DAY TWO

Session 4
Organizational Structure for M&E

Instructions to Facilitators

PRE- SESSION

08:30 – 09:00 Overview of the Days' Activities

- Review of the previous day's activities
- Summary of the evaluation of the previous day
- Overview of the day's activities

OBJECTIVES

By the end of the pre-session, the participants will be able to do the following:

- Assess the progress of the workshop (10 minutes)
- Summarize the evaluation of the previous day. (10 minutes)
- Present the objectives and describe the agenda for the day's activities. (10 minutes)

Use the PowerPoint to present the objectives of the day. Refer to the schedule & activities in the binder.

SESSION 4

09:00 – 10:30 Session 4. Organizational structure for M&E
10:30 – 10:45 Tea/Coffee Break

OBJECTIVES

By the end of this session, the participants will be able to do the following:

- Explain to others the key concepts relating to designing and aligning the organizational structure for M&E.
- Analyze the steps to take to design and align the organizational structure for M&E in their NARS organization.
- Discuss the steps to design an M&E organizational structure of appropriate size and responsibilities for their organization.

PROCEDURE

Learning Strategies: presentation, take two for better brainstorming technique and plenary discussion.

PRESENTATION

(*experience)* Distribute the handouts related to this session before your presentation. Next, give a brief presentation on the Organizational Structure. Use the power points to facilitate understanding and learning of the content. At the end of the presentation be sure to ask participants if they have any comments or questions, or if they need clarification. (30 minutes)

EXERCISE 4

Exercise 4. Analyzing the M&E functions and their impact in your organization. (60 minutes)

1. *(experience)* Distribute handouts 2.4.5 through 2.4.7. Handout 2.4.5 gives clear instructions for the exercise. Go over the instructions with the participants step by step.

Phase 1. Individual preparation (15 minutes)

2. (*experience)* Participants work on phase 1, item 1. Invite them to provide two responses to the questions on the worksheet, to record their individual observations
3. (*experience, process)* Next, invite the participants to work with colleagues from the same organization in a small group process during the phase 2 to share and discuss their individual responses.

Phase 2. Working in small groups (20 minutes)

4. (*experience)* Invite participants to form small groups of participants and ask each group to elect a rapporteur.
5. (*process, generalization)* The groups analyze the individual responses and discuss the main issues raised. Next, they come to a consensus on what they prefer to present to the audience which represents their group view. The rapporteur writes these two major responses on the flipchart to present to the audience during the next phase.

Phase 3. Reporting (20 minutes)

6. (*process, generalization)* The rapporteurs present the groups' two major responses to the questions related to the organizational structure for M&E and share the process which took place during the group discussion. .
7. (*generalization)* The facilitator opens the floor for discussion. At the end, the facilitators invite one or two volunteers to provide feedback on the exercise.

CLOSURE

Closure (5 minutes)

(application) .Ask the participants "What have you learned during this presentation?" Make a transition to the next session.

Monitoring and Evaluation System for NARS Organizations in PNG

DAY TWO — Overview

Objectives

By the end of the day the participants will be able to do the following:

- Explain to others the key concepts relating to designing and aligning the organizational structure for M&E.
- Analyze the steps to take to design and align the organizational structure for M&E in their NARS organization.
- Discuss the usefulness of monitoring and evaluation in management.

Handouts

2.4.1 Overview
2.4.2 Tentative Schedule
2.4.3 Power Point Presentation. Organizational structure for M&E
2.4.4 Summary of presentation
2.4.5 Exercise 4. Analyzing the M&E functions and their impact in your organization
2.4.6 Exercise 4. Worksheet 1
2.4.7 Exercise 4. Worksheet 2
2.5.1 PowerPoint Presentation. Review of the organizational strategy
2.5.2 Summary of presentation
2.5.3 Exercise 5. Review of the organizational strategy
2.5.4 Exercise 5. Worksheet
2.5.5 Exercise 5 Examples of answers
2.5.6 Additional Reading: Reviewing The Cascading Logic Concept
2.6.1 PowerPoint Presentation. Developing indicators
2.6.2 Summary of presentation
2.6.3 Exercise 6. Developing indicators
2.6.4 Exercise 6. Worksheet. Group 1
2.6.5 Exercise 6. Worksheet. Group 2
2.6.6 Exercise 6. Worksheet. Group 3
2.6.7 Exercise 6. Worksheet. Group 4
2.6.8 Exercise 6 Results: PowerPoint presentation
2.6.9 Additional Reading: Baselines
2.6.10 Feedback of the day
2.6.11 PAPA

Monitoring and Evaluation System for NARS Organizations in PNG

DAY TWO — Tentative Schedule

08:30 – 09:00 **Opening of the Day's Activities**

09:00 – 10:30 **Session 4. Organizational structure for M&E**
(Presentation and Exercise 4)

10:30 – 10:45 Tea/Coffee Break

10:45 – 13:00 **Session 5. Review of the organizational strategy**
(Presentation and Exercise 5)

13:00 – 14:**00** **Lunch**

14:00 – 15:30 **Session 6. Developing indicators**
(Presentation and Exercise 6)

15:30 – 15:45 Tea/Coffee Break

15:45 – 16:45 **Session 6. (continued)**
(Exercise 6)

16:45 – 17:00 **Feedback on the Day's Activities**

DAY TWO Session 4 PowerPoint Presentation

Monitoring and Evaluation Systems
for NARS organizations
in Papua New Guinea

Day 2. Session 4.

organizational structure for M&E

2.4.1

Learning objectives

By the end of this session, participants will be able to:

- Explain to others the key concepts relating to designing and aligning the organizational structure for M&E.
- Analyse the steps to take to design and align the organizational structure for M&E in their NARS organization.
- Discuss the usefulness of monitoring and evaluation in management.

2.4.2

What is an organizational structure?

- describes the hierarchy or chain of command, the reporting lines, and the systematic arrangements of work in an organization
- depicted in an organizational chart or organogram, showing how the various parts of the organization relate to each other

(adapted from Görgens and Kusek 2009)

2.4.3

Why an organizational structure?

- organizations are made up of people doing their job
- organizations need to decide on the right structure and arrangements to enable their staff to do their job well in order for the organization to achieve its goal

2.4.4

Organizational structure for M&E

Organizations need to ask two questions:

1. What organizational structure does the organization need for efficient and effective M&E of the organizational strategy?
2. How are M&E functions being included and/or aligned in the existing organizational structure?

2.4.5

How to design and align an organizational structure for M&E?

Seven steps:

1. Define why your organization needs an M&E system
2. Fostering senior management commitment and leadership
3. Define M&E functions. What needs to be done?
4. Group major M&E functions and assign M&E responsibilities to positions
5. Designing the organizational structure for M&E
6. Performance assessment and reward system
7. Plan implementation, approve and implement the new organizational structure

2.4.6

1. Define why your organization needs an M&E system

- know why M&E is necessary and useful to the organization and its success
- to motivate staff to amend the organizational structure to include M&E functions
- discuss the reasons why M&E is useful
- find examples or case studies from similar organizations where M&E has worked and worked well

2.4.7

2. Fostering senior management commitment and leadership

- Motivate staff to get involved themselves
- Managers that are supportive of M&E are your allies for the cause
- Manage the managers who are sceptical to get their support
- Discuss the reasons for aligning the organizational structure, the process , the benefits, the timing, the costs

2.4.8

3. Define M&E functions. What needs to be done?

M&E functions are the major activities or major jobs that need to be done:

a) to facilitate an enabling environment for effective and efficient M&E, and

b) to conduct M&E of the organizational strategy of the NARS organization

2.4.9

3. Define M&E functions. What needs to be done?

M&E functions to facilitate the enabling environment - Conditions and capacities:

- lead M&E system planning processes
- lead M&E system implementation
- develop and coordinate reporting
- design and coordinate M&E communication
- design and coordinate monitoring
- design and coordinate evaluation
- plan and coordinate M&E capacity building
- design and implement a Management Information System (MIS)

etcetera.

2.4.10

4. Group major M&E functions and assign M&E responsibilities to positions

Arrange M&E functions into groups that deliver a specific tangible output or are related to particular aspects of the M&E system:

- M&E capacity building
- M&E planning
- M&E communications
- M&E data storage - MIS
- M&E at the program or project level

etcetera.

