

# MONITORING AND EVALUATION **MANUAL**

## **ALLIANCES KVEMO KARTLI**

### **MARKET ALLIANCES AGAINST POVERTY IN THE KVEMO KARTLI REGION OF GEORGIA**

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Written for the Alliances Lesser Caucasus Programme by

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Schweizerische Eidgenossenschaft  
Confédération suisse  
Confederazione Svizzera  
Confederaziun svizra

**Swiss Agency for Development  
and Cooperation SDC**



## ABBREVIATIONS

AF:	Application Form
BDO's:	Business Development Officers:
BDS	Business Development Services
CPC	Cheese Producing Centre
DRR	Disaster Risk Reduction
FS&H	Food Safety and Hygiene
GEL	Georgian Lira (currency)
GOI:	Gender Overt Intervention
GSI's:	Gender Sensitized Interventions
IP:	Investment Plan
ISF	Investment Support Facility
KK	Kvemo Kartli
MAP:	Monitoring Action Plan
MAP Meeting:	Monitoring Action Plan Meeting:
M&E:	Monitoring and Evaluation
M4P:	Make Markets Work for the Poor Approach
MC:	Mercy Corps
MCC:	Milk Collection Centre
RC's:	Results Chains
IRC's:	Intervention Level Results Chains
OMC:	Outcome Monitoring Concept
ORC's:	Outcome Level Results Chains
SDC:	Swiss Agency for Development and Cooperation

## GLOSSARY<sup>1</sup>

**Activity:** A discrete piece of work, typically represented by a contract between the programme and a contractor, partner or consultant. Interventions typically consist of several activities, that are intended to achieve change at various different points in the overall market system.

**Aggregate:** To combine the impact a programme has caused from various interventions; overlap must be taken into account when aggregating impact.

**Assess:** To gauge the change in an indicator using either or both quantitative or qualitative methodologies.

**Assumption:** A supposition or best guess which forms part of the basis for calculation of an indicator value.

**Attribution:** The ascription of a causal link between observed (or expected to be observed) changes and a specific intervention.

**Baseline:** An analysis describing the situation prior to a development intervention, against which progress can be assessed or comparisons made.

The status of indicators before an intervention starts or has been influenced by intervention activities against which it can be measured later again to see intervention impact.

**Calculate:** To compute the value of an indicator based on several different pieces of information.

**Copying:** Other target enterprises copying behavioural changes that those affected directly by programme activities have adopted.

**Crowding in:** Enterprises at levels other than the target level copying behaviours that those affected by programme activities have adopted or entering a sector or value chain as a result of improved incentives and environment created (at least partly) by the programme. This term also applies to government agencies or civil society organizations, who are not directly involved in the programme, copying behaviours of those who are directly involved in the programme, or who change their behaviour as a result of improved incentives or environment created (at least partly) by the programme. DCED Standard for Measuring Results in PSD, Version VI, January 2013

**Counterfactual:** Pervasive factors with specific relevance to the agricultural sector in the operating environment which can have positive or negative effects and which must be considered when separating programme effects from what would have happened anyway (attribution). Such as: economic conditions including the rate of inflation, rate of interest, lending, new laws implemented (e.g. food safety and hygiene, export and import), other projects and donor activities in sector and/or area

**Direct impact:** Changes that are caused as a result of programme interventions on service providers with which the programme has had significant contact and target beneficiaries. Direct impact does not include the results of systemic changes such as copying or crowding in.

**Displacement:** Some enterprises may be negatively affected because others are benefiting from programme activities. Displacement is the amount of negative effect on those enterprises harmed by programme activities.

**Estimate:** An approximation of the value of an indicator or of attribution based on information gathered.

**Impact:** Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.

**Impact Assessment:** The process of estimating a programme's impact on enterprises, poverty reduction and/or other development goals.

**Indirect impact:** Changes caused, at least partly, by programme activities which cannot be linked in a direct line to organizations or enterprises with which the programme has had significant contact. Indirect impact includes the results of systemic changes such as copying, crowding in and second order changes resulting from a programme's direct or indirect impact, for example changes in non-targeted sectors or changes in local economies resulting from the increased purchasing power of a programme's target beneficiaries.

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<sup>1</sup> Taken and adapted from the DCED Standard Version VI January 2013

**Indicators:** Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development sector.

**Information gathering:** The collection of qualitative and quantitative information to measure the changes resulting from a programme at any level of the programme's results chain and to estimate attribution.

**Intervention:** A coherent set of activities that are designed to achieve a specific system change, reflected in one results chain. An intervention is generally a subset of a component.

**Job:** Full-time equivalent, taken over one year (240 days/year); may be seasonal, paid in kind etc, but does not include unpaid family labour.

**Measure:** To assess the value of an indicator.

**Methodology:** A means to assess the value of indicators, for example a survey, focus group discussion or key informant interviews.

**Monitoring:** A continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds.

**Overlap:** When two different interventions reach the same target enterprises there is overlap. Programmes need to correct for overlap instead of adding the impact of all interventions (when overlap is likely) in order to avoid double counting.

**Programme:** A programme is the typical unit of analysis for a donor, often contracted to one overall partner or company. A programme consists of several components.

**Projection:** A reasonable estimate of future results, based on current, informed knowledge about the overall system.

**Proxy indicator:** An indicator for which measurable change is clearly and reliably correlated with an indicator of a change that the programme aims to achieve (but is more practical to measure).

**Reasonable:** A conclusion that an external, unbiased and relatively informed observer would come to.

**Results Chain:** The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired objectives beginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts and feedback.

**Results measurement:** The process of designing a measurement system in order to estimate a programme's impact so that it can be used to report results and improve project management.

**Survey:** Gathering information from a specific number of respondents in a specific population generally using a set of questions for which the answers can be quantified.

**Sustainability:** The continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long term benefits. (For measurement purposes, sustainability will be indicated by continuation of benefits at least two years after the end of a programme).

**Systemic change:** Change in systems that are caused by introducing alternative innovative sustainable business models at support market level (such as in private sector, government, civil society, public policy level). These changes often cause widespread indirect impact by crowding in at support market levels impact and copying at final beneficiary level.

**Target enterprises:** The enterprises that a programme aims to benefit.

**Target Group:** The clearly defined group of people the programme aims to benefit.

**Unintended impacts:** Any changes that are due to a programme's activities and that were not anticipated when designing the activities. These impacts may be positive or negative.

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## INTRODUCTION

### OVERVIEW OF THE SYSTEM

The Alliances Kvemo Kartli Programme (subsequently referred to as Alliances KK) is a market development programme working in the Beef, Sheep and Dairy sectors in the Kevmo Kartli region of Georgia, run and structured using the M4P Making Markets Work for the Poor Approach, funded by the Swiss Agency for Development and Cooperation (SDC) and implemented by Mercy Corps Georgia.

The *Alliances Monitoring and Evaluation System* has been developed in compliance with SDC's *Outcome Monitoring Concept*<sup>2</sup> and the *Donor Committee for Enterprise Guidelines*<sup>3</sup> for:

- Measuring programme progress against objectives
- Usage as an internal programme management tool
- Informing interventions and learning
- Feeding into and satisfying SDC reporting requirements

The *Alliances KK Monitoring & Evaluation Manual* is the key document for use by programme personnel and gives in full detail and in logical order the;

- Monitoring and evaluation procedures carried out in Alliances KK
- Monitoring documents used by Alliances KK
- Roles, responsibilities and activities to be undertaken by programme staff to ensure the proper functioning of the M and E system.

Introduction: Overview of the System and Ethos

Chapters:

1. Articulating the Results Chain
2. Developing and Supporting the Intervention Rationale
3. Defining and Capturing Change: The Monitoring Plan
4. Measuring Change
5. Estimating Attributable Change
6. Capturing Wider Changes in the System or Market
7. Tracking Programme Costs
8. Reporting Results
9. Integrating Transversal Themes
10. M & E as a Decision Making Tool

<sup>2</sup> See <http://www.value-chains.org/dyn/bds/docs/detail/742/4>

<sup>3</sup> See [www.enterprise-development.org](http://www.enterprise-development.org)

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## SYSTEM ETHOS

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The key concept behind the system is that *management and monitoring are interdependent*. Monitoring forms part of the management of the programme through an iterative cycle of *data gathering, analysis and real world feedback* which results in better calibration of interventions for pro poor growth and for impact for the target group (see Figure 1).

The quality of the M&E output is assured by clear and accurate assignation of roles and responsibilities and coordination to ensure timeliness within the system. The key programme tool for ensuring this interdependence, is the monthly *Monitoring Action Plan Meeting (MAP Meeting)* where BDO's aggregate impact to date with the help of the M and E team and present it to each other and management. The monthly *MAP* ensures that there is:

- Broad staff ownership of M&E
- Communication between M and E staff and Programme Staff is managed and improved
- Ongoing troubleshooting of issues which ensures
- Ongoing of calibration of intervention (management and monitoring) based on data

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## MEASURING MARKET DEVELOPMENT

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As a market development programme results are measured using the *universal impact indicators: jobs, scale and net attributable income change (NAIC)* as well as *qualitative indicators to capture behaviour change* and is geared to evaluating (intervention sustainability over time i.e. *systemic change within the system*). *Results Chains (RCs)* are the basis for all interventions. The results chains allow the programme strategy as detailed in the log frame to be elaborated upon in line with real world stakeholders and conditions and are the *key programme management tool*. Results chain boxes are ascribed a target, an indicator and a baseline, which form the basis of monitoring plans. The Programme has a quantitative *Monitoring Plan 1* and a qualitative *Monitoring Plan 2*.

The programme is dedicated to meaningful gender disaggregation of the data reported and interventions are gender sensitized through assigning gender sensitized boxes to the results chains which are linked to a *global gender monitoring plan* which aggregates the gender related data to outcome level. The programme is currently reviewing ways to collect and use sex and age disaggregated data.

See Figures 1 & 2 for diagrammatic representations of the M and E System, the key chronological steps in its implementation and the roles and responsibilities of those involved.

*Note:* This Manual is to be used in conjunction with the SDC approved *Mercy Corps Alliances Investments Manual 2011-14* which documents all programmatic procedures and documentation of the programme.

