncover
- Resources that are critical to collaboration in implementing and managing the program or project.

Procedure of Design at SAP

All new programs and projects will have a Provisional Design Document (PDD) in place before implementation of project activities begins. The Programs division together with the senior management team will ensure that the design documents meets the standards prescribed in SAP development strategy document. Critical themes that reflect SAP's ethos should be considered in all program/project design and management.

The procedures below are to guide the processes to be undertaken when developing project proposals and seeking funding opportunities for SAP Uganda programmes. The guidelines are meant to ensure technical quality, building stronger networks, enter well thought out collaborative arrangements, promote transparency and accountability, and improve on coordination. This guideline relates to three different types of designs:

- a) The SAP project design document development and approval.
- b) Response to major/complex RFAs/RFPs from multi lateral and unilateral agencies.
- c) The Grants from donors at national or regional levels.

The SAP project design document.

The Opening up of a new project will be guided by SAP's strategic plan and development

strategy document. Each of the new projects will be started and enhanced by a team of SAP program division staff assisted by the SAP slum volunteers at the grassroots level.

With support from the Programs manager and Executive Director, the Program officers and volunteers will utilize the existing research papers or assessments and other methodologies to document the needs of the area (situational analysis report). Various tools will be used including secondary data review, key informant interviews, observation, community mapping, seasonal calendars, wealth ranking, community meetings, gender analysis, focus group discussions etc. The situational analysis will document and prioritize the needs in the area.

Based on the prioritization of the needs in the situational analysis report, a generic proposal will be developed by the SAP national team. This is a lifetime design document that provides a broad framework and development approaches that the particular project will take in tackling the documented needs. This document does not have targets as it is not possible to predict the targets for the one or five years.

4. SAP Implementation Phase

Implementation is basically ensuring that activities leading to the delivery of project outputs are done according to the designed and planned principles and standards.

The project will first be divided into equal phases referred to as 'Quarters' at SAP. This document will set goals and targets for each phase and will have a plan, log frame, comprehensive M&E plan, indicator performance tracking and detailed implementation plans and budgets. This will be followed by a detailed, indicator-based baseline for all the sectors in that phase. The Programs team will use the baseline data to revise targets (set more realistic), and refine indicators in log frame and M&E plans. This process will be conducted and completed before implementation commences.

6.0 SAP Grant design document development and approval

SAP Grants from multi lateral and bilateral organizations will go through the following design guidelines:

Procedure

1. The Executive Director in consultation with the senior management team will identify potential funding opportunities/sources and agree whether this is in line with the SAP strategic direction, Such potential funding partners may include embassies, UN Agencies, multilateral bilateral agencies,
2. The project team will prepare a design document with support from the
3. Executive Director, and other technical officers. The design will be in conformity with the community needs after carrying out a needs assessment and multi lateral agency guidelines.
4. After the Executive Director consents to the proposal with approval from the chairperson it will then be submitted to the concerned multi lateral/bilateral agency for discussion.
5. After approval from the multi lateral/bilateral agency, the proposal will be approved by the Executive Director (hard copy).
6. The final copy of the proposal will be discussed with the Board and SAP secretariat senior project team.

Grant applications by SAP to donors at national, districts and sub-county Levels

This seeks to provide guidelines on how to access funding and enter contractual agreements with donors at national, district and sub county level within Uganda.

Procedure

1. At the national level, the Executive Director, Programs Manager or Chairperson identifies funding opportunities for SAP related work and discusses with other senior management team members to build consensus. Such potential funding donors/partners may include embassies, UN Agencies, European Union etc, partners may include AIM, UCRNN, UPHOLD, CHAI, NAADS etc.
2. With approval from the Executive Director, the project team will prepare a design document with support from the respective Program Manager, and other technical officers. The design will be in conformity with the community needs after carrying

- out a needs assessment, while at the same time it will be line (conformity) with the guidelines provided by the potential partner.
3. After the Executive Director consents to the proposal, it will then be submitted to the funding agency/Partner for discussion.
 4. After approval from the potential funding agency/Partner, a hard copy of the proposal will be approved by the Executive Director.
 5. A letter or memorandum of understanding (MOU) or contract will be signed between the funding agency and Slum Aid project (SAP). The Executive Director or his designee will represent Slum Aid Project (SAP).
 6. A separate account will be opened to operate such funds using the established Slum Aid Project (SAP) finance guidelines.
 7. The final copy of the proposal will be discussed with the Board and SAP secretariat senior project team.