2.4.12

4. Group major M&E functions and assign M&E responsibilities to positions

Assign responsibilities to positions

- not each function or group of functions needs a full time staff member
- M&E done by staff with responsibilities beyond M&E

2.4.13

4. Group major M&E functions and assign M&E responsibilities to positions

Position	M&E functions
Head of M&E unit	• lead M&E planning processes • lead M&E system implementation • supervise staff of M&E unit • liaise with senior management on M&E
Project leaders	• manage all project reporting • supervise project staff on M&E • conduct annual project M&E planning • manage project evaluations
CEO	• manage annual reporting for organization • supervise Head of M&E unit and M&E of program leaders • communicate M&E information to organizational stakeholders
Monitoring and Evaluation Officer	• design monitoring methods and tools • coordinate monitoring at all levels • design evaluation methods and tools • coordinate evaluation at all levels

2.4.14

5. Designing the organizational structure for M&E

Identify:

- how positions and people with M&E responsibilities are linked
- how people with M&E responsibilities are going to work together
- how will M&E fit into the existing organizational structure

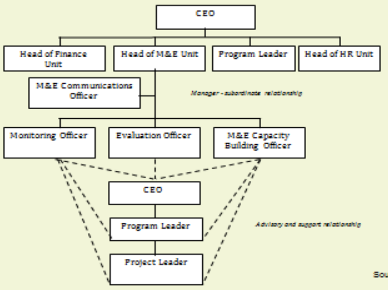
Decide on:

- the managerial hierarchy for M&E
- the chain of command for M&E
- the reporting lines for M&E
- the lines of communication for M&E
- whether the organization needs an independent M&E unit

2.4.15

5. Designing the organizational structure for M&E

Example of an organogram for a NARS organization including M&E



Source: Authors

2.4.16

5. Designing the organizational structure for M&E

Roles of an M&E unit:

- planning
- coordination
- guidance
- independent review
- supervision
- Advice
- communication

on all things related to M&E

2.4.17

5. Designing the organizational structure for M&E

The purpose of the M&E system may provide clues on who may fulfil these roles:

- If the organization places great importance on financial accountability:

  then guidance and coordination on M&E may be provided by the finance division.
- If the organization's emphasis is in M&E to support planning:

  then the M&E function may be coordinated by the planning unit or a combined P, M&E unit may be created.
- If M&E requires greater authority and autonomy in order to implement new ideas, initiate changes requiring important decisions such as on resource allocations:

  then the M&E unit may be closely linked to senior management under the supervision of a senior manager.
- If the independent review function and objectiveness of M&E is paramount to the organization:

  then a dedicated M&E unit may be appropriate.

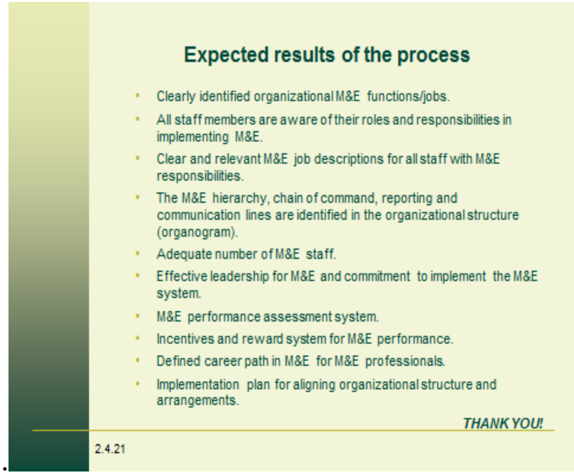
2.4.18

Performance assessment and reward system

- Each staff member needs to be aware of his/her responsibility and role in M&E
- Develop job descriptions that include M&E jobs
- Assess M&E performance
- Reward good M&E performance: formal/informal recognition; higher salary, provide a career path
- Retain high performing staff who is motivated to practice effective and efficient M&E

2.4.19


Plan implementation, approve and implement the new organizational structure
rationale for the new organizational structure
benefits to the organization once it is implemented
changes that are actually being made
activities, responsibilities and the time frame for implementing these changes
cost and resource implications to implement the new structure: staff requirements, time, office space, computers and other costs
2.4.20


Expected results of the process
Clearly identified organizational M&E functions/jobs.
All staff members are aware of their roles and responsibilities in implementing M&E.
Clear and relevant M&E job descriptions for all staff with M&E responsibilities.
The M&E hierarchy, chain of command, reporting and communication lines are identified in the organizational structure (organogram).
Adequate number of M&E staff.
Effective leadership for M&E and commitment to implement the M&E system.
M&E performance assessment system.
Incentives and reward system for M&E performance.
Defined career path in M&E for M&E professionals.
Implementation plan for aligning organizational structure and arrangements.
THANK YOU!
2.4.21

Organizational structure for M&E
(Summary of presentation)

What is an organizational structure?

An organizational structure describes the hierarchy or chain of command, the reporting lines, and the systematic arrangements of work in an organization. It is depicted in an organizational chart or organogram, showing how the various parts of the organization relate to each other (adapted from Görgens and Kusek 2009).

Organizations are made up of people who are supposed to do their job. It is up to the organization to decide on the adequate structure and arrangements to enable its staff to do their job well in order for the organization to achieve its goal.

With regard to designing and implementing an M&E system in a NARS organization, managers have to address the questions:

- What organizational structure does the organization need for efficient and effective M&E of the organizational strategy?
- How are M&E functions being included and/or aligned in the existing organizational structure?

How to design and align an organizational structure for M&E?

1. **Define why your organization needs an M&E system**

Unless your organization knows why M&E is necessary and useful to the organization and its success, neither management nor the staff will be motivated to amend the organizational structure to include M&E functions. It may be helpful to discuss the reasons why M&E is useful and find examples or case studies from similar organizations where M&E has worked and worked well (Görgens and Kusek 2009).

2. Fostering senior management commitment and leadership

Even though setting up the right organizational structure and arrangements is mostly a technical process it is essential to ensure that managers are committed to the process and provide leadership. Staff who sees managers supporting and leading the organizational re-structure may be more inclined and willing to get involved themselves. Managers that are supportive of M&E and who are ready to use the results of M&E in their decision-making will make good allies for the cause. Those managers who are skeptical about M&E and unconvinced of the usefulness of M&E results in decision-making may need to be managed carefully to get their endorsement. Managers need to be made fully aware of the reasons for aligning the organizational structure and arrangements to include M&E, the process to do so and its benefits in order to approve the process and provide their support. They need to be fully informed about the timing and costs in order to commit the resources for the re-structure.

To be successful the process of aligning the organizational structure and arrangements for M&E requires the leadership and commitment of senior management through the following actions (adapted from Ketz de Vries 2001 in Görgens and Kusek 2009):

a) Foster dialogue, openness, shared commitment and urgency by briefing all staff on the need to change the organizational structure, its purpose, the scope of changes to be expected and the benefits it will bring.
b) Managing staffs' expectations about what the change process will and will not involve.
c) Briefing employees on the progress of the alignment process.
d) Giving employees the opportunity to provide input into the process and to express their concerns and frustrations in a safe environment where they can speak freely.
e) Making firm decisions once the process has been started.
f) Communicating the decisions that have been made.

3. Define M&E functions. What needs to be done?

M&E functions are the major activities or major jobs that need to be done:

a) to facilitate an enabling environment for effective and efficient M&E, and
b) to conduct M&E of the organizational strategy of the NARS organization.

(a) M&E functions to facilitate an enabling environment for M&E include all major activities to implement optimal conditions and provide all necessary capacities for managers and staff to conduct efficient and effective M&E. These M&E functions are overarching, organization wide functions that support managers and staff at all levels and may be identified during the design process for the M&E system. They may include activities such as:

- lead M&E system planning processes;
- lead M&E system implementation;
- develop and coordinate reporting;
- design and coordinate M&E communication;
- design and coordinate monitoring;
- design and coordinate evaluation;
- plan and coordinate M&E capacity building;
- design and implement a Management Information System (MIS).

Designing and implementing optimal conditions and provide the necessary capacities for the M&E system to work will be planned and coordinated for the entire organization under the responsibility of senior management, assisted by an M&E unit or M&E personnel.
(b) The major M&E jobs with regard to conducting M&E of the organizational strategy are specific for each organizational level (strategic, program, project, project activity). The

specific M&E functions can be derived from the planning and M&E documentation of the various levels:

- strategic plan;
- program plan;
- project plan;
- project activity plan.

The M&E operations plans in these documents describe the M&E arrangements for all interventions at each level. The M&E operations plans can be used to determine the M&E activities or major M&E jobs that need to be done at each level, which may include:

- manage monthly monitoring data;
- manage production of reports;
- conduct annual M&E work planning;
- manage evaluations;
- supervise and guide staff on M&E;
- manage communication of M&E data.

4. Group major M&E functions and assign M&E responsibilities to positions

Once the M&E functions that need to be done are identified the M&E functions may be grouped together. This may be done by arranging M&E functions into groups that deliver a specific tangible output or are related to particular aspects of the M&E system or research implementation, such as M&E capacity building, or M&E planning, M&E data storage (MIS) or M&E at the program or project level. The M&E operation plans for interventions describe responsibilities for particular M&E activities at each level and may be used to extract relevant information for this step.

The specific responsibilities for a particular M&E function or group of functions then need to be assigned to a position in the organization. Each M&E function needs to be done by someone.