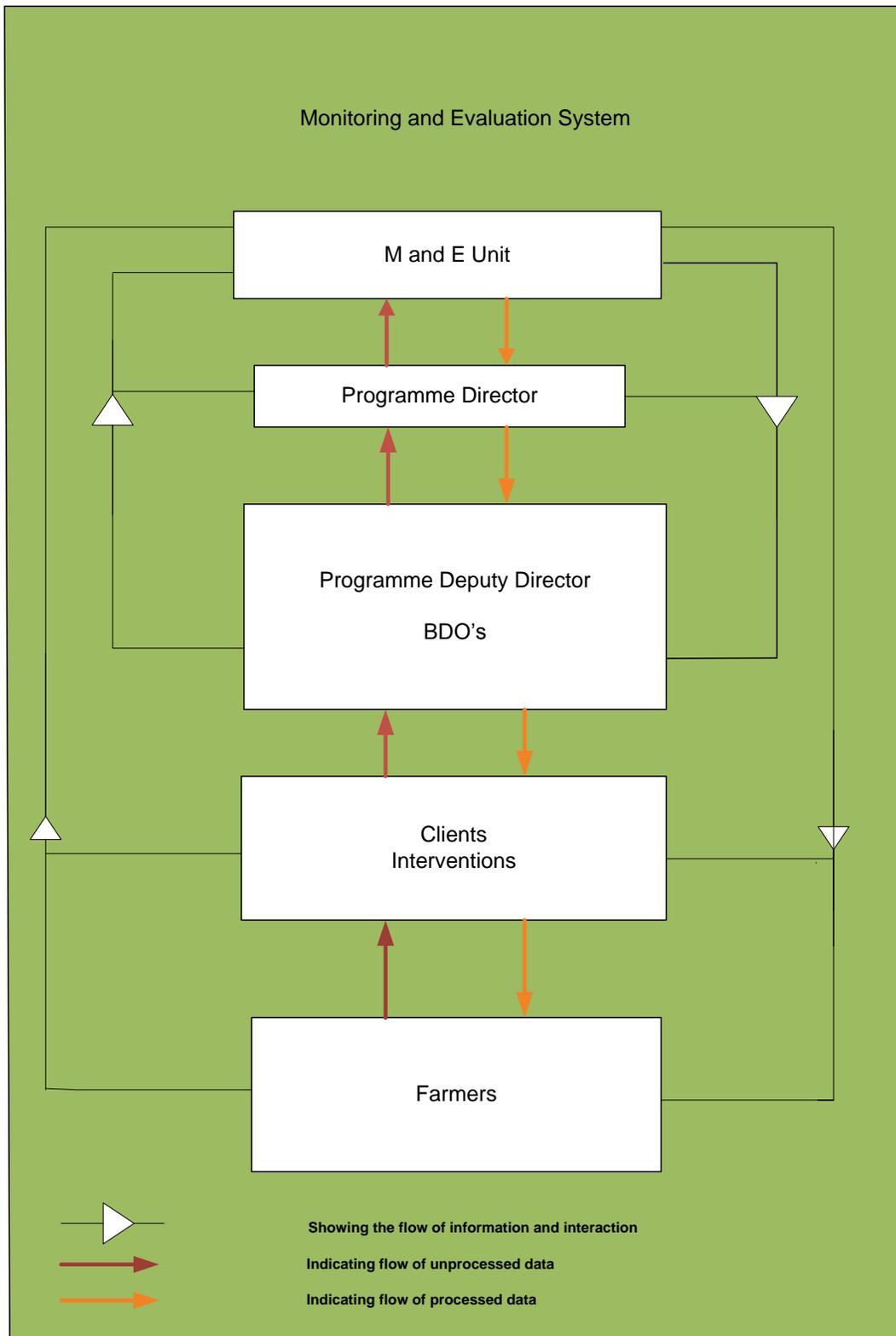


Figure 1 Alliances KK Monitoring and Evaluation System

**Alliances KK Programme Work Flow Diagram**

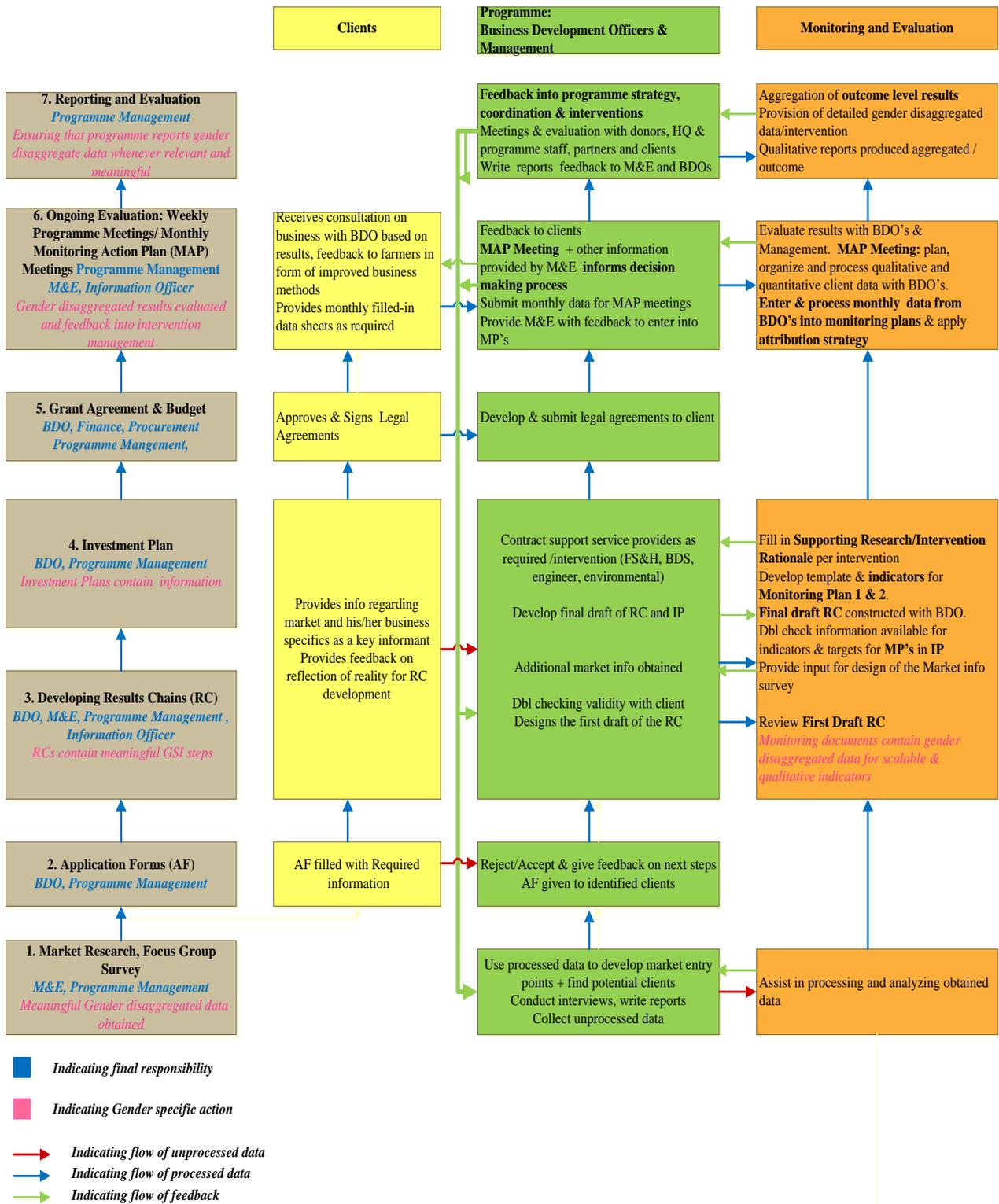


Figure 2 Alliances KK Programme Work Flow Diagram

## 1. ARTICULATING THE RESULT CHAIN

Result Chains (RC's) are the key strategic documents which form the basis for the rest of the monitoring system and through which intervention logic is built. They epitomize the interdependence of management and monitoring. RC's are diagrammatic representations of the logical progression of the changes/impact that the programme expects to instigate in the market system at the intervention and outcome level through programme activities undertaken through programme interventions. They represent an expansion of areas of the programme strategy as represented in the programme Log Frame and allow the programme to capture the multiple, parallel activities of complex markets as well as the more complex sequencing of interdependent activities. The Alliances Kvemo Kartli Project RC's are designed within the context of the current market environment and dynamics and thus represent a realistic chain of results where programme activities lead to impact and ultimately contribute to the Programme Purpose and Goal:

*Purpose: To enable the livestock market system to function more inclusively of small scale livestock producers (SSLP's) in Kvemo Kartli resulting in improved productivity, incomes and resilience to livelihood shocks.*

*Goal: To contribute to poverty alleviation and the transition to a durable market economy for the livestock sector in the Kvemo-Kartli region of Georgia.*

### 1.1 Types of Results Chains Utilized by the Programme

#### OUTCOME RESULTS CHAINS

Outcome Level Results Chains allow for an elaboration of the programme strategy as presented in the Logframe and are constructed in the Alliances Programmes at the end of the inception phase when market analysis and stakeholder analysis have enabled the formation of an initial strategy with opening interventions, which will lead to the outputs and outcomes, purpose and goal as represented in the Logframe. They describe higher level outcomes and the longer-term goals generally beyond the scope of a project. They give the programme a broad view of the value chain and allow the programme to check the logic of these initial entry points for facilitation in line with the higher programme logic. They are reviewed on an annual basis. The outcome level results chains on Alliances KK correspond to:

*Outcome 1: Supporting Functions (target group as customers),*

*Outcome 2: Market Access and Terms (target group as suppliers)*

*Outcome 3: Improved Operating Environment specifically related to Gender<sup>4</sup> Governance and DRR.*

Outcome Level Results Chains together with the Logframe and the programme proposal presented to the donor at the end of the inception phase form part of the contractual documentation between donor and implementing agency. In Alliances KK the donor agreed that the proposed opening interventions on the activity level of the Logframe would be viewed as entry points only and could be revised and reviewed as the programme progressed. The activity level of the LogFrame is therefore reviewed bi-annually

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<sup>4</sup> I.e. overt gender interventions addressing strategic verses practical gender needs.

coinciding with the SDC reporting schedule and the Outcome Level Results Chains revised to coincide with the annual report.

#### INTERVENTION LEVEL RESULTS CHAINS

Intervention Level Results Chains offer more flexibility to the programme in capturing the dynamics of a changing market in a complex social and economic environment. They allow the programme to capture deeper layers of complexity and sequencing and are the key tool used by the programme staff for planning, analysis and decision making. They enable programme staff to depict the logical progression of an intervention and to see whether and *how* certain activities lead to desired changes. Each intervention has a separate Results Chain (including pilot and inception phase interventions). The Intervention Level Results Chains form the foundation of the monitoring system.

### 1.2 Intervention Results Chains Tailored to Outcome<sup>5</sup>

All interventions facilitated by the programme aim to generate systemic change however programme interventions under Outcome 1 and 2 differ slightly to those under Outcome 3 which is reflected in their construction. In Outcome 1 and 2 of the programme SSLP's are customers and suppliers respectively, the clients are the private sector and results are described in terms of jobs, scale and income with the final impact of improved incomes. In Outcome 3 SSLP's are citizens operating within an environment governed by rules, specifically as targeted within the programme, those relating to the transversal themes of gender, governance and DRR. Intervention entry points for facilitation tend to be (although are not exclusive to) the government at local, regional or national level and the ultimate impact is defined in terms of behavioral change, jobs and scale. See *Annex 1* for details on how the results chains for Outcome 1 & 2 and 3 are designed to reflect the difference in stakeholders and expected impact with examples of RC's provided.

### 1.3 Timing, Roles and Responsibilities

*Timing:* Constructing results chains consists of two steps: construction of the first draft and construction of the operational draft. The *first draft* of a Results Chain is built at the beginning of an intervention, as soon as the programme receives an application from a potential Client and/or as soon an opportunity for a new intervention occurs. The *final operational draft* is constructed after all supporting research and other documentation is ready. The final draft is used as the key strategic document by the **Business Development Officer (BDO)** responsible for the intervention and forms the backbone for all related monitoring documents which are developed and maintained by the M&E unit per intervention and is reviewed and revised annually on the date of its adoption as the final operational draft or when a Phase II or extension to the intervention is developed. Where a Phase II is developed the new activities and impacts are amalgamated into the results chain.

*Roles and Responsibilities:* The first draft of each Results Chain is built by the **BDO** responsible for the relevant intervention. The operational draft is constructed by **the BDO and M&E Officer**, under the supervision of **Programme Director and Deputy Programme Director**.

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<sup>5</sup> Outcome 1: Increased outreach, information dissemination and quality of target services to SSLP's: increasing access and enabling SSLP's to make informed decisions on animal health, breeding and nutrition.

Outcome 2: Market Access and Terms of Trade are made more advantageous for small-scale livestock producers.

Outcome 3: Local Government has enhanced capacity to support the growth of a robust and durable agricultural sector which is more resilient to natural disasters.

#### 1.4 Other factors to Consider in Constructing Results Chains

*Stakeholder Involvement:* Clients and relevant stakeholders indirectly take part in constructing the first draft of the relevant Results Chain. The information provided in the *Application Form* by the client is the basis on which *the first draft* of the relevant Results Chains is built. As interventions progress RC's can be used as a basis for discussion where the client can provide practical feedback on their own business development and also on external factors related to value chains with changes and developments fed back into the results chains where appropriate.

*The review process:* Results chains must be reviewed annually based on the final date of completion of the final initial operational draft. However ongoing reviews are also held during the annual and bi-annual reporting process when programme impact to date is reported. The review process involves discussion of the legitimacy of each result of the *Final Draft*, its supporting rationale and assumptions and overall monitoring system. Where changes are required they are authorized and documented. The relevant BDO, client, M&E Officer, Programme Director and Deputy Programme Director are involved in the discussion concerning the intervention rationale.

*Information Sources:* The first draft of the RC is based on the application form and on market research. The operational draft employs the following documents: market research, concept notes, and Investment Plans.

## 2. DEVELOPING AND SUPPORTING THE INTERVENTION RATIONALE

In order to successfully plan and develop interventions and develop robust results chains, with logical outcomes based on credible assumptions, each main level of the results chain must be scrutinized according to a set of criteria which attempt to represent the factors influencing the market system and are supported by evidence in the form of data. This data includes data specific and localized to clients as well as more general social, economic and legislative data. This data is obtained through market research carried out by the programme and by available secondary data sources.

The process is recorded within the M and E system in a document called the *Intervention Rationale and Summary of Supporting Documentation*. Please see the document template in *Annex 2*

### 2.1 Overview of the Intervention Rationale and Summary of Supporting Documentation Template

The *Intervention Rationale and Summary of Supporting Documentation* is comprised of the following sections.

**RATIONALE & ASSUMPTIONS:** Shows how each step of Results Chain is supported by research and data, which *supporting documents* have been used and how this is linked to the rationale developed and/or assumption being made at each level of the results chain.

The programme uses the following *supporting documents*:

*Application Forms* - filled by the client containing basic criteria and intervention specific information which the programme uses to assess the value of the client. Used by M&E in construction of the first draft RC and later only in the absence of an Investment Plan.

*Investment Plans* – Written by BDO + BDS (financial data) based on the information provided by the client and market research. Signed off by management. Contains material on beneficiaries, financial data and marketing strategy. M&E system uses it for constructing baseline data, targets and Results Chains.

*Ongoing Market Research* – Conducted by BDO's (with support of Monitoring Officer) and programme partners and used by M&E to complement to Investment Plans. Includes reports, market price data, stakeholder analysis, case studies etc.

*Grant Agreements and Intervention Budgets* – written by BDO and used by M&E system for Calculating Financial indicators (ROI, SROI)

*Programme Research*: Larger scale research conducted by management or external consultants including market sector analysis, legislative analysis, focus group and gender surveys.

*Secondary Data Sources*: Including national statistics, donor and UN agency reports.

**SYSTEMIC CHANGES:** Defines *how* and *why* systemic changes noted in the Results Chains are going to occur and describes the factors enabling copying and/or crowding in.

**DISPLACEMENT:** Currently in the programme area *the* market is thin and significant displacement is not expected, however it is still considered for each intervention in order to support the attribution strategy. The threat of displacement exists on each level of value chain, therefore this section reports on full and partial displacement for 3 groups of market actors: Input Suppliers<sup>6</sup>, Service Providers & SSLPs

**COUNTERFACTUALS:** Another facet of a robust attribution strategy is separating programme effects from what would have happened anyway without the programme due to pervasive factors (counterfactuals) with specific relevance to the agricultural sector in the operating environment which can have positive or negative effects such as:

- Economic conditions including the rate of inflation, rate of interest, lending
- New laws implemented (e.g. food safety and hygiene, export and import)
- Other projects and donor activities in sector and/or area

**GENDER & ETHNICITY:** Among all social factors in the programme area gender is the most significant. Ethnicity is also a very important social factor but although ethnicity is taken into account in qualitative monitoring and all significant indicators are disaggregated by both gender and ethnicity, gender is presently the priority because of specifics of the interventions/businesses, i.e. some interventions can affect men and women differently but outcomes will not vary across different ethnic groups e.g. due to the role of women in dairy processing which remains constant according to ethnicity.<sup>7</sup> This section reports on following topics:

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<sup>6</sup> As the market is very thin with few input suppliers acting and full displacement is not generally an issue on this level of value chain.

<sup>7</sup> All significant indicators are.

*Starting position/situation prior to the intervention* - constraints and opportunities for women while involved in specific business (e.g. lack of information regarding food safety law among female dairy processors);

*Gender Mainstreaming* - description of the ways the intervention addresses the situation (e.g. heat detection trainings for women as main livestock keepers)

*Universal Indicators* – financial benefits generated from Alliances KK interventions is usually distributed into the HH budget rather than delivered to individuals. Income must therefore be gradated into meaningful indicators to assess impact on women. E.g. Women's Role in HH Budgeting Regarding Livestock, Women's Access to Money.

## **2.2 Timing, Roles, Responsibilities**

As soon as the “first draft” of the *IRC* is drawn and the market analysis and case studies have been conducted the **BDO's** start writing the major programme generated supporting document the Investment Plan<sup>8</sup>. Based on these documents the **M&E Officer** constructs the *Intervention Rationale & of Summary of Supporting Documentation*. Stakeholders and/or clients indirectly add to the construction of the “intervention rationale” from the information submitted by them in the application form and the information needed for Investment Plans. When results chains are reviewed and amended changes are made to the document they are authorized by management and documented. The relevant **BDO, client, M&E Officer Programme Director and Deputy Programme Director** are involved in the development of the intervention rationale.<sup>9</sup>

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<sup>8</sup> See Annex 3. See also Alliances *Programme Investment Manual Version 1 2011* for more detail

<sup>9</sup>See Page 3.

### 3. DEFINING AND CAPTURING CHANGE: INDICATORS & THE MONITORING PLAN

The steps outlined in the Results Chains picture the *expected* impacts at each level of the results chain starting with programme activities and ending with the desired impact on the target group. Indicators must therefore be designed to accurately capture the change described at each stage of the RC. In practice this means that to capture quantitative change an indicator is ascribed to each box of the RC and these indicators are set down in *Monitoring Plan 1*. To capture qualitative change key indicators are selected for key levels of change in the results chain and these are set down in *Monitoring Plan 2*. The monitoring plan allows the programme to formalize the capture of changes i.e. impact, by defining this change, defining the conditions of the capture, and collecting the information regarding it in one place that is accessible to all relevant programme staff. The Monitoring Plans are the operational interface of the monitoring system.

The programme uses of Monitoring Plans at 4 levels:

*Intervention Monitoring Plans* - Documents showing intervention success and effectiveness (by using scalable indicators + indicators capturing behavioural changes); (MP1 & MP2)

*Output Monitoring Plans* – Document describing changes caused by separate interventions on targeted businesses and markets (using scalable indicators only);

*Outcome Monitoring Plans* – Document describing aggregated impact of separate interventions, market changes on programme area population economic conditions (using key scalable indicators only);

*Purpose Level Monitoring Plans* – Document describing aggregated impact of separate interventions, market changes on programme area population economic conditions (using key scalable indicators only);

*Note:* The indicators used in Output, Outcome and Purpose level Monitoring Plans are those found in the programme Logframe and the rest of this section will concentrate on the *intervention monitoring plan*.

#### 3.1 The Layout of the Intervention Monitoring Plan

Please see *Annex 4* for Monitoring Plan 1 & 2 templates. Indicators are grouped in 2 broad groups and form the two parts of the Monitoring Plan:

**MEASUREMENT OF SCALABLE CHANGES** consists of qualitative and quantitative scalable indicators capturing changes for farmers, and businesses in terms of outreach, financial benefits etc.

**MEASUREMENT/DESCRIPTION OF BEHAVIOURAL CHANGES** consists of qualitative indicators measuring and describing behavioural changes for farmers and business management changes for service providers.

Each part has sections for methodology description and results. The methodology description contains the:

*Data collection process* - source document, methodology, monitoring check frequency.