7.0 Programme Monitoring and Evaluation

The overall strategy of the SAP Uganda monitoring and evaluation strategy is four way-fold:

1. Promote transparency, accountability and development of all SAP stakeholders both at the secretariat and grass root levels.
2. Promote community-ownership of monitoring and evaluation among community representatives and grass-root workers as a way of enhancing effective community participation of local people in the development process.
3. Promote results-based management at Divisional/Departmental levels in a way that utilizes quality standards and indicators to track

- progress of SAP Uganda activities.
4. Increase skills of key staff to be able to carry out effective monitoring and evaluation that is well incorporated into Project plans.

7.1 Programme monitoring

Monitoring is defined as a continuous function that aims primarily to provide the management and main stakeholders of an ongoing intervention with early indications of progress, or gaps thereof, in the achievement of results. An ongoing intervention might be a project, program or another kind of support to an outcome.

Monitoring will be done to track the progress towards achieving the monitoring indicators set in the project performance monitoring plan (PMP). Monitoring will be done by various stakeholders using the standard monitoring tools on a quarterly basis. Such stakeholders include project steering committees, SAP staff, Program Manager, slum volunteers, other community resource persons, etc.

Using a developed database, each project will be analyzed depending on their respective data, produce reports or trends. A system will be established for each project to share the monitoring reports with project committees, district officials and Slum Aid project (SAP) management. Such mechanisms will include community meetings and quarterly monitoring reports as appropriate.

Summary monitoring reports will be prepared by the Slum volunteers and SAP field staff and be submitted to the Program officer (PO) on a quarterly basis. The PO will do a similar analysis and produce trends for the project. Summary reports will then be submitted to the Program Manager who will produce monitoring reports for the secretariat, which will be shared with

SAP Networking organizations, government departments, UN agencies and other stakeholders.

All Monitoring efforts aim to identify progress towards results. Using the information gained through monitoring, the Program Manager must analyze and take action on the program and project activities that are contributing to intended results. Results that are within the strategic areas of support in the strategic results framework for the country or organization.

7.2 Programme evaluation

Evaluation is the systematic and objective assessment of the relevance, efficiency, effectiveness or efficacy of an on going or completed development activity/intervention. Evaluation is not a one-time event, but an exercise involving assessments of differing scope and depth carried out at several points in time in response to evolving needs for evaluative knowledge and learning during the effort to achieve an outcome. All evaluations that assess relevance, performance and other criteria need to be linked to outcomes as opposed to only implementation or immediate outputs. Programme evaluation is defined as the facilitation of informed judgements by stakeholders about the merit or worth of a programme, based on verifiable evidence

Programme evaluation at Sap will be done in a participatory manner, where all stakeholders will be involved at all levels. Programme evaluation is one of the processes in the bigger transformational development process that SAP Uganda facilitates in the communities. Evaluations generate information that is used by various stakeholders especially management to facilitate better design and planning of the projects.

The different types of evaluation work covered by this strategy include;

1. Annual reviews,
2. End of phase evaluations,

3. Mid term evaluations,
4. Final evaluations.
5. Ex post evaluation

7.3 Periodic Reviews

This is done to assess the performance and progress of a project's development over a period of four months (*on quarterly basis for the purpose of reviewing the quarter and planning for the next quarter*). The exercise will be participatory and will involve officials from the district (where applicable) and sub-county, project committees, local leaders and other implementers including volunteers and staff. The review will examine objectives and plans for achievements, constraints, and effects or impacts together with stakeholders. Using the findings, plans will be made for the next quarter taking into account non-accomplishments of the previous quarter. This will take place every quarter and will be attended by the Programme Manager.

7.4 End of Phase Evaluation

This is done at the end of the phase of a project. This evaluation assesses the appropriateness of project design, impact of the project on target beneficiaries, effectiveness of management methods, sustainability potential, as well as institutional and organisational capacities of projects. It documents and makes recommendations for the redesign of the following phase. This evaluation may be facilitated internally by Slum Aid project (SAP) Uganda staff or by a consultant as the need may arise. *See evaluation process for clarity.*

7.5 Mid-term Evaluation

This type of evaluation is for grant-funded projects and is done mid-way through the project. The purpose of the evaluation and process is as stipulated in the evaluation process.