However, not each M&E function or group of functions needs a full time staff member. M&E functions may be allocated to staff members who have other responsibilities in the organization apart from M&E. This will be the norm for the M&E functions related to conducting M&E of the interventions in a NARS organization.

For example the researchers and project staff are mainly responsible to implement project activities, however they also have a major responsibility for M&E of the projects and project activities.

Similarly the monitoring and ongoing evaluation of the program will normally be the responsibility of the program leaders; however this will not be their sole job or activity as most likely they will also be working on project activities.

An assessment of M&E responsibilities and currently available M&E positions in the organization may help in planning and re-aligning the organizational structure and identifying the additional personnel resources required for the M&E system to work.
Table 2.1 gives examples of possible allocation of M&E responsibilities to positions in a NARS organization.

Table 2.1: Examples of possible allocation of M&E responsibilities to positions in a NARS organization

Position	M&E functions
Head of M&E unit	• lead M&E planning processes; • lead M&E system implementation; • supervise staff of M&E unit; • liaise with senior management on M&E;
Project leaders	• manage all project reporting; • supervise project staff on M&E; • conduct annual project M&E planning; • manage project evaluations;
CEO	• manage annual reporting for organization; • supervise Head of M&E unit and M&E of program leaders; • communicate M&E information to organizational stakeholders;
Monitoring and Evaluation Officer	• Design monitoring methods and tools; • coordinate monitoring at all levels; • design evaluation methods and tools; • coordinate evaluation at all levels;

5. Designing the organizational structure for M&E

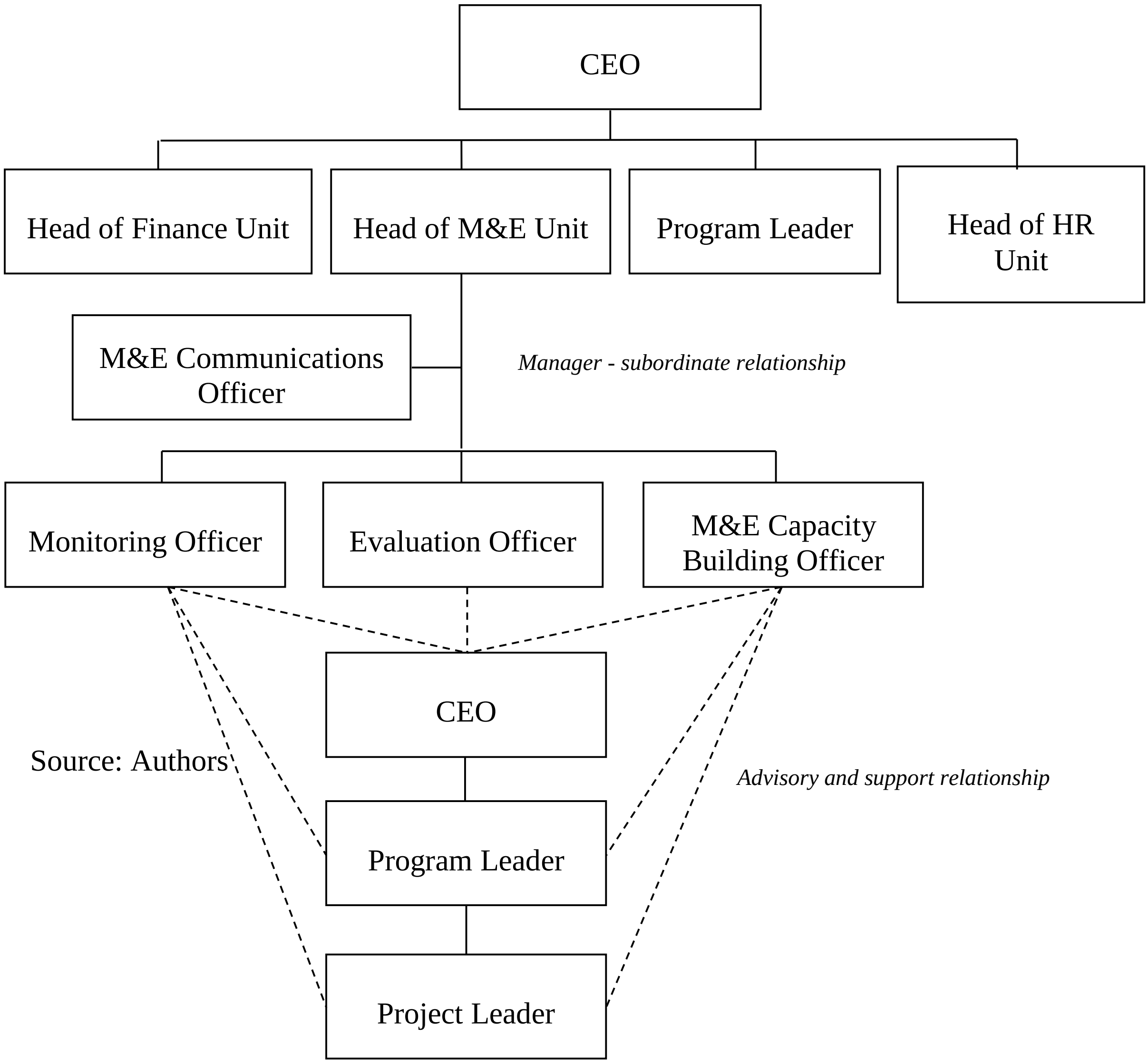
When the required positions and responsibilities for M&E are identified and planned, an appropriate organizational structure for the organization can be designed that includes M&E. The organizational structure identifies how positions and people with M&E responsibilities are linked, how they are going to work together and how M&E will fit into the existing organizational structure. This requires deciding on the managerial hierarchy, the chain of command, the reporting lines and the lines of communication for M&E: Who reports to whom on M&E? Who supervises whom on M&E? Who is the boss? etc.

The existing organizational structure has to be kept in mind when aligning the structures required for M&E. It may be helpful to discuss how much independence and teamwork is necessary and can be expected from staff to conduct their M&E jobs in order to reduce the

need for manager – subordinate relationships and make the organizational structure less hierarchical. For example the NARS organization may envisage that M&E of the interventions will be implemented largely independently in a team approach by program and project staff. M&E staff will mainly have an advisory and support role for program and project staff instead of a direct supervisory and directive role (M&E manager – M&E subordinate). If this independence cannot be expected from staff then there may be need for a more direct chain of command regarding M&E of the interventions.
The organizational structure can be visually depicted by an organogram.

Figure 2.1 (next page) shows an example of an organogram for a NARS organization including M&E.

Figure 2.1: Example of an organogram for a NARS organization including M&E.



Source: Authors

Designing the right organizational structure for M&E requires a decision on whether an independent M&E unit in the organization is needed. The purpose of an M&E function/unit is to ensure that the organization is able to generate and feedback information to allow the decision-makers of the organization to use evidence when making decisions (Görgens and Kusek 2009).

Having identified in step 1 why the organization needs M&E and why M&E is important for the organization may provide clues on whether an M&E unit is needed and where in the organogram it may be located. For example:

- If the organization places great importance on financial accountability, then guidance and coordination on M&E may be provided by the finance division.
- If the organization's emphasis is in M&E to support planning, then the M&E function may be coordinated by the planning unit or a combined P, M&E unit may be created.
- If M&E requires greater authority and autonomy in order to implement new ideas, initiate changes requiring important decisions such as on resource allocations, the M&E unit may be closely linked to senior management under the supervision of a senior manager.
- If the independent review function and objectiveness of M&E is paramount to the organization then a dedicated M&E unit may be appropriate.

In any case the M&E unit has to work in close collaboration with the finance and planning divisions of the organization. The decision on whether an independent M&E unit is needed includes decisions on the types of positions and the adequate staffing levels of the M&E unit, and whether some M&E functions can be outsourced (such as data management or implementing impact evaluation).

6. Performance assessment and reward system

When positions and responsibilities and the linkages between positions have been identified in the organizational structure, the M&E jobs need to be formally assigned to staff members in the organization. Each staff member that is assigned an M&E job needs to be aware of his/her role and responsibilities in M&E.

This involves developing M&E job descriptions for each position or including the particular M&E jobs in the existing job descriptions of staff members. A job description is a document that describes the tasks a staff member is required to do, and how they are done. Developing M&E job descriptions allows managers to assess the performance of their subordinates with regard to M&E. Formal M&E performance assessment is a prerequisite to an incentives system to reward staff that perform their M&E tasks well.

Rewarding or motivating staff to perform may include a variety of incentives: formal and informal recognition, salary increases, etc. Retaining good M&E staff may also require providing a career path within the organization for staff with outstanding M&E performance. Adequate human resource policies that foster a performance and motivation approach and sound human resource practices are essential in retaining high performing staff who is motivated to practice effective and efficient M&E.