*Attribution strategy* - assumptions used, calculations applied.

### 3.2 Designing Key Change Indicators

All changes described in intervention Results Chains describe “key changes” each step/box is measured by at least one quantitative and/or qualitative indicator of change. The programme designs SMART (specific, measurable, attributable, relevant and time bound) indicators and ensures that: all indicators are precise and detailed enough to not require further questions for clarification. Indicators are generated for each intervention, and change according to the intervention to remain relevant. All indicators describing key changes are significant however two groups of indicators deserve specific mention.

#### UNIVERSAL IMPACT INDICATORS

Universal Impact Indicators of *jobs*, *scale* and *income* are defined as MUST criteria<sup>10</sup> by the DCED standard and are the main reporting indicators for Private Sector Development (PSD) Programmes to which they are held accountable.

The universal impact indicators as included in as in intervention Monitoring Plans are aggregated in the Outcome Monitoring Plans. The programme defines these indicators in the following ways:

*Scale*: The number of target enterprises who received financial benefit as a result of the programme’s activities, each year and cumulatively. In Alliances KK scale measures the number of target SSLP HH enterprises, as well as the number of target Service Providers who have increased a financial benefit as a result of the programme’s activities. Both are measured each year and cumulatively, as for each intervention and aggregated for each outcome and programme as a whole.

*Net Attributable Income Change (NAIC)*: The additional net income (additional sales minus additional costs) accrued to targeted enterprises as a result of the programme per year. In Alliances KK this is calculated for the two types of beneficiaries described above, per intervention and outcome and reported correspondingly.

*Net additional Jobs Created*: Net additional, full time equivalent jobs created in target enterprises as a result of the programme, per year and cumulatively. “Additional” means jobs created minus jobs lost. “Per year” comprises 240 working days (see Box 2). The programme must explain why these jobs are likely to be sustainable. Jobs saved or sustained may be reported separately. However, for a number of interventions due to the specifics of the programme, the creation of new job places are not expected, and the indicator is not incorporated into each Intervention Monitoring Plan.

#### INDICATORS OF LASTING IMPACT

The *Indicators for Assessing the Likelihood of Lasting Impact* are crucial for feeding back into the decision making process of the programme and are used in analysis: during and post intervention as well as prior to the start of interventions in the form of projections of the likely sustainability of an intervention. Financial indicators assessing business sustainability are used with indicators for capturing behavioural changes of farmers and improved business management practices and are expanded upon below.

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<sup>10</sup> Criteria which *must* be met to meet the standard rather than those which are *recommended*.

*Profitability: NAIC:* NAIC is calculated for SSLP' and service providers

*ROI (Return on Investment):* ROI determines the sustainability of the business model by defining its level of financial independency. A Predictive and Actual Return on Investment can be calculated for larger investments. A predictive ROI is designed based on the figures obtained in the *Investment Plan* which enables the definition of the optimal share i.e. percentage % of our co-investment per intervention and timeline for the breakeven point of the co-investment. It is a decision making tool in planning investments, setting targets and measuring impact.

*Social Return on Investment (SROI):* SROI shows the benefits provided by service providers to SSLP's expressed in terms of additional income and (monetized) time saved increased sales and reduced transaction costs. A Predictive and Actual Social Return on Investment can be calculated for larger investments. It is the main means of quantifying the impact of an intervention on the target group i.e. SSLP's. Once raw financial data is received on-going financial calculations are made and a biannual SROI calculated per investment.

*Customer satisfaction* – the programme has indicators describing customer satisfaction level with questions designed to find out information such as: *Do you regard milk collection to be beneficial because of transaction costs savings?*

*Improved capacity to carry out new functions:* like expanding production and/or outreach of their business or diversifying the production and offering new services.

*Problems and drawbacks faced by clients* – e.g. drawbacks to increasing sales like low demand caused by high prices and/or low awareness among customers, poor or no distribution chain etc.

### **3.3 Projecting Realistic Impact**

The anticipated impacts for key quantitative indicators are predicted based on realistic and clear calculations taken from documented research. Sources of information and assumptions must be outlined and noted. Projections should be reviewed on at least an annual basis and the review documented.

#### **DATES**

Projections should be expressed as a change in indicator value due to the programme by a specific date. Projections for universal impact indicators should be made where possible with projections to the end of the programme or for two years after the end of the programme.

### **3.4 Timing, Roles and Responsibilities**

Monitoring plans are drafted at the beginning of an intervention, as soon as programme has a final operational draft of the *intervention Results Chain*.

*Quantitative Monitoring Plans (MP1's)* are built by the **M&E Officer/M& E Assistant** with the support of the **BDO** responsible for the relevant intervention.

*Qualitative Monitoring Plans (MP2's)* are built by the **Information Officer** with the support of the **BDO** responsible for the relevant intervention. The **M and E Officer** is responsible for ensuring they dovetail into the system as a whole.

*Client/Stakeholder Involvement:* For the definition of applicable business indicators consultations with **relevant clients/stakeholders** are conducted.

*Review:* The document is reviewed by management together with corresponding RCs. Where changes are required they are authorized by **management** and documented.

*Data Entry & Information Sources:* Clients submit monthly data sheets, interviews with beneficiaries and secondary data is also checked. This data is entered by the **BDO's** (corresponding to their portfolio) and the **M and E Assistant**.

## 4. MEASURING CHANGE

Carrying out quality M&E requires a robust measurement system fuelled by quality data, based on good research practices and efficient and accurate data collection and entry methods. The main methods of data collection used by the programme are: document reviews, surveys ranging from key informant interviews to larger scale surveys with statistically significant results, and secondary data analysis. A single method cannot be applicable to all indicators and for each intervention several methods are applied. Very often more than one tool is used for a single indicator for data triangulation. Estimating *attributable change* is an inherent component of each calculation. The choice of data collection and research method will also therefore depend on the type of information needed for the attribution strategy for that particular step of the *results chain*. Data collection and analysis can be divided into two categories:

*Repetitive*<sup>11</sup> - Monthly data collection, entry and analysis: the programme has two main source of this kind of data; the client and the market in the form of monthly client submitted data sheets for financial data of client and beneficiaries information and market prices. The advantage of monthly data collection and analysis in the MAP meetings is the regular feedback loop allowing for ongoing calibration of the interventions.

*Extensive:* Larger scale/ targeted research done at a variety of intervals to capturing more extensive changes.

### 4.1 Establishing Baselines

Without baseline information, change *i.e. the difference in the key indicators described in the monitoring pre and post intervention*, cannot be measured. Baseline information is also absolutely essential for developing robust *attribution*<sup>12</sup>. The baseline describes the intervention before programme activities and will allow for the measurement of changes/impact *attributable to the programme*.

#### CLIENT DATA FOR INTERVENTION BASELINES

At the intervention level in the *Application Form* and then in much greater detail in the *Investment Plan* the programme receives the fundamental information for establishing baselines for each box of the results chain to allow the measurement of change. The development of the results chain allows the **BDO** to use it

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<sup>11</sup> The term: Repetitive data collection method is used by the programme for all kind of the data collected repetitively on monthly basic and forming daily monitoring routine. The method is chosen because it fits into the Outcome Monitoring Concept introduced by the donors.

<sup>12</sup> Please see Section 5 which covers the Alliances KK attribution strategy and estimating attributable change. Not all change can be claimed by the programme. Other factors such as an improved economy, other donors, lower inflation etc may be responsible for positive change. These factors are considered in the attribution strategy. As discussed in Section 3 attribution and counterfactuals are built into the monitoring plan. See Section 3.

as a reference when writing the *Investment Plan* to ensure that all requisite data is included. Client specific baseline data on Alliances KK typically includes information such as the following:

- Number of customers served per month/annually;
- Number of services provided per month/annually;
- Amount of litres of commodity e.g. milk, wool received/processed per day/week/month/year
- Amount of processed product sold per day/week/month/year
- Amount of cattle slaughtered per day/week/month/year
- Number of suppliers of milk/meat/wool etc and number of target group suppliers.
- Monthly/annual turnover, profit etc

The client specific data is also triangulated and translated into values using monthly market price information and the information from secondary sources described in Section 3 and programme specific reports and surveys.

#### OUTCOME AND PURPOSE LEVEL INDICATOR BASELINES

For indicators describing change at outcome and purpose level the programme obtains baseline data from the broad, in depth surveys carried out by the programme during the *inception phase*<sup>13</sup>. In the Alliances Programme the surveys carried out in the inception phases were, a *Market Analysis*, *Focus Group Survey*, *Gender Survey*, *DRR Survey* *Livestock/Veterinary Survey* which were all used to inform the Strategy/Proposal document for the implementation phase (See Annex 5 for a detailed description of Alliances KK research). Of these surveys the *market analysis* is used the most extensively, in addition *baselines* will be validated *retrospectively* in the *impact assessment* at the end of the first phase of the programme for intervention, outcome and purpose level. See details below:

*The Market Analysis:* was conducted during the inception phase of the project and based on the Focus Group Survey, and market analysis itself based on secondary data primarily that of the Georgian State Department of Statistics and the latest agricultural census (2011) and key informant interviews. Triangulated by programme level information including market price data and client data, new secondary sources and larger programme surveys, these form robust baselines for all the indicators outlined in the logframe. This data is also used for estimating attributable change for annual and biannual reports. The robustness of the data is assured by the triangulation of the sources mentioned.<sup>14</sup>

*The Impact Assessment Survey:* Statistically significant data from the farmer level will be obtained retrospectively adding to the triangulation of the baselines for the end of first phase impact assessment as well as for the programme going forward in the second phase. All data required will be obtained retrospectively to form and/or check baselines for all the indicators as on intervention level, outcome and

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<sup>13</sup> In SDC funded projects, a six or seven month inception phase is built into the project once the broad parameters of the programme have been set to allow for the development of an in depth strategy and log frame etc based on in depth research of the target group and market systems in which the programme intends to intervene.

<sup>14</sup> Note: For the absolute majority of the indicators all three sources provide the non contradictory information. The programme is aware of the fact that Focus Group Survey Results cannot be used to build statistically robust figures however the survey was extensive and is used to give insight from farmers' perspectives and to determine basic trends and triangulate other data sources.

purpose level. An end of phase Impact Assessment Survey will be carried out towards the end of the first phase.<sup>15</sup> Please see below for more information on Impact Assessment.

#### 4.2 Impact Assessment<sup>16</sup>

The impact assessment will be held towards the end of the first phase of the project. It will involve also retrospective checking of the baseline indicators and will contribute to the attribution method (see Section 5). HH survey's will be used. In particular:

- Treatment and control groups will be compared;
- Multi stage cluster selection will be used for sampling;
- Questionnaires used will be – semiformal
- Target population is defined – SSLPs, Medium SLPs and Large SLPs.
- Tabulated results will be used for reporting
- Maximum Likelihood Estimation Analysis<sup>17</sup> will be applied

#### 4.3 Setting Targets<sup>18</sup>

Baseline data is used in the M and E system for measuring change and building the vigorous attribution strategy and forms the foundation for developing realistic targets for key indicators of change. The output, outcome and purpose level indicator targets or the programme goals are the targets set in the Logframe at the end of the inception phase.

#### 4.4 Maintaining Standard/Good Research Practices

In gathering the data needed for the processes described above, Alliances KK data collection and research methods conform to the good research practices outlined in the DCED standard. Thus for both quantitative and qualitative analysis programme meets the 10 criteria required by the DCED standard:

1. *The target population is well defined:* For the most of the research carried by the programme the target population coincides with target beneficiaries SSLPs as defined in the logframe. For large surveys the target population are the programme area residents, or are defined on a case by case basis.
2. *The sample matches the target population:* Whichever survey method is chosen follows established practices while choosing the sample
3. *The sample is randomly selected:* This criterion is mostly relevant and most strictly followed by the programme when planned surveys are conducted. But due to the programme priorities the sampling method chosen is stratified random sampling.

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<sup>15</sup> The retrospective method for the baselines, as a part of Impact Assessment Survey is chosen for practical reasons. Due to the dynamic character of the project the it can not be determined in advance who the programme beneficiaries will be or what interventions, or intervention characteristics will be carried out..

<sup>16</sup> <sup>16</sup> <http://www.m4phub.org/userfiles/file/M4P%20Evaluation%20Workshop%20Summary%20Final.pdf>

<sup>17</sup> This is a statistical method which is a type of regression analysis ‘a method of estimating the parameters of a statistical model when applied to a data set and given a statistical model, MLE provides estimates for the models parameters’. Wikipedia.

<sup>18</sup> See also Monitoring as Decision Making Tool

4. *The sample size is large enough:* The programme uses a Confidence Level of 95% and Confidence Interval of 10%, for all surveys with statistically significant results undertaken by the programme. Smaller pieces of research choose on a case by case basis.
5. *Good follow-up minimizes non-response:* The programme attempts to minimize surveys and research to what is strictly necessary in accordance with the ‘low visibility approach’. Staff are very sensitive to community dynamics and politics, maintaining strong relationships with key community figures with good follow up with regular visits minimize non response.
6. *The type of survey is appropriate:* Each case is reviewed and decided separately depending on the data required.
7. *The questions are well worded*
8. *The survey is properly timed*
9. *The survey personnel are well trained*
10. *The survey answers the original question*

Secondly the programme follows the critical points of the Guidelines and Ethics<sup>19</sup> Outlined in the DCED standard:

**Box 1: Ethics of Conducting Research**

*Respect Cultural Norms* - There are a number of cultural norms which exist in any setting of which you must be aware prior to beginning research. For example, in some contexts cross-gender interviews are forbidden. Identify and have a strategy to adapt your research plan to these norms prior to beginning.

*Be Transparent* - It is important that all interviewees understand who you are and why you are conducting research. If you are arriving without prior notification to conduct research, be respectful of their other obligations and do not pressure them to participate if they are not willing to do so.

*Manage Expectations* - It is usually prudent not to promise any specific outcome from your research (such as a new project) that is not certain of happening.

*Share Your Results* - Market research should not be approached as an ‘extractive’ process, in which you enter, take information and leave. In discussing peoples’ problems and gathering their ideas to fix these, expectations are often raised that you will also adopt these suggestions and improve conditions. It is important that after gathering information, you also share the results with interested clients. This not only honours their contributions; it also allows you to gather additional feedback on your analysis.”

See DCED Standard Version VI “Box 6: Research Guidelines and Ethics: (Source: Miehlabradt and Jones. 2007; p11)

**4.5 Methods of Data Collection**

Prior mention has been made in Section 2, Section 3 and in this Section of the type of data collected and the method used on the Alliances Programme. The main point of note is that in accordance with good research practices the method used matches the data and outcome required and takes into account, the

<sup>19</sup> ‘It is always important that the research which you conduct is done so in a fair, ethical way that respects those from whom you are gathering data. While many of the critical parameters and guidelines for collected information are context-specific, there are a number of points which should be observed in any research situation’.

maintenance of low programme visibility, good community relations particularly in relation to managing expectations, staff capability and availability and budget, In Alliances KK the research methods employed to date are outlined in detail in Table 1 in *Annex 5*.

#### **4.6 Timing, Roles and Responsibilities**

Choice and design of survey instrument for each indicator starts as soon as monitoring plans are drafted and indicators defined. Existing data is used whenever possible for efficiency. *Stakeholder Involvement:* The Monitoring officer consults with relevant client when choosing data collection methodology and constructs a data collection sheet to be filled in by the client monthly.

