

Monitoring and Evaluation

Minimum Requirements

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All of our partnerships must align with monitoring and evaluation minimum requirements, which will help us better understand if we are having the results we want. In exceptional cases, we may choose to selectively apply these requirements, depending on context, size and type of grant, programme, and our partners' capacity to implement.

Minimum Requirement #1: Design of M&E Plans

All initiatives must include defined and fully resourced M&E plans before approval by our Board of Directors. The Theory of Change or Logical Framework must align with relevant programme Key Performance Indicators (KPIs). At a minimum, we expect to see the following in the M&E plan:

- **Specific, Measurable, Achievable, Relevant and Time-bound (SMART) Indicators** which align with at least one or, if the application is for EUR 500,000 or more, at least two KPIs in the relevant programmatic theory of change (such as Working Conditions or Sustainable Cotton).
- **Baseline:** Established within three months of starting implementation, the baseline includes a description of the problem to be addressed and current conditions, with indicator data, where available.
- **Theory of Change or Logical Framework** which is developed during the proposal design phase and is a prerequisite for grant approval.
 - The Logical Framework should be presented as a matrix that shows the progression from planned activities to achievement of outputs, outcomes, with clear baseline, indicators and targets.
 - The Theory of Change should be developed for initiatives where logical frameworks are judged to be inappropriate and clearly delineate causal pathways from outputs to results / impacts as well as identify assumptions and results drivers.
- **Evaluations and Reporting:** The M&E plan will identify the evaluations that will be undertaken, including mid-term and terminal reports as appropriate.
 - All initiatives must include self-evaluations, with an agreed-upon evaluation schedule.
 - Initiatives over EUR 750,000 must include an independent evaluation (conducted by an external evaluation expert). We will support the development of the Terms of Reference, selection of consultants and oversight of the process.
- **Resourcing:** The M&E plan will detail who is responsible for M&E in the partner organisation and provide a budget for the monitoring and evaluation.

Minimum Requirement #2: Implementation of M&E Plans

We will work with each of our partners to ensure close adherence to the M&E plan. We require that any deviation such as changes in the Logical Framework or Theory of Change, indicators, or timing of reporting and evaluation be discussed and agreed upon prior to making such changes. At a minimum, we would expect the following:

- **Indicators are used:** SMART criteria are adhered to and indicators are used for assessing progress towards results. If indicators are changed or abandoned, we'd ask for an explanation and rationale.
- **Progress is tracked against the baseline:** data is regularly compiled, managed, and analysed to review progress.
- **Evaluations and reporting are undertaken as planned** and in accordance with the our criteria. Evaluations are used to assess outputs / outcomes and impacts (where possible) in accordance with established reporting criteria of relevance, effectiveness, efficiency, impact and sustainability. Assessments will also include evidence of scaling-up (or potential thereof).
- **Monitoring and evaluation is resourced as planned**, including spending according to budget. We must also discuss and agree on any proposed changes in resourcing or budget.

Minimum Requirement #3: Evaluation

All initiatives must be monitored and evaluated. All reporting and evaluation must align with our reporting criteria and also provide evidence of outputs and outcomes, sustainability of the initiative, scaling up, and overall management of the initiative.

- **Self-Evaluation and Reporting** is undertaken by the partner in accordance with the our reporting guidelines (found here).
- **An Independent Evaluation** is undertaken for initiatives over EUR 750,000 by an external evaluation expert, independent of the partner and its management team.
- **Evaluation Reporting and Process:** The evaluation will provide basic data on when the evaluation took place; who was involved; key questions and methodology including the application of the criteria; basic data and context on the initiative to be evaluated; findings; recommendations and lessons.

Annex 1: Logical framework Template

A logic model provides a picture of how an initiative will deliver its work including the assumptions and underlying risks. A logic model links outputs and outcomes with initiative activities/processes and the theoretical assumptions/principles of the initiative and must include the KPIs of the programmatic theory of change. Completed log frames often have a triangle shape with many activities on the left-hand side, leading to fewer outcomes on the right-hand side.

Goal	The overall change the initiative aims to achieve (usually long-term).						
Activities	Outputs	Outcomes	Assumptions and Risks	Outcome Indicators	Outcome Baseline	Outcome Targets	Means of Verification
The processes, tools, events, technology, and actions that are an intentional part of the initiative implementation (what you do). The activities result in short-term outputs and longer term outcomes.	Direct result of the initiative activities. Outputs should be concrete and measurable contributions to the achievement of outcomes.	Desired behaviour changes within the target population (e.g., quitting smoking; using bed nets; having access to clean water). <u>Short-term</u> outcomes should be attainable within 1 to 3 years, while <u>longer-term</u> outcomes should be achievable within a 4 to 5-year timeframe. Outcomes usually begin with a verb, e.g., decreased, enhanced, improved or maintained.	Assumptions are hypotheses about factors that could affect the progress or success of the initiative. Risks explain possible threats to the achievement of outputs and outcomes.	Quantitative or qualitative indicators to measure achievement of outcomes. These should include at least two of the programmatic KPIs along with sub-indicators, where relevant.	Qualitative or quantitative description of level for each outcome indicator before the initiative starts, against which progress will be assessed.	The level the initiative wants to achieve for each outcome indicator, by a specific time. Please include a date for each target.	Specify source of the information for the measurement or verification of the indicators.

Annex 2: Theory of Change

There are many definitions of a 'theory of change' (TOC) – in essence it is a blueprint of the building blocks needed to create long-term social change. Building blocks include outputs, outcomes, assumptions (supportive and those that will 'kill' the pathways towards impact) and contexts (policy, political, environmental, socio-economic, cultural) within which an initiative (single or multiple) or organisation is embedded, that are necessary to achieve impact(s).

The key value of a TOC is that it **visually conveys** beliefs about why the initiative, programme or organisation is likely to succeed in reaching its goals. Unlike a logical framework which is associated with focused and discrete initiatives a TOC can be developed for strategies; programme(s); initiatives; groups of organisations working together towards a common goals (collective impact); convenings and research initiatives.

Assumptions must be identified during the design of the initiative to open the 'black box' between outputs and outcomes and impacts. There are typically six steps required to develop a TOC:

1. Identifying long-term goals (impacts)
2. Backwards mapping and connecting the preconditions or requirements necessary to achieve that goal and explaining why these preconditions are necessary and sufficient.
3. Identifying basic assumptions about the context.
4. Identifying the activities that the initiative will perform to create the desired change.
5. Developing indicators to measure outcomes to assess the performance of the initiative.
6. Writing a narrative to explain the Theory of Change of the initiative, programme or organisation.