7. Plan implementation, approve and implement the new organizational structure

Once the new or aligned organizational structure including M&E is developed the team in charge needs to develop a plan of how the new structure will be implemented. The plan should describe the rationale for the new organizational structure and the benefits to the organization once it is implemented. The plan should spell out clearly what changes are actually being made and include the activities, responsibilities and the time frame for implementing these changes. It also includes identifying the cost and resource implications to implement the new structure, such as the additional staff requirements, time requirement of existing staff for M&E, office space, computers and other costs.

The new or aligned organizational structure including M&E and the implementation plan need to be approved by the organization's management.

Once the organizational structure and the implementation plan are approved the plan needs to be implemented. The implementation is supported by the existing management processes and systems such as human resource management (recruitment, training, performance assessment), financial management, physical resource management and administration.

Expected results of the process

The expected short to medium term results of the process are:

- Clearly identified organizational M&E functions/jobs.
- All staff members are aware of their roles and responsibilities in implementing M&E.
- Clear and relevant M&E job descriptions for all staff with M&E responsibilities.
- The M&E hierarchy, chain of command, reporting and communication lines are identified in the organizational structure (organogram).
- Adequate number of M&E staff.
- Effective leadership for M&E and commitment to implement the M&E system.
- M&E performance assessment system.
- Incentives and reward system for M&E performance.
- Defined career path in M&E for M&E professionals.
- Implementation plan for aligning organizational structure and arrangements.

References

Görgens, Marelize and Kusek, Jody Zall (2009). Making Monitoring and Evaluation Systems Work: A Capacity Development Toolkit, World Bank

Ketz de Vries, M.F.R. (2001). The leadership mystique: A user's manual for the human enterprise. London: Prentice Hall, Financial Times.

Exercise 4. Analyzing the M&E functions and their impact in your organization

(take two for better brainstorming: a modified technique)

Phase 1. Individual preparation (15 minutes)

1. Use worksheet 1 (handout 2.4.6) to answer the following questions.

   (a) Describe two major M&E functions/jobs/activities done in your organization. Who does them?

   (b) Which two important M&E functions/jobs/activities are currently not done? Who should do them?

   (c) Does your organization have an M&E unit?

   - If not, does it need one? Why yes or why not?
   - If yes, what are its current roles?

   (d) *If your organization has or requires a specific M&E unit:*

   - Where in the organizational structure is or should the M&E unit be located?

   (e) If your organization does not have or require a specific M&E unit:

   - Where in the organizational structure is or should the M&E coordination role be located?

   (f) Reflect and respond to the following: which of the short to medium term results are already visible in your organization? Mark with X in the parenthesis.

   ( ) Clearly identified organizational M&E functions/jobs.

   ( ) All staff members are aware of their roles and responsibilities in implementing M&E.

   (..) Clear and relevant M&E job descriptions for all staff with M&E responsibilities.

   ( ) The M&E hierarchy, chain of command, reporting and communication lines are identified in the organizational structure (organogram).

   ( ) Adequate number of M&E staff.

   ( ) Effective leadership for M&E and commitment to implement the M&E system.

   ( ) M&E performance assessment system.

   ( ) Incentives and reward system for M&E performance.

( ) Defined career path in M&E for M&E professionals.

( ) Implementation plan for aligning organizational structure and arrangements.

2. Write a brief sentence to summarize your view on the M&E function within your organization. Use worksheet 1 (handout 2.4.6).

Phase 2. Working in small groups (20 minutes)

3. Form groups with colleagues from the same organization, and each group electing a rapporteur to write down carefully the group's consensus on the responses. Keep in mind that the **rapporteur** should include his/her own contributions as well.
4. Discuss the individual inputs, and write the two most important responses which your group decided to present to the audience, during the next phase of this exercise. The group members should take note of the discussion on the worksheet 2 (handout 2.4.6) to record the inputs of the entire group.
5. Finally the group assists the rapporteur to write the results them on the flipchart.

Phase 3. Reporting (20 minutes)

6. The rapporteurs present the groups' two major responses to the audience and make comments on the importance of this exercise for them.
7. The facilitator opens the floor for discussion. At the end, the facilitators invite one or two volunteers to provide feedback on the exercise.
8. The facilitator asks one or two participants the following: "what have you learned during this exercise which will contribute for your personal and professional development?" Finally, he/she provides the participants with a constructive feedback on the process and closes the session.

Exercise 4. Worksheet 1

(Individual work: 15 minutes)

(a) Describe two major M&E functions/jobs/activities done in your organization. Who does them?

____

____

(b) Which two important M&E functions/jobs/activities are currently not done? Who should do them?

____

____

(c) Does your organization have an M&E unit?

- If not, does it need one? Why yes or why not?
- If yes, what are its current roles?

____

____

(d) *If your organization has or requires a specific M&E unit:*

- Where in the organizational structure is or should the M&E unit be located?
  ____

(e) If your organization does not have or require a specific M&E unit:

- Where in the organizational structure is or should the M&E coordination role be located? ____

(f) Reflect and respond to the following: which of the short to medium term results are already visible in your organization? Mark with *X* in the parenthesis.

( ) Clearly identified organizational M&E functions/jobs.

( ) All staff members are aware of their roles and responsibilities in implementing M&E.

(..) Clear and relevant M&E job descriptions for all staff with M&E responsibilities.

( ) The M&E hierarchy, chain of command, reporting and communication lines are identified in the organisational structure (organogram).

( ) Adequate number of M&E staff.

( ) Effective leadership for M&E and commitment to implement the M&E system.

( ) M&E performance assessment system.

( ) Incentives and reward system for M&E performance.

( ) Defined career path in M&E for M&E professionals.

( ) Implementation plan for aligning organizational structure and arrangements.

3. Write <u>a brief sentence</u> to summarize your view on the M&E function within your organization.

____

____

.

Exercise 4. Worksheet 2

(Group work: 20 minutes)

Name of the Institute: ____

(a) Discuss the individual responses to come to a consensus on the **two most important responses** to present to the participants. Jot down in this handout the lessons learned during this process.

DAY TWO

Session 5
Review of the Organizational Strategy

Instructions to Facilitators

SESSION 5

10:45 – 13:00 Review of the organizational strategy
13:00 – 14:00 Lunch

OBJECTIVE

By the end of this session, the participants will be able to do the following:

- Describe what constitutes the organizational strategy for their organization and how it was planned.
- Discuss why it is necessary to review the organizational strategy or plan and individual strategies for interventions.
- Present the concepts and tools to review an organizational strategy or plan and individual strategies for interventions.
- Apply the concepts and tools to review their NARS organizational strategy as a prerequisite for designing their organization's M&E system.

Use PowerPoint to present the objectives of this session

PROCEDURE

Learning strategies: brief presentation mixed group work (participants from different organizations) and plenary discussion.

PRESENTATION

(experience) Distribute the handouts for this session. Give a brief presentation on Developing the organizational strategy for PNG NARS organizations using the Power Points to facilitate understanding and learning. At the end of the presentation be sure to ask participants if they need clarification. (30 minutes)

EXERCISE 5

Exercises 5. Review of the organizational strategy (1 hour 45 minutes)

Phase 1. Group work (45 minutes)

NOTE: *Do not distribute handout 2.5.5 until the exercise has been entirely completed by the participants. This handout provides possible answers to the questions of this exercise. It aims to reinforce learning. Make copies to distribute the handout before you present the results in plenary.*

(experience, process) Divide the participants into four small mixed groups. Invite each group to elect a rapporteur. Distribute the exercise

handout and read it, step by step. Groups read, discuss, and respond to the tasks assigned to them in the Exercise 5 Part A) and Part B).

(*experience, process)* As the groups work, circulate from group to group to check progress. Clarify any concerns they may have while working. Be sure to remind the groups of the time remaining in the exercise.

Phase 2. Reporting and discussion (45 minutes)

(*process, generalization).*The rapporteurs present the group's results to the audience. Each rapporteur has few minutes to present.

(generalization) The facilitator will ask the participants to draw conclusions from what they are learning during this session to be prepared to apply.

CLOSURE

Closure (15 minutes)

(*generalization)* The facilitator invites volunteers to provide feedback.

(*application)*The facilitator asks for few lessons learned, and invites the participants to state how these lessons learned will be applied in their organizations.

The facilitator then, summarizes her/his observations and makes transition for the next session.

DAY TWO Session 5 PowerPoint Presentations

Monitoring and Evaluation Systems
for NARS Organisations
in Papua New Guinea

Day 2. Session 5.

Review of the organizational strategy

2.5.1

Learning objectives

By the end of this session, participants will be able to

- Describe what constitutes the organizational strategy for their organization and how it was planned.
- Discuss why it is necessary to review the organizational strategy or plan and individual strategies for interventions.
- Present the concepts and tools to review an organizational strategy or plan and individual strategies for interventions.
- Apply the concepts and tools to review their NARS organizational strategy as a prerequisite for designing their organisation's M&E system.