The **Monitoring Officer** is in charge for choosing appropriate measurement and data collection methodologies and **BDO's** are in charge for data collection from clients under the regular direction and supervision of **Programme Management**. In addition **Programme Management** often commissions pieces of new market research to answer the need for more information which unfolds as part of the developing market strategy and in response to the M and E feedback loop, see in detail below:

*Clear and appropriate assessment design:* designed by **M&E Officer and BDO's** under the supervision of, or commissioned and designed by the **Programme Manager**;

*Data collection:* planned by **M&E unit** conducted by **BDOs, BDO Assistant** and any **requisite external Interviewers**.

*Data entry:* conducted **BDO Assistant/M and E Assistant** and for larger one time data **specially requited data entry personnel**;

*Data Analysis and Results Management:* conducted by the **M&E unit** under supervision of **Programme Management**

*Management of assessments:* conducted by the **M&E unit** together with **BDOs**;

*Use of existing data sources:* assured by **M&E and Programme Management**;

*Costs, financing and logistics:* planned by **M&E Officer** together with finance and logistics department and supervised and approved by the **Programme Management**.

## 5. ESTIMATING ATTRIBUTABLE CHANGES

In order to be able to genuinely evaluate impact generated by the programme it is imperative to have an accurate system for isolating programme benefits/changes caused by the activities of the programme from external factors and to show why change is happening<sup>20</sup> i.e. an accurate *attribution strategy*.

The Alliances KK programme refers to attribution as;

*The change that can be claimed by the project out of the total changes that take place in the region.*

Attribution in general is regarded to be challenging and certainly does need to be approached mindfully. However it is important that in attribution, as in data collection a balance is kept and that the topic is not allowed to become overcomplicated and overworked in relation to the time/money/capacity spent on it, and that it should like all other components of the M&E system be *practical and fit for purpose*.

In order, to maintain this balance Alliances KK has developed an attribution strategy based initially on defining the list of factors which are described in detail in *Annex 6* and that can influence impact and then by assessing their scale and scope develop a course of action for dealing with them. The DCED standard recommends incorporating strategies for attribution from the beginning. In Alliances KK attribution is built into the monitoring plan.

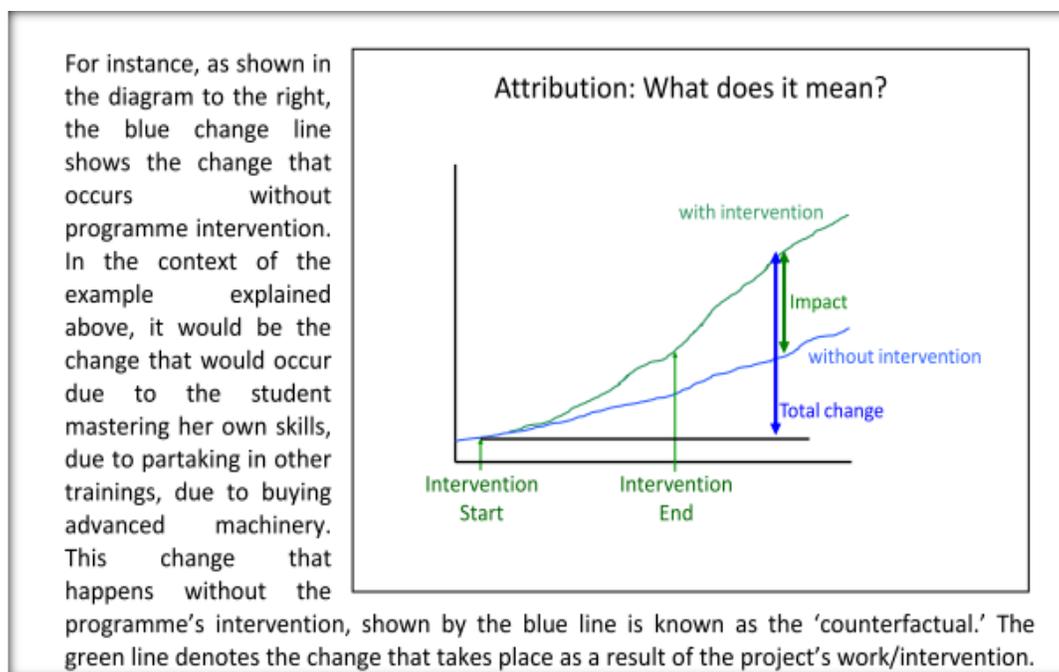
*“The starting point for assessing attribution is a leading force of direct inquiry where a programme openly wants to find out to what extent changes have been due to an intervention/programme and to what extent changes have been due to other factors. In other words, all projects must provide a convincing case to justify why their beneficiaries would not have done equally well, if not better, without the intervention of the project.”<sup>21</sup>*

See Figure 2 below for further clarification.

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<sup>20</sup> Source: <http://www.enterprise-development.org/page/download?id=2012>

<sup>21</sup> DCED Guidelines 2010



Note: Each indicator defined by the programme must and does have an attribution method.

Figure 3: Explaining Attribution

## 5.2 Factors to be Considered for Building an Accurate Attribution Strategy

During the inception phase the programme defined external factors which have or could have an effect on programme impact and should therefore while building the system for attribution be calculated. These are as follows: *Baseline, Displacement, Other Public Funding, Inflation, Changes in the Legislative Environment, Market Environment Changes and Changes in Regional Stability*. Table 2 in Annex 6 describes in detail how the programme deals with the expected biases caused by these factors and what steps the programme takes when calculating the results of the project/intervention and when validating the change steps in a results chains. In addition the programme takes into account *overlaps* i.e. when more than one intervention reaches the same target enterprises to avoid *double counting*.<sup>22</sup>

## 5.3 Validating Change Steps in Results Chains and Measuring Attributable Changes

The foundation of attributing change to the programme is laid in the results chains. In each intervention results chain the indicators applied to each box measure the changes brought about by programme activity. These changes at one level lead to changes at the output, outcome and impact levels and are therefore attributable to the programme. However changes caused by other factors within the wider

<sup>22</sup> The indicator presently mainly subject to *overlaps* is scale i.e.# of supported entities and # of farming HH Enterprises. Alliances KK has been controlling for overlaps between the interventions and it is only up to 7%. But as the scale of the programme increases this figure will also increase and checking names to control for overlaps becomes more time intensive. The overlaps are very common for **the # of supported entities** as the programme often facilitates the linkages between the programme supported entities and relevant consultancy organizations like *FS&H*. But as the supported entities are few and easily countable it does not take much effort to account for double counting. As for the **# of farming HH Enterprises** it will be reviewed again during impact assessment.

market system may also have an effect on these changes and impact and these effects must be estimated for each factor. See below.

The programme method<sup>23</sup> is described as follows: how programme activities lead to the desired changes in the market system and the desired outcomes for the target group are described in the results chain, the causal links documented between programme activities and changes are validated through research and noted in the *Intervention Rationale & Summary of Supporting Research Document*. Indicators which capture the change attributable to the programme for that step in the results chain are ascribed and the attribution method for calculating the impact of factors which will also have an effect on impact is designed and noted in the measurement plan. See the example in Box 2 below.

*Box 2: Example of Programme Attribution Strategy Methodology*

*Set of programme activities has led to increased income of farmers through increased milk yield of cattle:*

Step 1: Detect the causal links between the programme activity and increased income and draw them in the results chains;

Step 2: Validate the causal links through supporting research.

Step 3: Identify the indicators which will be measuring ONLY the change described in the results chain, which is due to the programme activities e.g: *current market value of the increased amount of milk*;

Step 4: Incorporate in the measurement plan the calculation method (attribution strategy) which will distinguish between the market value of the increased milk yield, from other factors such as: milk price, changes in the market e.g due to new Food Safety and Hygiene laws, new large dairy company, milk yield changes due to seasonality etc.

Step 5: A CPC raises the price of milk by 5 tetri/l above the market price due to wanting to keep its suppliers loyal now they are trained in quality milk supply and they have upgraded capacity. Thus the price gap is due to the programme not external factors e.g. market price fluctuations.

*Note:* For qualitative indicators measuring & describing behavioural changes the accuracy of attribution is achieved by the careful formulation of the question.

*Other methods applied:* during impact assessment Maximum Likelihood Estimate (MLE) analysis will be applied

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<sup>23</sup> This method is in line with the DCED standard and fits in with the Outcome Monitoring Concept.

### 5.1 Timing, Roles and Responsibilities

During the *inception phase* external factors that can influence the results are studied and assessed by **Programme Management, BDO's and M&E staff**. Prior the intervention beginning the **Monitoring Officer** determines the particular factors that could potentially have significant influence on the intervention results. After the measurement method is defined for the indicator the **M&E Officer** under Supervision of **Programme Management** and with the consultation of **BDO's** estimates the programme attribution. The system is incorporated into the intervention monitoring plan (See Section 2) as well into output, outcome and purpose level monitoring plan.

## 6. CAPTURING WIDER CHANGES IN THE SYSTEM OR MARKET

Systemic change in a market development programme is caused by the knock on effect of programme interventions which have been designed and undertaken to exploit key entry points<sup>24</sup> which when leveraged correctly by an intervention cause change throughout the part of the market system which has been targeted. Systemic change is a form of *indirect impact* i.e. changes caused, at least in part due to programme activity<sup>25</sup>. Potentially systemic changes caused by the intervention could lead to positive or negative outcomes. However the programme is designed to cause positive systemic change in the form of *copying and crowding in*. Market related systemic change is expected in the interventions under Outcome 1 and 2 with systemic changes in the operating environment related to governance expected in Outcome 3. The DCED definitions of copying and crowding in are:

*Copying*: Other target enterprises copying behaviours that those affected directly by programme activities have adopted.<sup>26</sup>

*Note*: For the particular programme like Alliances KK farming HH are regarded a target enterprise;

*Crowding in*: - Enterprises at levels other than the target level copying behaviours that those affected by programme activities have adopted, or entering a sector or value chain as a result of improved incentives and environment created (at least partly) by the programme. This term also applies to government agencies or civil society organizations, who are not directly involved in the programme, copying behaviours of those who are directly, involved in the programme, or who change their behaviour as a result of improved incentives or environment created (at least partly) by the programme.<sup>27</sup>

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<sup>24</sup> Entry points are defined to offer the best opportunities for systemic change through addressing key constraints and exploiting pro poor opportunities for growth.

<sup>25</sup> It also includes 'second order changes resulting from a programme's direct or indirect impact, for example changes in non-targeted sectors or changes in local economies resulting from the increased purchasing power of a programme's target beneficiaries' P16 DCED Version VI, January 2013

<sup>26</sup> Ibid

<sup>27</sup> Ibid

## INDIRECT IMPACT

The indirect impact of the programme to date is not expected to be large due to the thin market in which the programme generally operates and the relative youth of the programme. However the likelihood of indirect impact and systemic change occurring increases as the direct impact of the programme grows and key constraints are addressed and entry points exploited. The systems as detailed below are in place to capture the change as and when it occurs. See also section 6.3 below.

### 6.1 How Systemic Change it is Captured and Estimated in the System

Systemic change in the form of *copying and crowding in* is not expected to occur until an intervention matures and generates its direct impact which in turn will generate the expected systemic change within the target market system.

*Results Chains:* Boxes shaded in grey are placed on the outcome level of the intervention results chains to capture copying or crowding in.

*Intervention Rationale Document:* The rationale behind the type of systemic change expected (copying or crowding in) is explained.

*Monitoring Plan 1:* The indicators that are used to measure direct change at the outcome level are used to measure indirect impact/systemic change i.e. the indicators for copying and crowding in are defined by the indicators ascribed to the changes expected to catalyze/generate them.

*Data Collection & Measurement:* For some indicators direct measurement of systemic change is possible e.g. new service providers. Where direct measurement is difficult projections based on information gained from qualitative analysis may be used to assess impact e.g. asking clients if new competitors have the same amount of clients, what type of services they are offering. Each qualitative questionnaire for clients contains questions on possible market changes, other players and so on and is carried out annually. However where systemic change is noted in a particular intervention a piece of unique research maybe carried out particularly for reporting in the bi or annual report.

*Attribution:* For attribution the M&E officer checks for all the relevant factors listed (See 5.2 and Annex 6) and uses the same methods of attribution applied by the programme, while calculating direct impact, which includes calculating what share of impact is attributable to the programme.

Box 3 below provides an example of the calculation of systemic change, in this case crowding in.

*Box 3: Example of Capturing Systemic Change: Crowding in*

*Intervention:* The linkage between local vet pharmacy and the veterinary input supplier to the region is facilitated by the programme. Supported Vet Pharmacies have upgraded infrastructure and access to a better and cheaper range of veterinary drugs and technical support network. On average, during the first year following facilitation, one Vet Pharmacy supported by the programme is serving 500 customers per month and generates NAIC of 5000 Gel for farmers.

*Expected Indirect impact/ Systemic Change at Outcome Level:* Other/new vet pharmacies in region which are not supported by the programme, contact the vet inputs supplier and copy the model to enter or enhance their market.

*Qualitative information (Monitoring Plan2):* The relevant BDO has found out that a new vet pharmacy has opened who is purchasing drugs from the veterinary input supplier and serves 100 customers per month (during its first year of work) . In addition, there is no evidence to contradict the fact that that benefits generated by this new vet pharmacy would differ from the benefits generated by programme supported ones.

*Assumption:* The indicators for the expected indirect impact are in this case comparable to direct ones.

*Measurement:* It can therefore be calculated that the new vet pharmacy generates 1000 Gel worth of attributable benefits for the farmers, per month during the first year of work.

*Reporting:* Once indirect benefits have been generated they are reported in a way which distinguishes them from direct results, in the bi-annual and annual reports.

## **6.2. Capturing Indirect Impact: Systemic Change Other than Copying and Crowding in**

For capturing the indirect impact attributable to systemic change other than copying or crowding in, the programme follows the procedures as noted in the sections above. However whereas the programme can predict the *expected* impact of copying and crowding in, where other indirect effects occur they are more likely to be *unexpected*<sup>28</sup>. However the procedures noted above will be followed to allow for its capture and if necessary results chains amended accordingly.

## **6.3 Timing, Roles and Responsibilities**

The expected systemic change is built into the results chain and MP's at the beginning of the intervention. Subsequently as the intervention matures and at least on an annual basis the **BDO** and **Information Officer** is closely consulted in obtaining information relating to systemic change and the **Information Officer** is in charge of conducting qualitative surveys and assembling qualitative data. When it is identified that systemic change has occurred, the **M&E Officer** tries to find out the best suitable form for measuring the indicators for indirect impact is chosen.

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<sup>28</sup> The terminology intended or unintended could be substituted here.

## 7. GENDER

### GENDER AND WOMEN'S ECONOMIC EMPOWERMENT

In Alliances KK all reported changes in key indicators, describing outputs and outcomes for farmers are gender disaggregated in an appropriate and meaningful manner. If an exception occurs and results are not gender disaggregated valid justification, has to be provided. *Gender is integral to every programme activity and is included from the first in every step of the programme cycle.* The rest of the chapter describes how the programme meets gender needs and how it is reflected in the monitoring system.

By dealing with the poor as one target group rather than more traditional overt gender programming which targets women specifically, debate has surrounded the challenge of gender mainstreaming in M4P. A tangible result of this debate was the development of the M4P Hub sponsored *Guidelines to the Incorporating Women's Economic Empowerment (WEE) into M4P Programmes*<sup>29</sup> which includes a framework for use throughout the M4P programme cycle<sup>30</sup>. M and E is the final part of the framework and offers solid guidance to incorporating WEE into the M and E system, which goes beyond disaggregating gender data and includes guidance on the development of results chains, indicators, the establishment of baselines and monitoring plans and analysis, decision making and reporting. The framework is in use by the programme. See *Annex 7* for the WEE M and E framework.<sup>31</sup>

### 7.1 Measurement Methods Applied to Gender Monitoring

In the main, the measurement methods and attribution strategy (which have been documented in detail in this manual) applied to gender disaggregated data for specific indicators are the same as for non-disaggregated ones. According to the DCED standard and SDC requirements in the OMC, the universal impact indicators must be gender disaggregated see Table 1 below:

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<sup>29</sup> 2012 the Alliances Programme was one of the two programmes chosen as a case study for the development of the guidelines.