Final Evaluation

This is done in the final quarter of the project life. It is done to assess impact of project on target beneficiaries and document learnings for future programming of similar projects. The process is as set in Evaluation process

Ex-post Evaluation

This is an external and in-depth study of the impact of a project on the target population after 5-10 years of project termination. This will only be done on special request due to specific management. This is done with the help of the community support groups and the SAP volunteers.

Evaluation process

The following process will be adopted in planning and carrying out evaluations:

1. The project team develops terms of reference (TORs). The Program Manager reviews TORs and gets input from Executive Director or donor agency.
2. Consensus is built on whether the evaluation will be internal or external.
3. Evaluation facilitator is identified. If it is external facilitator, the Slum Aid project (SAP) Uganda procurement process is followed.
4. The facilitator develops the evaluation methodology and tools. These will be agreed to with the Program Manager. To ensure consistency, The Indicators already developed will be used at this level.
5. Whether the evaluation is internal or external, the PM will play a key role in planning and implementing the evaluation. For capacity building purposes, the project team will participate in data collection. additional data collectors will be identified from the project community and trained by the facilitator/evaluation facilitator.

6. There will be evaluation feedback both to the project teams (staff and committee) and to SAP management. This will be in form of evaluation reports and oral presentations. The PM will be responsible for communicating the evaluation to the support office and act on whatsoever feedback.
7. If an external consultant will be engaged to facilitate the evaluation, he/she will have to submit the database to the PM Specialist.
8. After the evaluation report is submitted, the project team will be expected to develop a work plan for implementation of the recommendations within a one month period. They will then report on this on a monthly basis to the Program Manager. It will be the responsibility of the Program Manager to ensure that the evaluation recommendations are implemented.

Internal versus external evaluations

Projects may use either internal or external evaluators. For capacity building purposes, at least 10% percent of all the evaluations will be conducted by internal facilitators every year. Internal evaluations means the project teams, guided by the PM will plan and implement the evaluation processes. On the other hand an external evaluation is when you bring in a consultant to plan and implement the evaluation.

Recruitment of a consultant.

There is no central evaluation specification of who a consultant can be, but different organizations have put in place system to direct them when choosing a consultant. SAP will follow the procurement process to select a consultant. SAP may also consult the donor(s) in the field if they would like to propose a consultant, This may be seen as a protection on the donors side to have a credible evaluation conducted.

Major donors often have lists of consultants ready to work in the country.¹ Another solution could be to issue a call for proposals open to international and national consultants. That process is, however, more time consuming than the identification through informal contacts and it will be more difficult to have objective recommendations on their professional capacities.

SAP could also approach universities locally as professors are sometimes ready to conduct evaluations as local consultants, in addition to their work.

The Project management team and Executive Director have, however to guarantee that the candidate(s) really has an appropriate background and specific experience. This could be problematic but interviews can be conducted before the final selection.

SAP will only enter into a formal contract with the consultant after ensuring beyond doubt that the person has the reasonable and evidenced experience to do an evaluation. governments/organizations have faced gaps in their final evaluation reports because they did not take time to scrutinize the consultant qualifications before selecting him to carry on the evaluation. Because of the rampant corruption in the developing world many fake consultants do exist. One needs to take greater caution when selecting the consultant to carry on the evaluation. You need to do a critical assessment of his previous experiences and referees, or you may select a 'brief case' consultant, as they are referred to here. In the case of learning through evaluations, at SAP we use the term evaluation in its inclusive sense, referring to the collection of evidence as well as its processing, valuing and weighing. In this context, evaluation is always about learning, about how to be accountable, how to be transparent and how to learn from experience

7.2 Operations Audit

Operations audit will be done in accordance to the Slum Aid project (SAP) guidelines. The Program team headed by the program manager will carry out operations audits for projects in

¹ USAID has lists of credible consultants in every country for easy accessibility.

their respective regions. The timing of the operations audit will coincide with that of the end of phase evaluation so that the learnings of both processes are used for the redesign.

7.3 Operations Research

Slum Aid project (SAP) is a learning organization. To enhance learning, topical issues that inform policy will be identified and a team of competent researchers identified to lead this process. Ministry Quality Division, Programmes Division and Communication and Advocacy Division will work together to identify topics for research.