2.5.2

Developing the organizational strategy for PNG NARS organizations

Organizational (strategic) level	strategic planning
Program level	program planning
Project level	project planning
Project activity level	project activity planning

2.5.3

Result of planning process

Individual strategies for the interventions are described in separate documents:

1. The strategic plan
2. Program plans
3. Project plans
4. Project activity plans

All individual strategies for interventions make up the organizational strategy

2.5.4

Precondition for M&E

A precondition to designing an M&E system is that the planning process has been completed and that all planning documents describing the individual strategies for all current interventions are prepared.

2.5.5

Planning documents

Purpose:

- describe in detail the intervention's strategy
- record what was discussed and agreed by stakeholders and staff
- serve as a repository of information and data generated during the planning phase
- guide managers and staff during implementation
- reference for outsiders to learn about particular interventions and the organizational strategy as a whole
- basis for future planning or re-planning
- foster consensus and common understanding on what an intervention attempts to achieve
- provide the information needed to conduct efficient and effective M&E.

2.5.6

Planning documents

Purpose:

- Constitute the organizational memory on interventions
- Should be freely accessible and referred to regularly by managers and staff
- Should be prepared according to a standardised template or table of content for each type of intervention

2.5.7

Planning documents

Basic content of a project plan:

1. Background
   - The problem and why it is urgent
   - What has already been done
2. Beneficiaries
3. Project logframe: goal, purpose, outputs
4. Project activities
5. Project management
6. Time frame/overall work plan
7. Summary of inputs
8. Budget
9. M&E plan

2.5.8

Purpose of reviewing the organizational strategy

To ensure that it is sufficiently developed and defined for effective and efficient M&E of the strategy to take place.

2.5.9

Purpose of reviewing the organizational strategy

- Overall organizational strategy and the individual strategies of the interventions form the basis for M&E in the NARS organisation.
- Weaknesses in the organizational strategy or the individual strategies for interventions will translate into ineffective M&E.
- Last chance to remedy any weaknesses, check the coherence and development logic, improve strategies
- Take corrective action now and avoid wasting resources
- Do before the specific M&E operations plans for the interventions at all organizational levels are developed.

2.5.10

Checking the design and logic of the organizational strategy

Planning documents describe the hierarchy of objectives for interventions:

- Goal
- Purpose
- Outputs
- Activities

2.5.11

Checking the design and logic of the organizational strategy

Objectives should be SMART

Specific:	Unique to the intervention; succinct description; shared understanding; according to level of objective.
Measurable:	Ability to provide some proof that objective has been achieved.
Achievable:	Ability to achieve the objective with the existing means and resources, time and in the present environment.
Relevant:	Achievement of this objective is necessary for the strategy to succeed
Time-framed:	Clear description when objectives have to be achieved.

2.5.12

Checking the design and logic of the organizational strategy

- hierarchy of objectives summarises the solution to an constraint, problem or need – the strategy to solve it
- individual hierarchies of objectives for interventions form the building blocks for the overall organizational strategy
- the organizational strategy relates individual strategies of all interventions
- link to a higher development outcome – ultimately the organizational goal.

2.5.13

Checking the design and logic of the organizational strategy

For the strategy of each particular intervention to contribute to the higher goal, it must include:

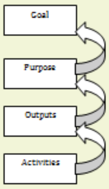
- a plausible purpose related to the goal,
- outputs related to the purposes and
- activities related to the outputs.

If not, organizational strategy cannot succeed, and M&E is a waste of time and resources.

2.5.14

Checking the design and logic of the organizational strategy

Test the vertical logic of the hierarchy of objectives



If purpose, then goal

If outputs, then purpose

If activities, then outputs

2.5.15

Checking the design and logic of the organizational strategy

Test the causality or link between hierarchies of objectives of different interventions

Objectives at Organisational Level			
Strategic Level Objectives (Organisation or Agency)	Program Level Objectives	Project Level Objectives	Project Activity Level Objectives
Organisational Goal			
Organisational Purpose	Program Goal		
Organisational Outputs	Program Purpose	Project Goal	
Organisational Activites	Program Outputs	Project Purpose	Project Activity Goal
	Program Activities	Project Outputs	Project Activity Purpose
		Project Activities	Project Activity Outputs
			Project Activity Activities

A Model of a Cascading Logic for a NARS Organization

2.5.16

Checking the design and logic of the organizational strategy

- Understand the organizational strategy 'on paper'
- Understand the development logic - the path to impact
- Understand how each intervention will contribute to development

2.5.17

Mistakes made when defining and formulating the hierarchy of objectives

- Defining overly ambitious goal/purposes, given local conditions and available resources and capacities.
- Overlooking key activities and outputs that are needed to achieve higher-level objectives (outcomes/purpose/goal).
- Poor logic as to why particular activities are needed for a certain output or particular outputs for a certain purpose.
- Objectives expressed too vaguely to know what will be achieved or how to implement ideas.
- Inclusion of principles, such as "stakeholder participation" or "gender equity", as separate purposes or outputs, instead of integrated into project activities.
- Confusion in the levels of the objective hierarchy.

Source: IFAD 2003

- ***THANK YOU!***

2.5.18

Review of the organizational strategy

(Summary of presentation)

Developing the organizational strategy for PNG NARS organizations

With the assistance of the Agricultural Research and Development Support Facility (ARDSF) the PNG NARS organizations have implemented planning processes to plan their organizational strategies by conducting planning processes for interventions at all levels:

- Organizational (Strategic) Level: strategic planning
- Program Level: program planning
- Project Level: project planning
- Project Activity Level: project activity planning

The results of the planning process were the individual strategies for the interventions that are described in separate documents:

- the strategic plan;
- program plans;
- project plans;
- project activity plans.

All individual strategies for interventions combined make up the organizational strategy. The strategic plan provides the general direction for the organizational strategy. However, as it was developed before the program, project and project activity strategies were developed, it cannot provide the full picture of the organizational strategy.

A precondition to designing an M&E system is that that the planning process has been completed and that all planning documents describing the individual strategies for all current interventions are prepared.

The planning documents describe the interventions' strategies in detail and provide a record of what was discussed and agreed by stakeholders and staff during the planning phase for the interventions.

They serve as a repository of the information and data generated during the planning phase, as guidance for managers and staff during implementation of the respective intervention, as a reference for outsiders to learn about particular interventions and the organizational strategy as a whole and as a basis for future planning or re-planning. The planning documents provide the information needed to conduct efficient and effective M&E. Information contained in the planning documents will be used to develop M&E operations plans for the interventions. Once developed, the M&E operations plans themselves will form part of the respective planning document.
A planning document for an intervention may foster consensus and common understanding on what an intervention attempts to achieve. For example, does staff think the objectives of an intervention are the same as what the manager thinks and what was laid out during the

planning phase? What do stakeholders think they are getting out of the intervention? Is this the same as what managers and staff of the organization expect?

Apart from constituting the organizational memory on interventions, the planning documents are indispensible for effective management of the NARS organization and as such should be freely accessible and be referred to regularly by managers and staff.

The documents should be developed during the planning phase according to a standardized template or table of content for each type of intervention. Box 2.1 shows an example of a program document template as used by the Coffee Industry Corporation (CIC). Box 2.2 shows basic examples of the content of project and project activity plans.

Box 2.1: Example of program document template as used by the Coffee Industry Corporation (CIC)

Title of Program:

i. Preface
ii. Executive Summary
iii. Table of contents

SECTION ONE

1. Introduction
   - 1.1 Overview of the document
   - 1.2 Purpose of document

2. Sub-Sector review with specific emphasis on the program
   - 2.1 Description of the technical, institutional, political, socio-economic and agro-ecological environment of the sub-sector in relation to the program.
   - 2.2 Description of issues and opportunities for the sub-sector that may be addressed by the program.
   - 2.3 Description of the stakeholders and main beneficiaries of the program in the sub-sector.
   - 2.4 Description of the development objectives of the sub-sector and the role the program may have in contributing to these objectives.

3. Review of Development Domains in the sub-sector
   - 3.1 Summary of the main characteristics (agro-ecological and socio-economic factors) with regard to the subject matter/topic of the program.
   - 3.2 Analysis of the development domains with regard to the subject matter/topic of the program.

4. Constraint analysis
   - 4.1 Presentation of tree of constraints for the program.
   - 4.2 Explanation of tree of constraints for the program.

5. Evaluation of past work

SECTION TWO

6. Determination of Program Objectives

    6.1 Description of Program Goal (organizational purpose as per strategic plan).
    6.2 Description of Program Purpose
    6.3 Description of the program's contribution to achieving the Program Goal (organizational purpose).
    6.4 Description of the program strategy

7. Logical framework of the program

8. Identification of projects and project priorities by development domain.
    8.1 Explanation of priority setting method used.
    8.2 Presentation of criteria used in priority-setting exercise.
    8.3 Identification and ranking of projects per development domain .