<sup>30</sup> There are five stages: 1. Setting the Strategic Framework, 2. Understanding Market Systems, 3. Defining Sustainable Outcomes, 4. Facilitating Systemic Change, 5. Assessing Change.

<sup>31</sup> Further work is now engaged in defining indicators at the household level which can better capture the changes in WEE. The DCED Women's Entrepreneur Development Working Group commissioned a Literature Review into *Measuring Change in Women's Economic Empowerment at the Household Level* (2013) further work will take this further in 2013/early 2014 into defining indicators and potentially adding to the universal impact indicators.

**Table 1: DCED Requirements for Gender Disaggregation of Universal Indicator and Alliances Programme Practice**

DCED Standard	Alliances KK
<i>Scale:</i> “Data should be divided to show the relative numbers of male- and female-owned SMEs” <sup>32</sup> . The Programme has two types of Beneficiaries:	Major target beneficiaries: SSLP HH Enterprises: Alliances KK clients and/or supported entities (more than 90% of which is itself SME)
<i>Net Attributable Income Change (NAIC):</i> “Data should be divided to show the additional net income of male-owned SMEs compared to that of female-owned SMEs and male workers compared to female workers” <sup>33</sup> .	Major target beneficiaries: SSLP HH’s Alliances KK clients and/or supported entities (more than 90% of which is itself SME) – In this case gender disaggregation is not applicable
<i>Net additional Jobs Created:</i> “Data should be divided to show the number of FTE jobs that went to men, and to the number of FTE jobs that went to women” <sup>34</sup> .	The programme follows the standard.

#### ISSUES RELATED TO GENDER DISAGGREGATION

Making gender meaningful both in terms of programme implementation and monitoring and evaluation is challenging. The only widely recognized and established requirement for gender performance monitoring presently is the disaggregation of results based on gender. The problem with gender disaggregated data although a vital basic requirement for ensuring some measure of gender mainstreaming or a measure of the impact a programme is having on women is that it has varying levels of efficacy in providing *a true picture of the impact of an intervention on women* particularly when based solely on scalable quantitative indicators that cannot reflect the complexity of gender relations at the household and community level. It is essential therefore that this type of gender disaggregated data be backed up by qualitative data that allows for an interpretation of the figures beyond face value.<sup>35</sup> The following examples highlight some of the issues found within the Alliances programme which hinder gender disaggregated data from showing the true level and nature of impact on women in relation to programme interventions and the programme response in italics:

*Scale:* Presenting the gender disaggregated beneficiaries of programme interventions *actually* shows us the number of customers and suppliers of the programme supported enterprises rather than who is really benefitting and how these benefits are distributed within the households. *Therefore extra gender analysis is required to answer how the income is distributed within the family.*

*Data Collection:* Women often sign their husband’s name, i.e. the family or household name when accessing services facilitated by the programme or supplying to programme facilitated entities. *This leads the programme to have to devise ways of data collection which somehow shows the sex of the purchaser.*

<sup>32</sup> In Alliances KK scale measure the number of SSLP HH’s and number of SME clients.

<sup>33</sup> See

<sup>34</sup> See

<sup>35</sup> Bearing in mind that qualitative data is itself often comprised of data sets which are often very limited and based on very small sample sizes that offer no statistical heft to the findings.

*Decision Making/ End User:* Men often do the marketing in town with women being left at home, yet women are for example in the case of veterinary medicine often responsible for diagnosing and requesting the drugs from the vet pharmacy which they will then administer. The data will show a prevalence of male customers although in many ways the decision maker and end user is the woman in the HH responsible for livestock husbandry in the home. *This issue therefore needs more emphasis on the development of indicators which will capture the complexity of decision making and roles at the HH level and going beyond the issue of mobility.*

*Income:* Women are the main producers in the dairy value chain, responsible for livestock husbandry in the home and milking and processing. They are responsible for dealing with intermediaries from the home where they handle cash. However payment from more formalized entities is conducted from the milk collection centre to which mostly men go and therefore again men's names are used and cash is handed to them. *The issue here is finding out what level of access and control women have to this income. When analyzing data to find out whether women's livelihoods have been improved in relation to NAIC, gender disaggregated data can present a bleak picture and tell us little, as often income becomes household income and the decision making related to its use and control over its use is complex.*

#### **INTERPRETING GENDER DISAGGREGATED DATA: APPLYING ASSUMPTIONS**

Therefore in addition to the universal impact indicators the programme presents disaggregated figures per intervention in the annual report in the annexes, and applies assumptions based on qualitative research in an attempt to provide clarity and a level of meaningful interpretation to the disaggregation. See Table 2 below:

Table 2 Outcome Level Gender Disaggregated Data Reporting Interpreted According to Assumption

Description of Outcome Specifics	Assumption Applied	Interpreted Data
<p>Outcome 1: Concerns interventions which generate income through supporting functions. The gender disaggregated results show who is buying the Livestock related inputs and services.</p>	<p>Women who are buying livestock related services and products (AI, Veterinary services, medicines etc.) Have some control over expenditure regarding livestock.</p>	<p><b>Scale:</b> # of beneficiary HHs with women with some measure of control regarding HH expenditure budgeting regarding livestock;</p> <p><b>Income:</b> % of the income for beneficiaries generated through proper usage of veterinary services/AI/nutritional input for the livestock is by Women.</p>
<p>Outcome 2: Concerns interventions which generate income through improved market access and the gender disaggregated results give a picture of who has directly received money for dairy products or meat they have sold.</p>	<p>Women who are receiving cash from MCCs traders and/or intermediaries have some measure of access to cash generated as revenue through livestock related HH activities</p>	<p><b>Scale:</b> In # beneficiary HH's women are receiving cash from MCCs traders and/or intermediaries and have some measure of direct access to cash generated as revenue on livestock related HH activities;</p> <p><b>Income:</b> A % share of the income generated through improved access to market is directly accessible to women.</p>
<p>Outcome 3: Concerns interventions which generate non-financial benefits; good governance, gender equity and increased awareness of local DRR issues. The gender disaggregated results for this Outcome give an indication of the social and political empowerment of women.</p>	<p>Women actively involved in community and municipality level meetings are more likely to take part in decision making process at public and HH levels which could lead to more control over livelihood related strategies.</p> <p>Women's involvement in the DRRWG's and as recipients of DRR related information will be able to make informed decisions regarding the health of their animals which affect the productivity of their livestock and protect their livestock based assets.</p>	<p><b>Scale:</b> % of community meeting representatives are women and take part in decision making processes leading to more involvement and possibly control over livelihood related strategies.</p> <p><b>Scale:</b> % DRR WG meeting participants are women and take part in decision making processes concerning DRR which may positively impact livelihood related strategies.</p>

## 7.2 GSI and Gender Overt Interventions

Alliances focuses on developing *gender sensitized interventions (GSI's)* which reflects the fact that to impact both men and women interventions must take into account that they perform different roles as market players, face different constraints and are able to exploit different market opportunities. Each intervention results chain contains within it the steps (*GSI boxes*) necessary to ensure that an intervention is calibrated in a way to reach women and ensure equitable impact. Depending on the nature of the intervention it may mean as little as ensuring that women are targeted in advertising or that information dissemination reaches them, or in others designing the intervention to take into account that finding the correct entry points with women will be pivotal to the success of the intervention e.g. reaching women raw milk suppliers with specifically tailored information for the supply of quality milk. Building these steps into the results chains is part of the normal IRC development process (Please refer to the relevant sections for the general process into which gender is mainstreamed).

Specifically the following steps are observed:

- Gendered market analysis and gender analysis conducted prior the intervention study the specifics of women's role in the market: the difficulties and most importantly the opportunities they might face in the market. The knowledge gained is reflected in investment plans also in the intervention rationale<sup>36</sup>, and is used for planning GSI activities.
- The gender sensitized activities are incorporated in the IRC's as GSI boxes and describe activities specific to women and the outputs and sometimes outcomes that are expected specific to women<sup>37</sup>, these are included in the MP2's and also in the *Global Gender Monitoring Plan* which aggregates all gender specific impact from all interventions at the outcome level.
- Quantitative and qualitative indicators for key changes are disaggregated by gender and assumptions (based on research) are applied to the data to allow for its meaningful interpretation. E.g.: *#/% of female vet pharmacy customers, annually* – might reflect: *#/% of women in charge of budgeting livestock related expenditure within their households*<sup>38</sup>.

The GSI method enables the better targeting of interventions to achieve equitable sustainable, impact, it also enables meaningful interpretation of data and reporting of results. It also with the involvement of *stakeholders* in RC design (see earlier sections) enables clients to differentiate among their customers, shows them the roles women play as suppliers and customers and allows for intervention design which builds in more sustainability for the business as well as sustainability of an intervention.

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<sup>36</sup> See intervention rationale table.

<sup>37</sup> In many results chains GSI boxes stop at the output level having ensured that in carrying out these steps that certain constraints are overcome and women are able to benefit from the intervention. In others where the role of women is more pivotal for the success of the interventions impact the GSI boxes may reach the outcome level.

<sup>38</sup> This assumption seems to be borne out by existing research however this is also being tested by a survey with statistically significant results being carried out in 2013 to verify or negate these assumptions. See next section.

## GENDER OVERT INTERVENTIONS

As well as gender sensitizing all market development interventions the programme has included (to date one) *Gender Overt Intervention (GOI)* as part of the programme strategy. Under Outcome 3 which deals with transversal themes and governance<sup>39</sup> the programme is addressing women's access to decision making. This intervention focuses entirely on women as a target group, reflects a programmatic focus on a strategic constraint in the operating environment for women, diagnosed in the gender/market analysis and offering an entry point for systemic change<sup>40</sup>. The monitoring of GOI's follows that of any other intervention please therefore refer to earlier sections of the manual for the steps involved in this and the timings roles and responsibilities.

### 7.3 Timing, Roles and Responsibilities

Gender Analysis as part of the market analysis process and is supervised by the **Programme Director** and conducted at the beginning of new programme phases or inception phase. The building of gender sensitized intervention boxes in the intervention results chain, the links to the MP2's and global gender monitoring plan as part of the monitoring of gender specific indicators and overt gender interventions are the responsibilities of **BDO's, M and E Officer** and **Information Officer**<sup>41</sup>. Other in depth research may be carried out on an ad hoc basis as the need arises in line with programme requirements by **BDO's** or **external consultant/Programme Management**. For example the programme has commissioned some gender research with statistically significant results which will check gender assumptions accepted by the programme and gain additional knowledge for indicator development and impact assessment. This is being undertaken by an external research agency and overseen by the partner organization **ICCN, Monitoring Officer** and **Information Officer** and supervised by the **Programme Director**.

## 8. TRACKING PROGRAMME COSTS

Programme costs are tracked monthly when a monthly expense report is compiled by the centrally based **Finance Officer** based on the coding of each expense. These are sent to **Senior Programme management**. Annual revised budgets are prepared as a contractual condition between Mercy Corps as the implementing partner and the donor SDC. In addition the budget is reported in every bi-annual and annual report which is submitted to the donor. The budget is reported in the Finance and Management Section, specifically:

- Percentage of Budget Spent vs. Planned per Outcome
- Budget Deviations and Outlook for the Rest of the Phase
- Appraisal on How Efficiently Inputs were Converted into Outputs

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<sup>39</sup> And in which local and regional government are facilitated as the key market players.

<sup>40</sup> In the form of new gender laws in place but not being enacted in local municipalities.

<sup>41</sup> Please refer to the Timing, Roles and Responsibilities sections in chapters 1,2 & 3 which deal with building results chains, intervention rationale and monitoring plans and indicators.

## 8. REPORTING RESULTS

### BASIC PRINCIPLES OF REPORTING

The programme meets the following basic principles while reporting:

- The template should follow the template provided by the donors (which follows the outcome monitoring concept), see Annex 8
- The data is presented honestly and reflects reality
- The data presented is readable and clear for the audience
- The sources, methodologies and assumptions applied are described in detail clearly (if the format of the report offered by donors allows this)
- The programme reports against all indicators agreed with and accepted by the donors at the beginning of the project, listed in the logframe
- The three Universal Impact Indicators are reported
- The data is gender disaggregated

### 8.1 Bi and Annual Reports

Programme reports are written on a bi-annual and annual basis by the Programme Director, which are then submitted to SDC after being reviewed by the Mercy Corps Georgia Country Director and Mercy Corps HQ. The report format follows the format provided by the donors. Additional information including more detailed scalable and gender disaggregated results per intervention, gender interpreted data per outcome, qualitative information and detailed information regarding interventions, how interventions have developed in comparison to the original proposed opening interventions detailed in the log frame and success stories including results of note are given in the annexes.

### DONOR FEEDBACK

The donor SDC, arranges a meeting after receiving and reading the report to discuss it and the implications if any for the programme in light of the report, in terms of calibrating programme management in line with programme and donor expectations and strategy.

### 8.2 Qualitative Reporting

Aggregating and reporting on qualitative information requires a written report to be produced on an annual basis for each discrete intervention or for aggregated interventions of a similar type e.g. dairy factory interventions. The information contained in these reports is aggregated fully by outcome at the end of phase and illustrations and interpretations of results made possible through qualitative findings are used as appropriate for bi and annual reports. The synthesis of qualitative and quantitative data and the subsequent 'stories' of programme impact is harnessed for use in publishing results

### 8.3 Publishing Results

Subject to the approval of SDC the annual reports are published on the programme and Mercy Corps website. The programme also produces materials which show the results, investments and targets made in an intervention as well as the rationale and strategy behind it in 'fact sheets' which are used for donors, dignitary and cross learning visits. The results from surveys and programme specific interventions such as the results garnered from improved breeding are disseminated through appropriate

channels including the MC Connect website, Linked In MAFI Network, DCED website and the M4P Hub and through presentations. Easily accessible information and ‘stories’ are used for intra agency communication to private donors i.e. awareness and fund raising and externally for communication with a more general public.

#### 8.4 Timing, Roles and Responsibilities

The report is written on a bi-annual and annual basis as required by the donors and submitted in May and November. The report is written by the **Programme Director** based on the data provided by **M&E Officer, Information Officer** and the **BDOs** facilitated by the **Deputy Programme Director**. It is checked by the **Country Director** and the **Georgia Programme Officer in HQ**. On an ongoing basis the **Information Officer** for qualitative data and **M and E Officer** quantitative data are expected to provide data as and when required as needs for results dissemination occur (see above).

### 9. MANAGING THE M&E SYSTEM: RESULTS MEASUREMENT AND EVALUATION

As stated in the introduction the Alliances Programmes are committed to the interdependency of management and monitoring. All programme and M and E staff members perform duties which ensure inclusive design of intervention results chains and monitoring plans, ongoing interaction between programme implementation, the collection and entry of intervention data, the aggregation and review of this data, the use of the data to feed back into programme implementation, problem solving and reporting. This is achieved in the following ways:

- *Clear job descriptions*, where roles and responsibilities are assigned
- *Clear plan* of programme procedures and M and E procedures and how they intersect as shown in the *Programme Work Flow Diagram*. (See Figure 2)
- Comprehensive written guidance in the *Alliances M & E Manual*
- *Monthly Monitoring Action Plan* meetings for M and E, programme staff and management which form the backbone of assessing intervention results on a monthly basis, trouble shooting, problem solving and using impact to calibrate interventions for better implementation and impact. Discussion concerns the intervention successes and drawbacks of each intervention based on any new qualitative information and monthly indicators for scale including production capacity, amount processed, scale, productivity, income number of services etc.
- Evaluation of the impact reported in the *bi and annual reports* for the programme, are carried out by Programme Management meetings with programme staff, Mercy Corps HQ and donors respectively for planning and programming.
- *Results chains are living documents*. Regular review of the results chains on at least an annual basis, however in practice when an intervention enters another phase<sup>42</sup> of funding (which forms part of the risk management in the implementation strategy) results and results chains are reviewed.

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<sup>42</sup> Some interventions might have second phase of the investment. This can be the case when intervention has clear potential for expansion, or the market manifests changes which can be answered by changing intervention. The need and/or relevance of the second phase of the investment can emerge based on outcomes of MAP meetings and ongoing communication over impact with clients. As part of a risk management strategy the second phase often represents the series of actions to achieve an original planned goal however uncertainty over whether a client will be

- *An open office culture* where results are discussed candidly and information flows freely between all elements of the programme (See M&E System Information Flow Diagram Figure 1) as a vital part of an implementation system with a vision for change, underperformance, failure and mistakes can be openly discussed, tracked and analysed to further inform intervention implementation. The main forum for this is the MAP meeting after which corrective action or action to enhance performance is taken. More *informal discussion and weekly staff meetings* also provide opportunities for discussion and feedback.
- *Bi annual M and E Workshops* and other programme workshops provide opportunities for discussing performance and results. Annual gender workshops are held focussing on analysis of gender results and a review of interventions. Reports are published see [www.allianceskk.ge](http://www.allianceskk.ge)
- *Stakeholder Feedback* results are regularly reviewed and compared with clients who use them to feed back into aspects of their business model. Client satisfaction, increase/decrease of sales, # of beneficiaries provides BDO's material on which to base constructive communication with clients.

## 9.2 Timing, Roles and Responsibilities

**BDO's** are responsible for collecting and organising their data for each monthly MAP meeting aided by the **M and E Assistant** and advised by the **M and E Officer and Information Officer**. The **M and E Officer** is responsible for helping **BDO's** present and interpret their results ahead of the meeting and attempt to troubleshoot ahead of time. The **Information Officer** is responsible for scheduling the meeting and producing the meeting minutes. The **Programme Director** is responsible for reporting (see Section 8) and for following up with the respective parties for discussion and evaluation following the delivery of the report.

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able to succeed is offset by having a first phase where basic activities to address certain key constraint are undertaken first before being able to build the intervention.

**OUTCOME 1 AND 2 RESULTS CHAINS**

Intervention Results Chains for Outcome 1 &2 interventions, describe all key activities implemented and expected changes occurring at the following levels:

- *Programme/Client Activities* – Describes the activities facilitated by the programme undertaken by clients at the beginning of the intervention.
- *Outputs – Service Provider & Farmer Level* – Refers to the immediate changes in terms of outputs at the service provider level in the immediate market of the client e.g. new service providers, higher awareness among customers/farmers, new chains for distributions and so on;
- *Outcomes – Service Provider and Farmer level* – Describes the expected change resulting from the outputs at the service provider level defined as changes in volume and value of production and trade for service providers, as well changes in availability of access to targeted services for SSLPs mainly. This level also incorporates systemic changes to the market including copying (farmers) and crowding in (other market players).
- *Impact - Enterprise Level* – Outlines *changes in* income due to changes in level of production, leading to increased sustainability of the business for service providers and for those businesses crowding in. It also includes changes in production at SSLP HH Enterprises and other SSLP HH enterprises copying.
- *Impact - Poverty Level* – Describes the expected change in the poverty level in SSLP HHs from increased income, attributable the intervention.

The results chains contains these other main components:

- *GSI (Gender Sensitized Intervention boxes)* – GSI steps are added in pink boxes in order to ensure that the differences in roles due to gender in the market system are considered and addressed accordingly.
- *Sustainability* - The programme explicitly includes boxes for service providers and other stakeholders responsible for the enabling environment up to outcome- enterprise level. This is for ensuring business model sustainability and long lasting impact of an intervention<sup>43</sup>.
- *Systemic Changes* - Results Chains capture in grey boxes systemic change i.e. copying of activities by farmers and crowding in by service providers.
- *Explicit Links to Universal Indicators*– Results Chains have Incorporated 2 universal indicators: Scale and Income as those are the major targeted achievements by the programme (jobs created are not explicitly shown as it is a relatively minor impact of the programme)<sup>44</sup>.

See Outcome 1 &2 template Results Chains below:

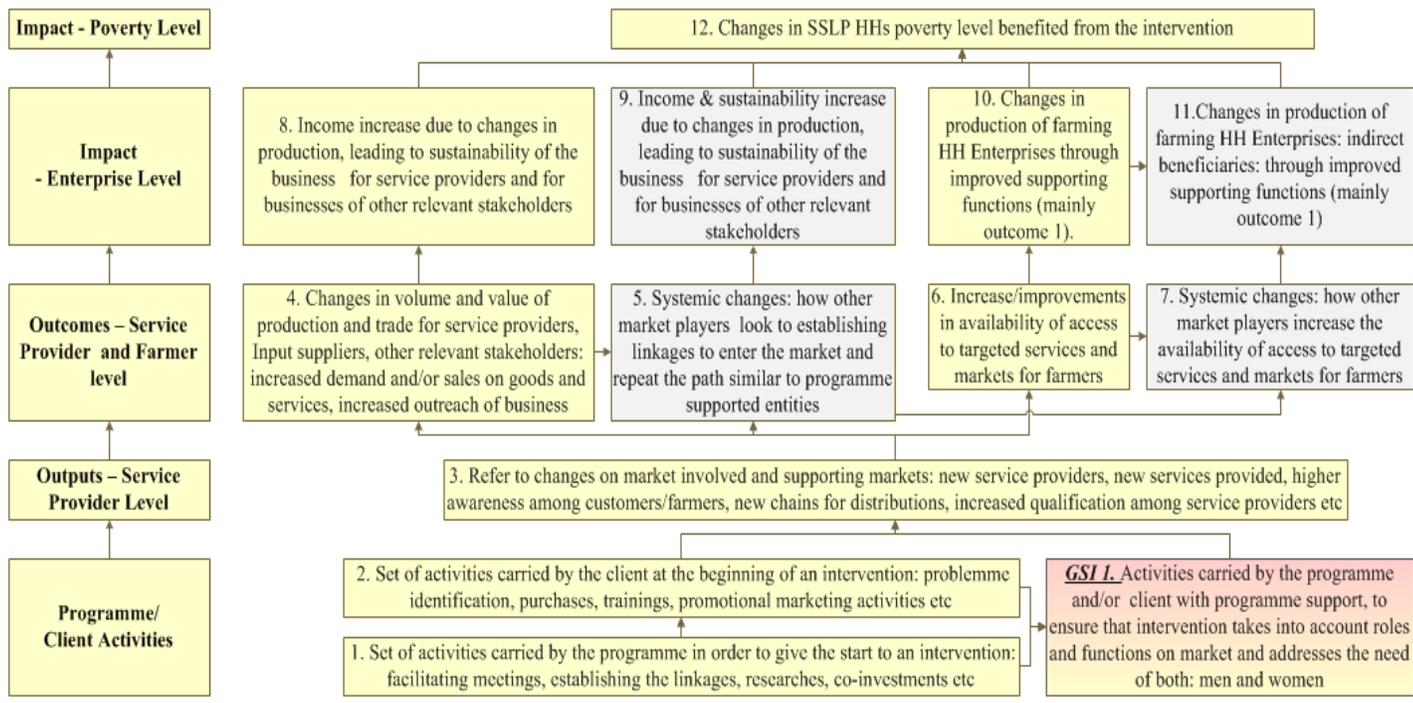
<sup>43</sup> For business sustainability programme uses other tools also, like: Indicators for tracking sustainability, BDS services for the clients, sharing information with clients and so on. Some of them are discussed in sections below.

<sup>44</sup> As for the interventions generating job places, they are relatively few but are captured in the monitoring plans.

**Intervention - Results Chain**  
 Client: Name and legal status of the client  
 Logframe name of the intervention

*NOTE 1: Gray colored boxes describe indirect benefits/ copying and crowding in results of the intervention*

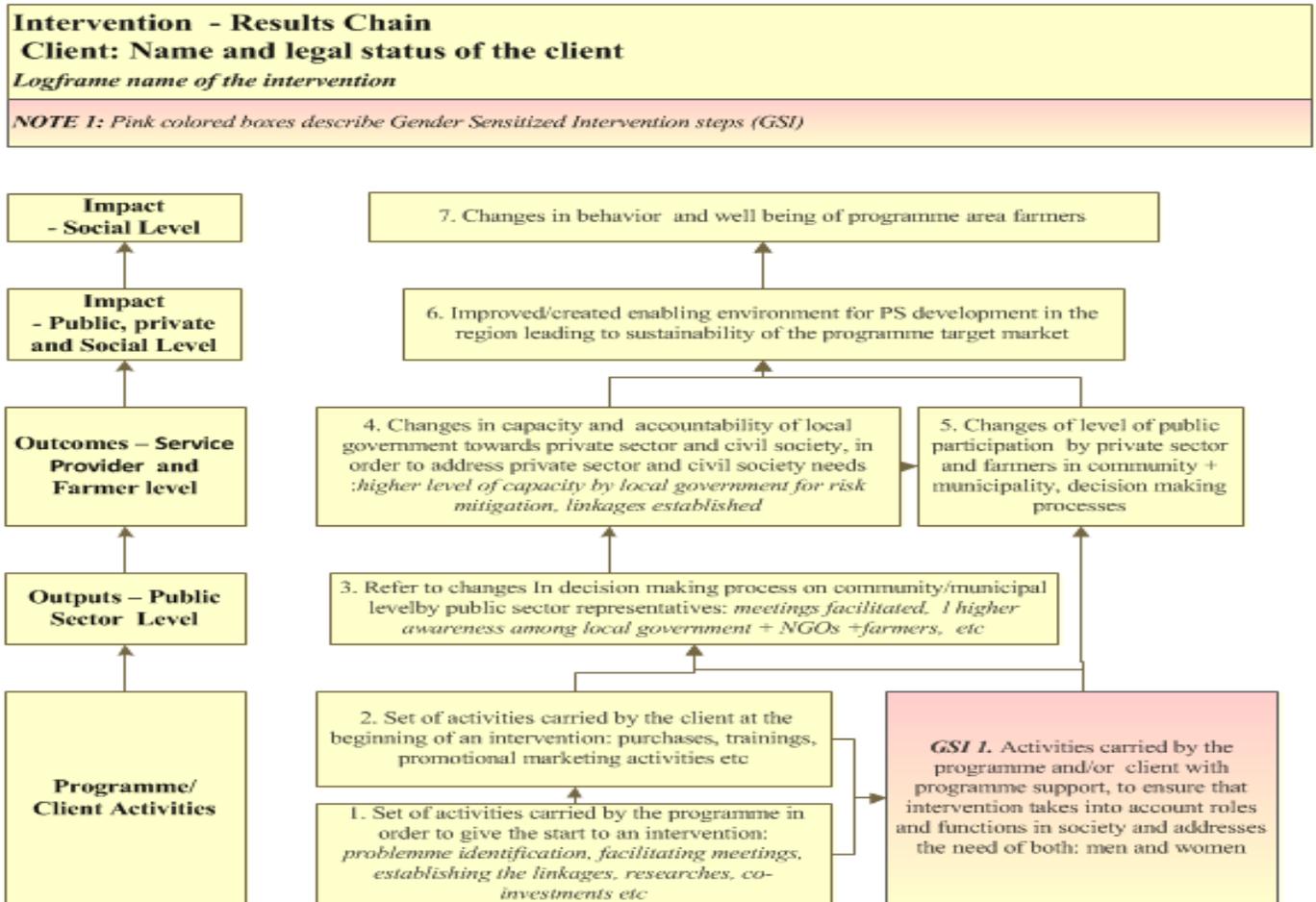
*NOTE 2: Pink colored boxes describe Gender Sensitized Intervention steps (GSI)*



Outcome 3 Results Chains: concern the transversal themes of gender, governance and DRR within the context of local government having enhanced capacity to support a durable agricultural sector, they map out the expected results for main market players which under Outcome 3 are mainly local, regional and national government and interested parties from the private sector, civil society and the target beneficiaries the Small Scale Livestock Producers (SSLPs), for key changes occurring at the following levels:

- *Programme/Client Activities* – Describes activities undertaken at the beginning of the intervention mainly by clients/stakeholders but with Alliances KK support;
- *Outputs – Public Sector Level* – Refer to changes in decision making process on community/municipal level by public sector representatives: meetings facilitated, higher awareness among local government + NGOs + farmers, etc.
- *Outcomes – Public, Private and Community Level* – Describes the changes in capacity and incentives for accountability of local government towards private sector and civil society and vice versa.
- *Impact – Public, Private and Community Level* – Outlines the results for improved/created enabling environment for PS development in the region leading to sustainability of the programme target market
- *Impact – Social Level* – Describes results of the interventions on social level, those like behavior and wellbeing changes for the farmers from the programme area.

See Figure 2 below:



ANNEX 2: INTERVENTION RATIONALE AND SUMMARY OF SUPPORTING RESEARCH

Intervention Rationale /Summary of Supporting Researches : 1.1.1 Intervention 1							
Client: Roki (Vet pharmacy supplier - LTD )							
Intervention Starting Date: 12/01/2012							
Title in the Logframe: <i>The logframe title for the intervention</i>							
Level	Result Chain Steps	Rationale/Assumptions (Summary of Supporting Researches & Documentations)	Source Used	Considerations			Gender
				Displacement	Systemic Changes	Counterfactual	
Programme/ Client Activities	1. Set of activities carried by the programme in order to give the start to an intervention: facilitating meetings, establishing the linkages, researches, co-investments etc.	<b>Rationale:</b> Initial activities driven by the programme and/or clients	The Intervention Supporting Documents	The section reports whether or not intervention can directly or indirectly displace any of stockholders. In addition, explains the reasons why the displacement can be or cannot be expected and how measurement plan encounters for it. <sup>45</sup> Expected displacement is recorded on three level of value chain:  <b>1. Input Supplier;</b> <b>2. Service Provider;</b> <b>3. Farmers;</b>	Describes the reasons the enabling environment created/supported by the intervention causing Copying and/or crowding in. As well, exactly defines how and why systemic changes drafted in Results Chains are going to occur.	The section reports on other factors and/or actors that can influence on the results of an intervention. These influences can be as positive creating enabling environment also negative creating drawbacks. Mainly expected counterfactuals in project area list following:  1. New laws implemented (e.g. food safety and hygiene). 2. Other projects and donor activities in sector and/or area. 3. Changes in economic environment (e.g. very high inflation)	This section reports on following topics:  <b>1.Starting position/situation prior to the intervention</b> - constraints and possibilities women face while involved in specific business (e.g.: low knowledge of upcoming food safety law among milking ladies); <b>2. Gender Mainstreaming</b> - description of the ways intervention addresses the situation i.e. <i>GSI and explains why this particular activity is relevant for thee situation.</i> <b>3. Universal Indicators</b> – Reports on how the Universal impact indicators can be translated for men and women separately.
	2. Set of activities carried by the client at the beginning of an intervention: problem identification, purchases, trainings, promotional marketing activities etc.	<b>Rationale:</b> Initial activities driven by the programme and/or clients	The Intervention Supporting Documents				
Outputs – Service Provider Level	3. Refer to changes on market involved and supporting markets: new service providers, new services provided, higher awareness among customers/farmers, new chains for distributions, increased qualification among service providers etc.	<b>Rationale:</b> Description of why this output is significant and relevant for the intervention <b>Assumption:</b> Assumptions supporting the linkages, causal relationship between programme /client activities to this output.	The Intervention Supporting Documents				
Outcomes – Service Provider and Farmer level	4. Changes in volume and value of production and trade for service providers, Input suppliers, other relevant stakeholders: increased demand and/or sales on goods and services, increased outreach of business	<b>Rationale:</b> Description of why this outcome is significant and relevant for the intervention <b>Assumption:</b> Assumptions supporting the linkages, causal relationship between programme /client activities and/or outputs to this outcome.	The Intervention Supporting Documents				
	5. Systemic changes: how other market players look to establishing linkages to enter the market and repeat the path similar to programme supported entities	<b>Assumption:</b> Indirect beneficiaries of the project will have the same path of business development and benefit similarly to the direct beneficiaries (as clients also target beneficiaries SSLPs)	The Intervention Supporting Documents				
	6. Increase/improvements in availability of access to targeted services and markets for farmers	<b>Rationale:</b> Description of why this outcome is significant and relevant for the intervention <b>Assumption:</b> Assumptions supporting the linkages, causal relationship between programme /client activities and/or outputs to this outcome.	The Intervention Supporting Documents				

<sup>45</sup> It should be stressed once more that due to thin market, and programme strategy large effects of displacement are not expected.