9. Identification of consolidated projects for the program
    9.1 Description and explanation of approach and result of amalgamating priority projects per development domain into a consolidated list of priority projects for the program.
    9.2 Explanation of changes that were made to the initial consolidated list
    9.3 Presentation of the final list of projects for the program, including ideas for project activities.

SECTION THREE

10. Program management competencies
    10.1 Identification of the knowledge, competencies and skills of the potential manager/leader of the program and his/her deputy.
    10.2 Analysis of the gaps in competencies of program manager and deputy.
    10.3 Outline of strategies for filling competency gaps (recruitment, training, purchasing, etc.)

11. Monitoring and Evaluation plan
    11.1 M&E operations plan
    11.2 M&E budget

SECTION FOUR

12. Conclusions (1-2 pages)
13. References

Box 2.2: Examples of the content of project and project activity plans.

Basic content of a project plan:

1. Background
   a. The problem and why it is urgent
   b. What has already been done
2. Beneficiaries
3. Project logframe: goal, purpose, outputs
4. Project activities
5. Project management
6. Time frame/overall work plan
7. Summary of inputs
8. Budget
9. M&E plan

Basic content of a project activity plan:

1. Background
   a. Rationale of project activity
   b. Relevance of project activity to deliver project output and achieve project purpose
2. Summary methodology: what are you going to do?
3. Project activity logframe: purpose, outputs, activities (tasks)
4. Summary of inputs
5. Project activity team
6. Work plan
7. Budget
8. M&E plan

Purpose of reviewing the organizational strategy

The purpose of reviewing the organizational strategy of the NARS organization is to ensure that it is sufficiently developed and defined for effective and efficient M&E of the strategy to take place.

The overall organizational strategy and the individual strategies of the interventions form the basis of what will be monitored and evaluated in the NARS organization. Weaknesses in the organizational strategy or the individual strategies for interventions will translate into ineffective M&E.

Monitoring and evaluation are resource-intensive activities that can provide managers with a great deal of information about how well their interventions are operating. Figures vary, but depending on specific circumstances the cost for M&E may range between 3 – 10 % of available funding. It is indispensible that managers ensure that they get the required return from this investment in order to allow them to improve the implementation and operation of their interventions as well as measuring the achievement of the interventions.

It is at this stage, when the organizational strategy and individual interventions have been planned, but before the M&E system or its components are being designed and implemented, that something can be done to remedy any weaknesses in the organizational strategy or in the strategy of an intervention.

Determining whether the organizational strategy and underlying individual strategies are ready for M&E prior to planning the M&E arrangements can help ensure that M&E resources are used efficiently.

Therefore this review serves as a last quality control step for the organizational strategy. It will assist managers to improve the coherence of the organizational strategy in general and its development logic in particular. It provides an opportunity for corrective action to improve either the organizational strategy or the individual strategies. It should be done before the specific M&E operations plans for the interventions at all organizational levels are developed.

Checking the design and logic of the organizational strategy

The planning documentation for each intervention needs to lay out its goal, purpose, outputs and activities. These elements are also known as the hierarchy of objectives of an intervention; goal, purpose, outputs and activities are all objectives albeit at different hierarchical levels.

Without adequate definition and formulation of the objectives of the interventions, the interventions and the organizational strategy as a whole cannot be effectively monitored and evaluated.

Objectives should be **SMART**:

Specific: Unique to the intervention; succinct description; shared understanding; according to level of objective.

Measurable: Ability to provide some proof that objective has been achieved.

Achievable: Ability to achieve the objective with the existing means and resources, time and in the present environment.

Relevant: Achievement of this objective is necessary for the strategy to succeed.

Time-framed: Clear description when objectives have to be achieved

Objectives should be formulated in a precise and plausible way that is easily understood, expresses a shared understanding of what the objective means and uses terminology which is unambiguous.

However, the objectives only summarize what the intervention is trying to do or achieve. The indicators can provide more detail on targets, and the planning document will give further description and justification of the objectives.

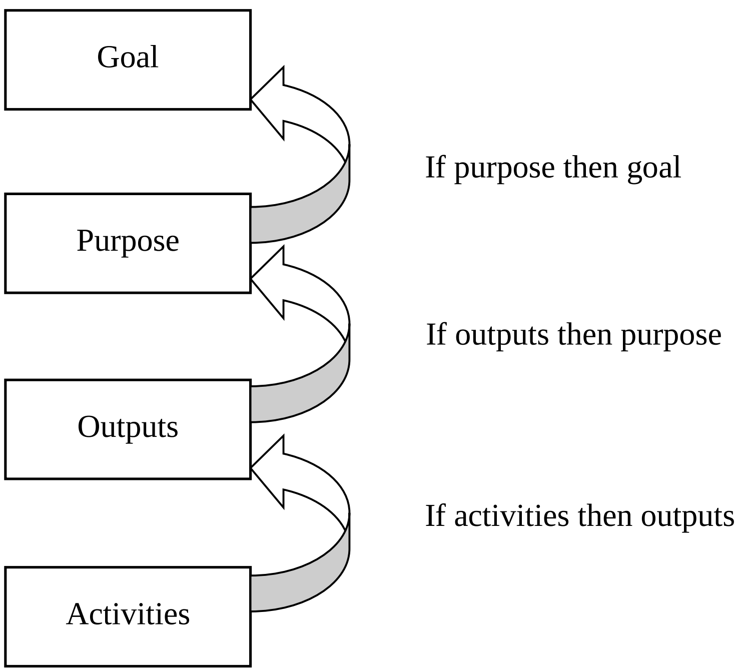
The hierarchy of objectives summarizes the solution to a constraint, problem or need that the designers of the intervention assessed, prioritized and, by developing the strategy, set out to solve. The hierarchies of objectives of all planned interventions form the building blocks for a summary of the overall organizational strategy. The organizational strategy relates the individual strategies of all interventions and links them to a higher development outcome, ultimately the organizational goal.

In order for the strategy of each particular intervention to contribute to the higher level goal, it must include a plausible purpose that is related to the goal, outputs that are related to the purposes and activities related to the outputs. If goals or purposes are unrealistic or unattainable, or outputs are unrelated to purposes and activities unrelated to outputs, then the organizational strategy cannot succeed, and M&E is a waste of time and resources.

Therefore, the logic of the hierarchies of objectives for interventions and the development logic, the theory of change or the impact pathway of the overall organizational strategy needs to be checked, by establishing the causality of the objectives in the strategy. Causality means the ordering of actions or events in such a way that the presence of one action or event leads to, or causes, a subsequent event or action.

The causality of the objectives within one intervention, such as a program or project, can be checked by testing the vertical logic of the hierarchy of objectives of the particular intervention. Figure 2.2 shows the relations among objectives in the hierarchy.

Figure 2.2: Relations among objectives in the hierarchy.



The causality and link between hierarchies of objectives of different interventions, such as a program and its related projects, can be established by developing a cascading logic. A cascading logic consists of several interlinked, standard four-level hierarchies of objectives of the interventions at the four organizational levels. Each NARS organization will have a multitude of cascading logics, depending on the number of planned or current interventions.

Figure 2.3 (next page) shows a model of a cascading logic for a NARS organization. Checking the logic requires the vertical check within the hierarchy of objectives of an intervention and the horizontal check between interventions at different organizational levels as indicated by the arrows in the model.

Box 2.3 (page 117) provides a further description of the concept of the cascading logic.

The essence is to be able to understand the organizational strategy or plan "on paper" and to understand the organization's development logic, what impact or development results it wants to achieve and whether and how it will be able to do it.

Figure 2.3: A Model of a Cascading Logic for a NARS Organization.

Objectives at Organizational Level			
Strategic Level Objectives (Organization or Agency)	Program Level Objectives	Project Level Objectives	Project Activity Level Objectives
Organizational Goal			
Organizational Purpose	**Program Goal**		
Organizational Outputs	**Program Purpose**	**Project Goal**	
Organizational Activities	**Program Outputs**	**Project Purpose**	**Project Activity Goal**
	Program Activities	**Project Outputs**	**Project Activity Purpose**
		Project Activities	**Project Activity Outputs**
			Project Activity Activities

Some common mistakes when defining and formulating the hierarchy of objectives are :

- Defining overly ambitious goal/purposes, given local conditions and available resources and capacities.
- Overlooking key activities and outputs that are needed to achieve higher-level objectives (outcomes/purpose/goal).
- Poor logic as to why particular activities are needed for a certain output or particular outputs for a certain purpose.
- Objectives expressed too vaguely to know what will be achieved or how to implement ideas.
- Inclusion of principles, such as "stakeholder participation" or "gender equity", as separate purposes or outputs, instead of integrated into project activities.
- Confusion in the levels of the objective hierarchy. (IFAD 2003)

Further description of the model of the cascading logic for a NARS organization is given in Box 2.3.