ANNEX 2: INTERVENTION RATIONALE AND SUMMARY OF SUPPORTING RESEARCH

	7.Systemic changes: how other market players increase the availability of access to targeted services and markets for farmers	<b>Assumption:</b> Indirect beneficiaries of the project will have the same path of business development and benefit similarly to the direct beneficiaries (as clients also target beneficiaries SSLPs)	The Intervention Supporting Documents		
Impact - Enterprise Level	8. Income increase due to changes in production, leading to sustainability of the business for service providers and for businesses of other relevant stakeholders	<b>Rationale:</b> Description of why the impact is significant and relevant for the intervention <b>Assumption:</b> Assumptions supporting the linkages, causal relationship between programme /client activities and/or outputs and/or outcome to this impact.	The Intervention Supporting Documents		
	9. Income & sustainability increase due to changes in production, leading to sustainability of the business for service providers and for businesses of other relevant stakeholders	<b>Assumption:</b> Indirect beneficiaries of the project will have the same path of business development and benefit similarly to the direct beneficiaries (as clients also target beneficiaries SSLPs)	The Intervention Supporting Documents		
	10. Changes in production of farming HH Enterprises through improved supporting functions (mainly outcome 1).	<b>Rationale:</b> Description of why the impact is significant and relevant for the intervention <b>Assumption:</b> Assumptions supporting the linkages, causal relationship between programme /client activities and/or outputs and/or outcome to this impact.	The Intervention Supporting Documents		
	11.Changes in production of farming HH Enterprises: indirect beneficiaries: through improved supporting functions (mainly outcome 1)	<b>Assumption:</b> Indirect beneficiaries of the project will have the same path of business development and benefit similarly to the direct beneficiaries (as clients also target beneficiaries SSLPs)	The Intervention Supporting Documents		
Impact - Poverty Level	12. Changes in SSLP HHs poverty level benefited from the intervention	<b>Assumption:</b> the client/programme activities through the outputs and outcomes generated will create more income/ safeguard income for the programme area farmers	The Intervention Supporting Documents		

<b>1. SCALABLE ENTERPRISE DATA INCLUDING CUSTOMER NUMBERS INCLUDING SSLP'S.....</b>	
<b>IF POSSIBLE PLEASE PROVIDE DATA FOR THE LAST 3 YEARS DATA. PLEASE PROVIDE A TARGET FOR THE FOLLOWING YEAR (FACTORING IN INVESTMENT)/ .....</b>	
<b>თუ შესაძლებელია გთხოვთ წარადგინოთ ბოლო 3 წლის მონაცემები. გთხოვთ უჩვენოთ შემდეგი წლის სამიზნე .....</b>	
<b>2. DESCRIPTION OF CURRENT ACTIVITIES/მიმდინარე საქმიანობათა აღწერა .....</b>	
2.1 DESCRIPTION OF ONGOING BUSINESS & MARKET/მიმდინარე ბიზნესისა და ბაზრის დახასიათება .....	
2.2 PRODUCT DESCRIPTION (IF APPLICABLE)პროდუქტის დახასიათება (თუ შესაძლებელია).....	
2.3 PROBLEM DESCRIPTION/პრობლემათა აღწერა .....	
<b>3. INVESTMENT OVERVIEW/ინვესტიციის მიმოხილვა.....</b>	
3.1 GOAL OF THE INVESTMENT/ინვესტიციის მიზანი.....	
3.2 MAIN OUTCOMES OF THE INVESTMENT/ინვესტიციის მთავარი შედეგები .....	
3.3 GENDER SENSITIZED ASPECTS OF THE INTERVENTION / .....	
3.4 EXPECTED IMPACTS AS A RESULT OF THIS INVESTMENT /ამ ინვესტიციის შედეგად მიღებული მოსალოდნელი შედეგები .....	
3.5 EXIT STRATEGY / BAZRIS DATOVEBIS STRATEGIA .....	
<b>4. BUDGET/ბიუჯეტი.....</b>	
4.1 DESCRIPTION OF ASSETS TO BE PURCHASED/ .....	
4.2 ITEMIZED BUDGET/ბიუჯეტი .....	
<i>SOURCE AND % OF ENTERPRISE CONTRIBUTION/საწარმოს კონტრიბუციის პროცენტი და წყარო.....</i>	
<i>OWN RESOURCES/ .....</i>	
<i>საკუთარი სახსრები.....</i>	
<i>LOAN FROM THE BANK/ .....</i>	
<i>INVESTORS/ინვესტორები.....</i>	
<i>FRIENDS SUPPORT/ .....</i>	
<i>მეობრის დახმარება.....</i>	
<i>OTHER/სხვა.....</i>	
<b>5. MARKETING &amp; INFORMATION MANAGEMENT / MARKETINGI DA SAINFORMACIO MENEJMENTI.....</b>	
5.1 TARGET MARKET AND PLANNED SALES/სამიზნე ბაზარი და დაგეგმილი გაყიდვები .....	
5.2 COMPETITORS/კონკურენტები .....	
5.3 CUSTOMERS/CLIENTS / მომხმარებლები / კლიენტები .....	
5.4 MARKETING STRATEGY/MARKETINGULI STRATEGIA .....	
5.5 INFORMATION MANAGEMENT / SAINFORMACIO MENEJMENTI .....	
<b>6. INVESTMENT IMPLEMENTATION PLAN/INVESTICIIS GANXORCIELEBIS GEGMA .....</b>	
6.1 WORK PLAN/ სამუშაო გეგმა .....	
6.2 CAPACITY BUILDING/შესაძლებლობათა ამაღლება.....	
6.3 POSSIBLE RISKS/შესაძლო რისკები .....	
<b>7. CASH-FLOW/ P&amp;L SHEETS/BALANCE SHEET/ფულადი ბრუნვის უწყისი/ მოგება დაზარალიERROR! BOOKMARK</b>	
7.1 SUMMARY CASH-FLOW AND PROFIT AND LOSS / ფულადი ბრუნვის ჯამი და მოგება და ზარალი .....	
<b>8. ENVIRONMENTAL FACTORS/გარემო ფაქტორები.....</b>	
<b>APPENDIX FOR ADDITIONAL PHASES.....</b>	

**JUSTIFICATION**.....

PROBLEM DESCRIPTION AND HISTORY OF INTERVENTION SO FAR.....

**WHY PHASE II**..... ERROR! BOOKMARK NOT DEFINED.

GOAL OF THE NEW PHASE .....

MAIN OUTCOMES.....

INSERT MAIN ACTIVITIES .....

TARGETS FOR THIS PHASE.....

BUDGET .....

## ANNEX 4: MONITORING PLAN TEMPLATE 1&2

Intervention Monitoring Plan – Scalable Indicators: 1.1.1 Intervention 1														
Client: Roki (Vet pharmacy supplier - LTD)														
Intervention Starting Date: 12.01.2012														
Intervention Second Phase Starting Date: 01.02.2013														
Investigate potential for the strengthening of information to veterinary medicine suppliers and linkages to vaccination services.														
NOTE 1: Gray colored boxes describe indirect benefits/ copying and crowding in results of the intervention														
NOTE 2: Pink colored boxes describe Gender Sensitized Intervention steps (GSI)														
NOTE 3: Text in blue color describe Activities, Outputs and Outcomes caused by /targeted in the Second Phase of the Investment (SPI). In general, Second Phase Investments are planned in order to expand the Intervention outreach and impact and the nature of the impact – on enterprise level does not change														
Level	Result Chain Steps	Scalable Indicators	Data Collection <i>(baseline projections for target &amp; actual impact)</i>			Attribution Strategy <i>(Baseline projections for targets &amp; actual impact + derivations applied in attribution strategy)</i>			Baseline <i>(1 year data prior the project)</i>	Targeted Impact <i>(due to by the end of the Project, the 2014's of february)</i>		Actual Impact		
			Source Document <i>(&amp; Person in Charge)</i>	Methodology	Monitoring Check Frequency <i>(for baseline and target figures data is collected single time at the beginning of the intervention)</i>	Assumptions Used <i>(General assumption used for all indicators: Outputs and outcomes directly caused by the programme activities i.e. results that would not happen without the intervention are attributable to the programme.)</i>	Calculations/Derivations Applied <i>(Explains what is measured and how it is measured)</i>	Attribution Strategy <i>(derivations applied and explanations in attribution strategy only)</i>		Attributable Program Impact	Cumulative Result	Attributable Program Impact <i>(up to date)</i>	Cumulative Result <i>(up to date)</i>	Progress Against Target <i>(up to date)</i>
Outcome - Service Provider & Farmer Level	18. Better informed and more trusting male and female farmers (including those from remote villages) purchase drugs and professional vet services and advice and improve terms of sale of cattle	18.1 # of SSLP customers served, during the project lifetime	Baseline, Target: Investment Plan, (Relevant BDO, Client), Focus Group Survey, Market Analysis  Actual Impact - Data Sheet: 1.1.1 Intervention 1 - Farmers' Data (relevant BDO, client)	Baseline, Target - Key Informant Interview, Focus Group Survey, Desk Research  Actual Impact - Primary Data Collection, Document review	Monthly	1. Without intervention the client would continue the same amount of drug supply to the region, generating NI similar to what was it prior to the intervention or would stop sales (The assumption is based on interview with the client, and the researches conducted by programme staff)  2. The Targeted (not actual) increase change in all indicators is going to be proportional to the targeted increase in number of customers and amount of sales - written in investment plan (figures are projected together with the client, <u>applies to targets only</u> )	Cumulative results: sum of # of all SSLP customers served (from intervention starting date, up to date)  Programme attribution: Cumulative results minus yearly baseline figures for the same figure (extrapolated for the same time interval)	The increase/ change in indicator (as defined by the derivation applied), is directly caused by and attributable to the programme activities as it is a direct result from the intervention (NOTE: There are not expected considerable biases form possible effects of counterfactuals, displacement on results, for detailed information see intervention rationale. In case any study or information source provides any data showing the opposite it will be considered)	850	2240,909091	3091	3835	4685	171%

## ANNEX 4: MONITORING PLAN TEMPLATE 1&2

Intervention Monitoring Plan - Capturing Behavioral Changes 1.1.1 Intervention 1											
Client: Roki (Vet pharmacy supplier - LTD )											
Intervention Starting Date : 12.01.2012											
Intervention Second Phase Starting Date : 01.02.2013											
Investigate potential for the strengthening of information to veterinary medicine suppliers and linkages to vaccination services.											
NOTE 1: Gray colored boxes describe indirect benefits/ copying and crowding in results of the intervention											
NOTE 2: Pink colored boxes describe Gender Sensitized Intervention steps (GSI)											
NOTE 3: Text in blue color describe Activities, Outputs and Outcomes caused by /targeted in the Second Phase of the Investment (SPI) , In general, Second Phase Investments are planned in order to expand the Intervention outreach and impact and the nature of the impact – on enterprise level does not change											
Level	Result Chain Steps	Indicators	Monitoring Check Frequency	Methodology Applied	Key Questions	# & Demographical Characteristics of the		Baseline (Case study prior intervention)		Second Interview	
						For Baseline Information	For Actual Impact	Date	The Main Findings/ (The conditions observed and the tendencies caught among the respondents prior the intervention)	Date	The Main Findings/ Results Reporting (The behavioural changes captured among the respondents due to the programme activities)
Outputs – Service Provider & Farmer Level	10. Roki has established distribution chain between Tbilisi and Vet Pharmacies with provision of vet drugs on wholesale price	10.1 Improvement of the distribution/supply chain between Roki and local Vet Pharmacies achieved during the project lifetime	Annual	<p><b>Baseline -</b> Semi-structured, face to face int. with SP, Input Supplier;</p> <p><b>Actual Impact -</b> In-depth interview with Input supplier; Semi-structured, face to face int. with Service Providers</p>	<p><b>Input supplier (Roki LTD) Service provider</b></p> <ul style="list-style-type: none"> <li>To what extent has the distribution improved over the last year?</li> <li>Which units of distribution is working well and where are the constraints?</li> </ul> <p><b>Service provider</b></p> <p>How would you evaluate the service provision from Input Supplier?</p> <ul style="list-style-type: none"> <li>Cost of the drugs;</li> <li>Variety of the drugs;</li> <li>Period of the provision of the drugs;</li> <li>Quality of the drugs</li> <li>Assisting in business and data management</li> </ul>	<p><b>Input Supplier -</b> Client, LTD ROKI</p> <p><b>Service Provider -</b> local Vet Pharmacies - (3)</p>	<p><b>Input Supplier -</b> Client, LTD ROKI</p> <p><b>Service Provider -</b> 8 local Vet Pharmacies in Dmanisi, Tsalka, Tetrtskaro (whole coverage)</p>	January, 2012	<ul style="list-style-type: none"> <li>Distributions linkages are absent or weak, fragmented and uncoordinated in the region</li> <li>Absent system of distribution -supply is leading to high unit transaction costs and opportunity costs resulting from lost income.</li> <li>Vet are not proactive in marketing their services</li> <li>Service provision to farmers is absent or non compliant with the standards</li> <li>Licensing of the vets is in a state of confusion</li> <li>Drugs are expensive as they are purchased in small quantities from Tbilisi</li> <li>Drugs are in a very limited range due to the lack of storage facilities</li> <li>Drugs are purchased through multiply trips to Tbilisi</li> <li>The knowledge of vet pharmacy about the methods of fighting diseases and standardized procedures are limited</li> <li>Data management system or follow up is absent</li> </ul>	January, 2013	<ul style="list-style-type: none"> <li>The vet pharmacies were identified in urban and rural areas for partnership</li> <li>The infrastructure of the vet pharmacy was upgraded</li> <li>The veterinarians got familiar with the principles of professional, ethical and organizational nature;</li> <li>Vet pharmacies are supplied with vet drugs once a week</li> <li>Improved infrastructure and increased awareness contributed to the raise of the vet service demand within the local farmers</li> <li>The motivation of the veterinaries was increased.</li> <li>A number of needs for the improvement of veterinary services and the expanding the vet service to new territorial locations were identified, which created new perspectives for the vet business development.</li> </ul>
	13. Reliable information regarding the availability of, the need for and the advice available at the new veterinary services in municipalities and villages is available to male and female farmers in the region	13.1 Increase of the awareness of importance of vet services among female and male farmers, during the project lifetime	Annual	<p><b>Baseline, Actual Impact -</b> Semi-structured, face to face int. with farmers</p>	<p><b>Service providers-</b> In your family, who is responsible for the issues related with prevention and treatment? your needs for the trainings and information on the livestock prevention and treatment</p>	<p><b>Farmers - 50</b></p>	<p><b>Farmers -50</b> respondents (min. 30 percent female) in Dmanisi, Tsalka Tetrtskaro</p>	January, 2012	<p>Women tend to be engaged in livestock husbandry more than men. Besides, 20% (versus men 12%) of women reported using traditional remedies for healing livestock (Source: Focus Group Survey) Because of this GSI activities carried by the programme are oriented on increased awareness among female customers of Vet services.</p> <p><i>See also the Intervention Rationale</i></p>	January, 2013	<ul style="list-style-type: none"> <li>69 female farmers and 2 female vet pharmacists were attended at the trainings concerning the prevention and treatment of livestock disease. The training serves the objective-introducing the successful cases/benefits of the prevention would give them more guarantee and confidence for resolving livestock disease related problems and will increase the proper usage of vet service which on its part will reduce the mortality or livestock, it will safeguard the live weight and increase the income of her.</li> <li>Woman spends most of the time with the cows, taking care of their health and hygiene, and she is the first who finds out about the disease. She is the source of information about the livestock diseases and what vet drugs they need for their head of families and are less likely to make decision on further veterinary service: vaccine and medical treatment. As male and female farmers state, cattle care is not limited to only cattle-shed, but "going around" and more efforts are required than woman can incur, woman is busy with domestic matters. Thus, allocating the vet points in the rural villages will definitely strengthen the role of woman in further usage of vet service. 5 new vet points in the rural villages had started functioning shortly before the field trips. Thus, the results are few enough to be foreseen.</li> </ul>
Outcomes – Service Provider & Farmer level	16. Other pharmaceutical firms have more incentives and look to establish linkages to enter the market	16.1 Improvements to the infrastructure and incentives for new players to enter the market, during the lifetime of the project	Annual	<p><b>Baseline, Actual Impact -</b> Semi-structured, face to face int. with farmers</p>	<p><b>Service providers-</b> Do you know Any other market player who has entered the market? How do you think why did they enter? Do you have information regarding their capacity and business model? Do they have the same input supplier?</p>	<p><b>Farmers - 50</b></p>	<p><b>Farmers -50</b> respondents (min. 30 percent female) in Dmanisi, Tsalka Tetrtskaro</p>	January, 2012	<p>Current market is very thin and we do not expect that other input supplier like ROKI will enter, though we do expect that some local vet pharmacies will copy the model and engage with Roki independently.</p> <p><i>See also the Intervention Rationale</i></p>	January, 2013	<p>1 #, Place 2, due to the improved business environment - increased awareness among potential customers, and the distribution chain built 3. They follow similar business model,</p>