Table 2.2 (next page) provides questions that may help to establish whether the individual objectives are of high quality and realistic, and whether the design logic is plausible and causal.

Box 2.3: Description of the cascading logic.

The cascading logic for a NARS organization is a model that illustrates how the interventions of a NARS organization (such as the organization itself, programs, projects, project activities) can be combined sequentially, to form a cascade like network. It shows the intended achievements at all levels that, if indeed realized, are expected to lead (or at least contribute) to the desired development outcomes.

The ‘cascade’ consists of hierarchies of objectives (goal, purpose, output, activities) of individual interventions at different organizational levels. It shows how the hierarchies of objectives of ‘neighboring’ interventions are related horizontally, as well as the vertical relationships within the hierarchy of objectives of each individual intervention. The concept of the cascading logic demonstrates that the interventions at all levels of a NARS organization are not stand-alone initiatives, but are linked to the interventions on the ‘higher’ and ‘lower’ levels. The intervention at the lower level contributes to achieving the objectives of the intervention at the next higher level.

Using this model helps to make sure that the short-term more process oriented objectives of an intervention at the lower level (such as a project or project activity) are matched with long-term more development oriented objectives at a higher system level (such as the program or organization). The objective of this model is to show the logical path through which an intervention ultimately contributes to long-term development on a wider scale, such as for the region, for the nation or for a large part of the population etc.

For further description of the concept of a cascading logic please see Unit 1: ‘Cascading Logic’ in ARDSF (2010): Capacity Building Module 6: AR4D Project Activity Planning. The summary of the presentation of this Unit is included *as additional reading in the handout 2.5.6*.

Table 2.2: Logic testing questions.

Level	***Logic Testing Questions***
Goal	• Does the goal express some future desired state or higher-order impact towards which the intervention is contributing? • Does the goal help place the project in a wider context that provides the rationale for the intervention? • Is the goal narrow enough that it is meaningful given the scope of the intervention? Avoid goals expressed at an excessively general level. • Is the goal something owned and shared by relevant stakeholders?
Purpose	• Is the purpose a succinct statement of what the intervention will achieve overall? • Is the purpose realistic given the resources, time span and working context of the intervention? • Does the purpose reflect the highest-level achievements of the intervention for which it can realistically be accountable? • Is the purpose realistic for the intervention to achieve during its lifetime? • Is there a set of practical actions that can be carried out to achieve each purpose?
Outputs	• Do the outputs together describe the set of achievements that must be realized for the purpose to be realized? In other words, if the outputs are achieved will the purpose be achieved? • Are any outputs unnecessary to achieve the purpose or logically belong under another purpose? • Are the outputs realistic for the intervention to achieve during its lifetime? • Is there a set of practical actions that can be carried out to achieve each output?
Activities	• Do the set of activities for each output reflect the main actions that must occur for the outputs to be achieved? • Are any activities included that are unnecessary for achieving the outputs or that logically belong under another output? • Are there any activities that need to be split up and partly allocated to different outputs? • Are the activities all roughly equivalent in terms of their level of detail? In other words, are you sure that some activities are not more at an output level while others are at a task level? • Is the list of activities manageable (not too long)?
For all levels	• Are all levels understandable to stakeholders and expressed as plainly and succinctly as possible? • Are any unnecessary means of achievement included?

Source: adapted from IFAD (2003)

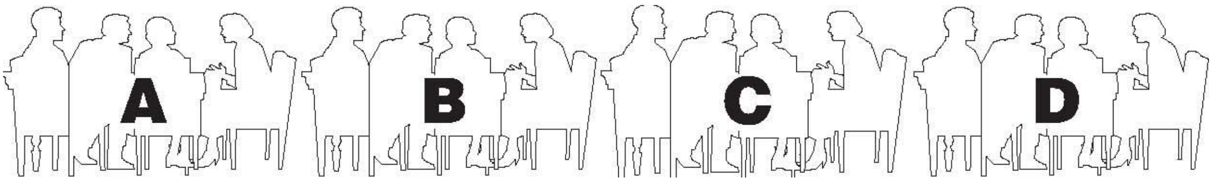
References

IFAD (2003). A guide for project monitoring and evaluation, Section 3: Linking project design, annual planning and M&E, International Fund for Agricultural Development.

ARDSF (2010), Module 6: AR4D Project Activity Planning, Agricultural Research and Development Support Facility, ARDSF.

Exercise 5. Review of the organizational strategy (Group work)

1. Form four groups with participants of different organizations, each electing a rapporteur



Phase 1. Group work (45 minutes)

2. Reflect on explanation provided by the facilitator, browse the Summary of Presentation handout and discuss the following issues related to a hypothetical example of an organizational strategy (hierarchy of objectives) of an agricultural research organization in Lowland Region.
3. Answer the question of **Part A** below and discuss the topics of **Part B.**

Part A) *Has the hierarchy of objectives of the organization been well designed?*

Keep in mind the list of common mistakes

- Is this strategy too ambitious or can it be achieved?
- Have some lower level objectives (activities, outputs) that are needed to achieve higher level objectives been overlooked?
- Are objectives expressed adequately or too vaguely to know what will be achieved or how to implement ideas? Provide examples.
- Have levels in the hierarchy of objectives been confused? Correct the strategy!
- Have cross cutting issues (gender and HIV/AIDS) been integrated into objectives?

4. Please summarize your discussions <u>on a flip chart</u> to be presented by the rapporteur in the plenary

Part B) *Discuss (and do <u>not</u> write on flip chart) in your group whether the vertical logic of the organizational strategy is sound. (*Examples will be presented by volunteers in plenary)

- Discuss examples why you think specific links between objectives are logic or why not.
- Discuss the overall logic or theory of change or impact pathway of the organizational strategy. How will the organization contribute to improved health and education? Starting at the lowest level, explain in your own words (*do not write on flip chart; volunteers will present in plenary*).

Hypothetical example of an organizational strategy of an agricultural research organization in Lowland Region.

Hierarchy of Objectives	Narrative summary
Organisational Goal	In 2015 health and education of citizens of Lowland Region have improved
Organisational Purpose = Program Goal	Fewer citizens of Lowland Region live in poverty
Program Purpose = Project Goal	By 2009 agricultural production of coffee, tea and cassava for farmers in Lowland Region has increased
Project Purpose = Program Output	Improved extension services provided to all types of farmers in Lowland Region
Project Outputs = Program Activity	A) By 2006 all agricultural extension agents in Lowland Region are trained in production technologies to increase yield of coffee, tea, cassava B) Recruitment process for additional agricultural extension personnel in Lowland Region implemented
Project Activity Outputs = Project Activities	A) Capacity building (CB) events on new production technologies for coffee, tea and cassava for extension workers conducted B) By 2005 Lowland Region has 40 additional extension agents working with farmers
Project Activity Activities	A) - Design capacity building (CB) material - Recruit CB expert - Organise CB event - Write CB report B) - Prepare TOR - Run advertisement campaign - Run selection process - Contract new agents

Based on: Görgens, Marelize and Kusek, Jody Zall (2009) Making Monitoring and Evaluation Systems Work: A Capacity Development Toolkit, World Bank

4. The rapporteurs summarize the group’s inputs on the flip charts.

Phase 2. Reporting and discussion (60 minutes)

5. The facilitator invites the rapporteurs to present the results of Part A to the audience and invites the participants to briefly discuss the groups´ presentations. (20 minutes)

6. Next, the facilitator leads a discussion on Part B) in plenary. He/she ask the participants to draw conclusions from what they are learning during this exercise. (20 minutes)

7. Finally, the facilitator asks few volunteers to state few lessons learned, provide feedback on the exercise and identify the existing level of satisfaction among the participants, and close the session.(20 minutes)

Exercise 5. Worksheet

PART A)

PART B)

Exercise 5. Examples of answers to questions of Part A and Part B

(to be distributed after the exercise is over)

PART A) Possible answers:

- Re. project purpose: What means ‘improved services’? Add: more contact time between extension and farmers; establishment of demonstration plots.
- Re. project purpose: Not time framed
- Re. organizational purpose: Not time framed.
- Re. project activity outputs: Not time framed. However, as this level marks a transition between outputs and activities (being rather more of an activity) the timing of ‘doing’ this activity may be specified in a work plan. Therefore, it is suggested to specify the timing of ‘doing’ this activity in the indicators. This may also help to keep the formulation of the objective simple.
- Project activity outputs B) and project outputs B) mixed up.
- Cross cutting issues not included. Should some of the new extension agents be female, in order to be able to improve extension services to female farmers? How will families living with HIV/AIDS be actively included in extension effort?
- Assumption at project purpose level is that other inputs are available such as fertilizer; if assumption is not true than this needs to be included in organisational strategy.
- Assumption at project output level is that resources to do extension work are available; if assumption is not true than this needs to be included in organisational strategy.

PART B) Possible answers using ‘stream A’ of objectives

The overall logic, the theory of change or the impact pathway of the organisational strategy:

By doing the activities of designing CB material on production technologies, recruiting a CB expert, organizing the CB event and writing a report about the events, the project activity staff will have conducted a number of CB events on new production technologies for coffee, tea and cassava for extension agents.

By conducting the CB events, all extension agents will be trained in production technologies to increase yield of coffee, tea, cassava and in extension methods by 2006.

Because the extension agents are trained they will be able to deliver better extension services to farmers in Lowland Region by 2008; under the assumption that adequate resources are available for doing extension work.

As they provide better service in delivering the message on better production technologies through putting in place demonstration plots in Lowland Region, farmers in Lowland Region will achieve higher yields of coffee, tea and cassava; under the assumption that they have adequate access to other inputs required (e.g. fertilizer).

By gradually achieving higher yields in the next 10 years, farmers will be able to sell more of their products and therefore have more money in their pocket. As farmers make up 80% of the population in Lowland Region a large proportion of the citizens will therefore have more money available.

As citizens of Lowland Region have more money available they will spend it on primary needs, such as health and education.

Spending more money for health and education over the next 10-12 years will increase the general health and education levels of the citizens of Lowland Region by 2015.

Example of a 'final' organizational strategy

Hierarchy of Objectives	Narrative summary
Organizational Goal	In 2015 health and education of citizens of Lowland Region have improved
Organizational Purpose = Program Goal	By 2009 fewer citizens of Lowland Region live in poverty
Program Purpose = Project Goal	By 2009 agricultural production of coffee, tea and cassava for farmers in Lowland Region has increased
Project Purpose = Program Output	Improved extension services provided to all types of farmers in Lowland Region (more contact time between extension and farmers by 2006; establishment of demonstration plots by 2008)
Project Outputs = Program Activity	A) By 2006 all agricultural extension agents in Lowland Region are trained in production technologies to increase yield of coffee, tea, cassava and extension methods B) By 2005 Lowland Region has 40 additional extension agents working with farmers
Project Activity Outputs = Project Activities	A) Capacity building (CB) events for extension agents conducted; on new production technologies for coffee, tea and cassava and extension methods B) Recruitment process for additional agricultural extension personnel in Lowland Region implemented
Project Activity Activities	A) - Design capacity building (CB) material - Recruit CB expert - Organize CB event - Write CB report B) - Prepare TOR - Run advertisement campaign - Run selection process - Contract new staff

Session 5. Additional Reading

The Cascading Logic

[Reproduced from Module 6, 'AR4D Project Activity Planning: A Distance Learning Module', in this series.]

The cascading logic is a model that illustrates how the components of a system are combined sequentially, to form a cascade like arrangement. A generic version of this arrangement for a hypothetical agricultural research and development system is shown in Figure 1.

The cascade consists of hierarchies of objectives[1] for the individual system components. The hierarchies of objectives consist of the design elements goal, purpose, outputs and activities. The model shows how the hierarchies of objectives of neighboring system components are linked horizontally and how the design elements of the hierarchy of objectives within one component are linked vertically. In Figure 1 these linkages are indicated by arrows.

The essence of this model is conveyed through the horizontal linkages between neighboring system components, which is illustrated by the following examples:

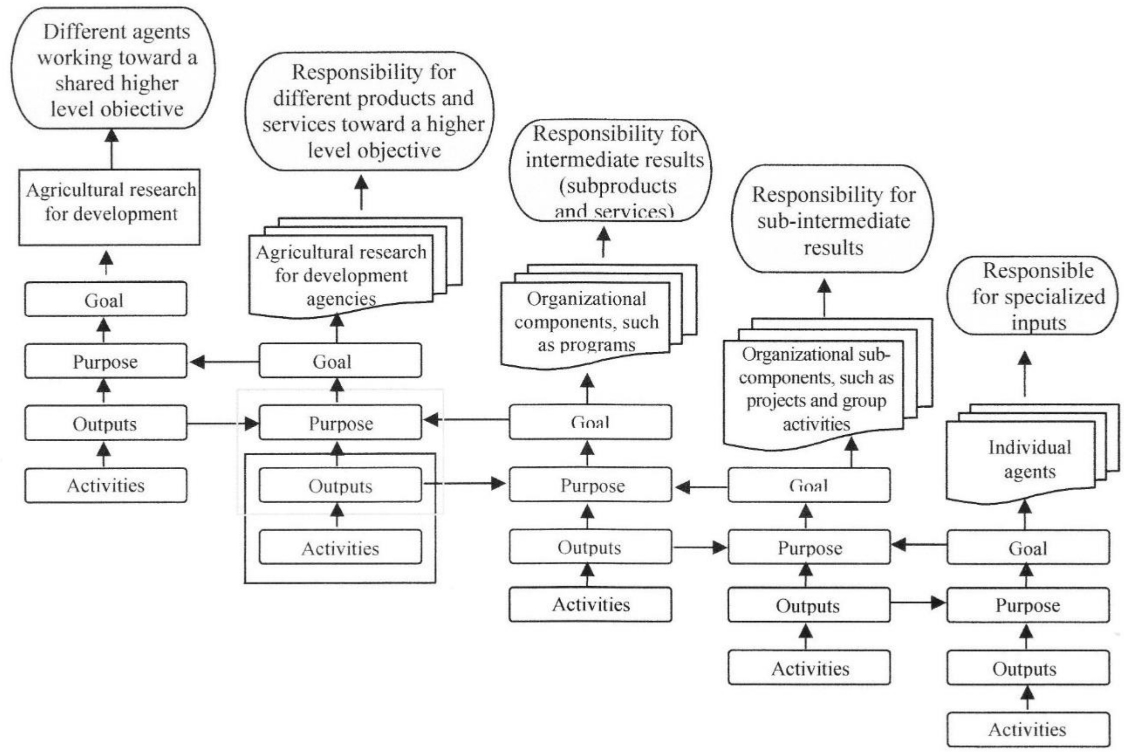
- The purpose of the higher system component is equivalent to the goal of the next lower system component.
- The purpose of the lower system component is equivalent to the output of the next higher system component.
- The activities of the higher system component are equivalent to the outputs of the next lower system component (please note that the arrows indicating this linkage are missing in Figure 1).

Using this model helps to understand how the objectives[2] of a lower level system component, such as a project, are matched with or contribute to the objectives of a higher system level component, such as the program, organization or the national agricultural research system (NARS). The aim of this model is to show the path by which each system component ultimately contributes to the development goal (or people level impact) of the highest system component. Obviously this assumes that the objectives of the higher system components indeed express the development orientation or people level impact in the first place. This is the case for the PNG NARS organizations as articulated in their new Strategic Plans and Programs.

Closely related models that are described in the literature and express similar concepts are: impact pathway, impact chain, results chain or results framework. Despite their slight variations in definitions and context, these models are often categorized as 'outcome models' or 'impact models'.

- [1, 2] Goal, purpose, outputs and activities are all considered to be objectives, albeit at a different level.

Figure 1: A generic cascading logic for a hypothetical agricultural research for development (AR4D) system.



Source: Mbabu, A. N. and Ochieng, C. (2006)

Applying the concept of the cascading logic to a NARS organization helps to realize how the different decision making levels in a NARS organization are linked.

Table 1 shows how this model can be applied to a NARS organization. The columns in the model relate to the four decision making levels of the organization, such as the project activity level, project level, thematic area/program level and strategic level. The rows describe the design elements of the hierarchy of objectives (activities, outputs, purpose, goal) for each decision making level. In the same way as for the generic cascading logic above, the arrows indicate the relationships between the design elements within and across the decision making levels.

In the right hand side column and at the lowest level of the 'cascade' one finds the hierarchy of objectives of the project activities that are implemented within a project. The next column to the left and a level up shows the hierarchy of objectives of a project. At the next higher level in the next column to the left, the hierarchy of objectives of the thematic area/program is shown, and in the left column and at the highest level, the hierarchy of objectives of the NARS organization is represented. Further up the cascade, but not shown in Table 1, one could imagine the hierarchy of objectives of the NARS, then the agricultural sector, and at the highest level the national development sector.

A good appreciation of the model will enable the reader to understand the linkages between the decision making levels and how the objectives at one level contribute to the achievement of the objectives at the next higher level: different types of project activities contribute to projects; different types of projects contribute to thematic areas/programs; the latter contribute to the organization. Annex 1 shows an example of a cascading logic for a hypothetical 'Coffee Quality Improvement Project'.

By going up this 'development pathway' NARS organizations will be able to demonstrate how all decision making levels ultimately work towards achieving development change, either in the short, medium or long term. Again, this assumes that the goal of the organization expresses the intended development orientation or the people level impact of the NARS organization. This concern was addressed and captured in the NARS organizations' Strategic Plans and formulation of programs/thematic areas.

This is the pathway to change people's lives for the better.