## ANNEX 5: DATA COLLECTION AND RESEARCH METHODS USED IN ALLIANCES

**Table 3: Data Collection and Research Methods Used in Alliances KK**

DOCUMENT NAME	PURPOSE	METHODOLOGY APPLIED (TYPE OF QUESTIONNAIRES USED, TARGET POPULATION, SAMPLING AND SO ON)
MARKET ANALYSIS	DAIRY, BEEF, SHEEP, MARKET SYSTEM	DOCUMENT REVIEW, DESK RESEARCH, KEY INFORMANT INTERVIEWS.
FOCUS GROUP SURVEY	DETERMINING TRENDS FOR BENEFICIARIES	FOCUS GROUP SURVEY <i>QUESTIONNAIRE</i> - SEMIFORMAL <i>TARGET POPULATION</i> – SSLPs
HAY MARKET RESEARCH	STUDYING NUTRITIONAL INPUT SERVICES VALUE CHAIN IN THE REGION, FOR PLANNING INTERVENTIONS CONSEQUENTLY.	1. INDIVIDUAL INTERVIEWS <i>QUESTIONNAIRE</i> – SEMIFORMAL <i>TARGET POPULATION</i> – SSLPs, MSLPs AND LSLPs. <i>SAMPLING</i> - STRATIFIED RANDOM SAMPLING. 2. <i>KEY INFORMANT INTERVIEWS</i> <i>QUESTIONNAIRE</i> – SEMIFORMAL <i>TARGET POPULATION</i> – SERVICE PROVIDERS IN THE REGION. <i>SAMPLE</i> - STRATIFIED RANDOM SAMPLING. 3. <i>KEY INFORMANT INTERVIEWS</i> <i>QUESTIONNAIRE</i> – SEMIFORMAL <i>TARGET POPULATION</i> – GOVERNMENT REPRESENTATIVES. <i>SAMPLE</i> - GAMGEBELI OF ALL MUNICIPALITIES IN THE REGION
IMPACT ASSESSMENT SURVEY	IMPACT ASSESSMENT, BASELINE	1. INDIVIDUAL INTERVIEWS <i>QUESTIONNAIRE</i> – SEMIFORMAL <i>TARGET POPULATION</i> – SSLPs, MSLPs AND LSLPs. <i>SAMPLING</i> - STRATIFIED RANDOM SAMPLING. ( <i>MOST LIKELY</i> MAXIMUM LIKELIHOOD ESTIMATION ANALYSIS WILL BE APPLIED)
GENDER SURVEY	STUDYING THE WEE ISSUES IN THE REGION	1. INDIVIDUAL INTERVIEWS <i>QUESTIONNAIRE</i> – SEMIFORMAL <i>TARGET POPULATION</i> – SSLPs, MSLPs AND LSLPs. <i>SAMPLING</i> - STRATIFIED RANDOM SAMPLING.
MARKET PRICE DATA	REGULAR INPUT INTO M AND E SYSTEM	KEY INFORMANT INTERVIEWS
CASE STUDIES, SPOT MARKET RESEARCH, CONCEPT NOTES,	STUDYING THE BUSINESS AND BUSINESS ENVIRONMENT, FOR PROPER TARGET SETTING AND STRATEGIC PLANNING OF THE INTERVENTION	KEY INFORMANT INTERVIEWS <i>QUESTIONNAIRE</i> – SEMIFORMAL <i>TARGET POPULATION</i> – RELEVANT SERVICE PROVIDER/SERVICE PROVIDERS IN THE REGION, TARGET BENEFICIARIES. <i>SAMPLE</i> – RELEVANT SERVICE PROVIDERS AND RANDOMLY SELECTED POTENTIAL BENEFICIARIES.
INVESTMENT PLAN	STUDYING THE CLIENT'S BUSINESS AND BUSINESS ENVIRONMENT, FOR	1. DOCUMENT REVIEW (CASE STUDIES, MARKET RESEARCHES, CONCEPT NOTES), DESK RESEARCH 2. KEY INFORMANT INTERVIEWS <i>QUESTIONNAIRE</i> – SEMIFORMAL

	PROPER TARGET SETTING AND STRATEGIC PLANNING OF THE INTERVENTION	<i>TARGET POPULATION</i> – RELEVANT SERVICE PROVIDER/SERVICE PROVIDERS IN THE REGION. <i>SAMPLE</i> – RELEVANT SERVICE PROVIDERS.
MONITORING PLAN 1	MONITORING THE POTENTIAL OF BUSINESS AND ITS SUSTAINABILITY FROM BOTH SERVICE PROVIDER AND THEIR CUSTOMERS' PERSPECTIVES. MONITORS INTERVENTION SUCCESS.	PRIMARY DATA COLLECTION, SECONDARY DATA COLLECTION, DOCUMENT REVIEW. <i>MONITORING TOOLS</i> – FORMAL, CLOSE ENDED DATA SHEETS TO BE FILLED ON MONTHLY BASIS. <i>TARGET POPULATION</i> – RELEVANT SERVICE PROVIDER/SERVICE PROVIDERS IN THE REGION, TARGET BENEFICIARIES. <i>SAMPLE</i> - TARGET POPULATION.
MONITORING PLAN 2	CAPTURING BEHAVIOURAL CHANGES ON MARKET, MONITORING THE POTENTIAL OF BUSINESS AND ITS SUSTAINABILITY FROM BOTH SERVICE PROVIDER AND THEIR CUSTOMERS' PERSPECTIVES. MONITORS INTERVENTION SUCCESS.	KEY INFORMANT INTERVIEWS <i>MONITORING TOOLS</i> – INFORMAL QUESTIONNAIRES <i>TARGET POPULATION</i> – RELEVANT SERVICE PROVIDER/SERVICE PROVIDERS IN THE REGION, TARGET BENEFICIARIES. <i>SAMPLE</i> – RELEVANT SERVICE PROVIDERS AND RANDOMLY SELECTED POTENTIAL/EXISTING BENEFICIARIES.

**ANNEX 6: FACTORS CONSIDERED IN THE ATTRIBUTION STRATEGY**

<b>FACTOR THAT CAN CAUSE A BIAS WHILE ATTRIBUTING</b>	<b>THE REASONS FOR THE FACTOR TO BE RELEVANT TO THE PROGRAMME AND ACTUAL IN THE REGION</b>	<b>THE ASSUMPTIONS APPLIED</b>	<b>THE GENERAL METHOD OF ATTRIBUTION APPLIED BY THE PROGRAMME, WHILE CALCULATING.</b>
BASELINE	IT IS WELL ACCEPTED, LOGICALLY TRUE AND REQUIRED BY MAJORITY OF THE STANDARDS THAT BASELINES SHOULD BE REFLECTED IN THE ATTRIBUTABLE IMPACT.	N/A	THE BASELINE SHOULD BE SUBTRACTED FROM WHOLE IMPACT.
DISPLACEMENT	LARGELY, THE PROJECT IS PLANNED IN A WAY TO MEET THE NEEDS OF THIN MARKET AND IS NOT EXPECTED TO CAUSE MUCH DISPLACEMENT. STILL, THE FACTOR IS SO SIGNIFICANT THAT CANNOT BE IGNORED AND MUST BE CONTROLLED FOR PARTICULARLY AS THE IMPACT OF THE PROGRAMME INCREASES. THEREFORE, THE M&E SYSTEM IS BUILT IN A WAY TO CONTROL FOR DISPLACEMENT ON EVERY LEVEL FOR EACH PROGRAMME ACTIVITY IN THE MONITORING PLANS.	THE DISPLACEMENT CAN OCCUR ONLY ON THREE LEVELS:  INPUT SUPPLIER SERVICE PROVIDER FARMERS	WHENEVER DISPLACEMENT OCCURS THE AMOUNT OF DISPLACED BENEFITS SHOULD BE SUBTRACTED FROM WHOLE IMPACT GENERATED BY THE PROJECT.
OTHER PUBLIC FUNDING	OTHER PUBLIC FUNDING MIGHT AFFECT THE RESULTS AND OUTCOMES OF THE PROGRAMME. THE M&E SYSTEM IS BUILT IN A WAY TO CONSIDER EACH CASE SEPARATELY.  THREE TYPES OF PUBLIC OF OTHER PUBLIC FUNDING IS CONSIDERED BY THE PROGRAMME.  SEE BELOW	THE LIKELY BIAS OTHER PUBLIC FUNDING CAUSE IS OVERESTIMATING THE RESULTS.	THE METHOD CAN VARY FROM CASE TO CASE, DEPENDING ON THE SCALE AND LEVEL OF THE IMPACT. THERE CAN BE CASES WHEN THE FACTOR IS NEGLIGIBLE. WHEN PROGRAMME CONSIDERS THIS A FACTOR, THE RESULTS WILL BE EITHER SUBTRACTED OR DIVIDED ACCORDING TO THE SHARE OF THE INVESTMENT. SEE BELOW:
	1. OTHER DONOR OR NON-GOVERNMENTAL/GOVERNMENTAL FUNDS ALLOCATED IN THE REGION OR IN THE SECTOR, CAUSING BUSINESS ENVIRONMENTAL CHANGES AND INFLUENCING ON THE RESULTS.	THIS TYPE OF PUBLIC FUNDING CAN AFFECT THE RESULTS OF A PARTICULAR INTERVENTION ALSO ON HIGHER LEVELS OF PROGRAMME IMPACT.  IN THIS CASE PUBLIC FUNDING INCREASES NOT ONLY THE SCALE OF THE BENEFITS BUT ALSO MIGHT CAUSE SYSTEMIC OR ENVIRONMENTAL CHANGES	THE RESULTS ARE ASSIGNED THE WEIGHTS ACCORDING TO SEVERAL CRITERIA:  <i>SHARES OF THE INVESTMENT OF ALLIANCES KK PROJECT AND OTHER DONOR EXPECTED INFLUENCE OF THE INVESTMENT ON THE SECTOR IN GENERAL EXPECTED INFLUENCE OF THE INVESTMENT ON THE PARTICULAR INTERVENTIONS</i>

	<p>2. OTHER DONOR OR NON-GOVERNMENTAL/GOVERNMENTAL FUNDS ALLOCATED TO SUPPORT ANY OF ALLIANCES KK CLIENTS OR SUPPORTED ENTITY. THE CASE CONSIDERS THAT FUNDS ARE NOT LARGE AND/OR THAT THE CLIENT/SUPPORTED MARKET PLAYER DO NOT OPERATES ON HIGH LEVEL OF VALUE CHAIN.</p>	<p>THIS TYPE OF OTHER PUBLIC FUNDING IS MOST LIKELY TO AFFECT THE RESULTS OF A PARTICULAR INTERVENTION GIVEN THAT FUNDS ARE NOT LARGE ENOUGH AND/OR GIVEN THAT MARKET PLAYER DO NOT OPERATES ON SUFFICIENT HIGH LEVEL OF VALUE CHAIN TO INFLUENCE THE MARKET.</p> <p>IN THIS CASE PUBLIC FUNDING INCREASES NOT ONLY THE SCALE OF THE BENEFITS BUT ALSO MIGHT CAUSE SYSTEMIC OR ENVIRONMENTAL CHANGES</p>	<p>THE RESULTS ARE ASSIGNED THE WEIGHTS ACCORDING TO SEVERAL CRITERIA:</p> <p><i>SHARES OF THE INVESTMENT OF ALLIANCES KK PROJECT AND OTHER DONOR</i></p> <p><i>EXPECTED INFLUENCE OF THE INVESTMENT ON THE SECTOR IN GENERAL</i></p> <p><i>EXPECTED INFLUENCE OF THE INVESTMENT ON THE PARTICULAR INTERVENTIONS</i></p>
	<p>3. OTHER DONOR OR NON-GOVERNMENTAL/GOVERNMENTAL FUNDS ALLOCATED TO SUPPORT ANY OF ALLIANCES KK CLIENTS OR SUPPORTED ENTITY. THE CASE CONSIDERS THAT FUNDS ARE LARGE AND/OR THAT CLIENT/SUPPORTED MARKET PLAYER OPERATES ON HIGH LEVEL OF VALUE CHAIN.</p>	<p>THIS TYPE OF OTHER PUBLIC FUNDING IS MOST LIKELY TO AFFECT THE RESULTS OF A PARTICULAR INTERVENTION GIVEN THAT THE FUNDS ARE NOT LARGE ENOUGH AND/OR GIVEN THAT MARKET PLAYER DOES NOT OPERATES ON SUFFICIENT HIGH LEVEL OF VALUE CHAIN TO INFLUENCE THE MARKET.</p> <p>IN THIS CASE PUBLIC FUNDING INCREASES JUST THE SCALE OF THE BENEFITS AND DO NOT CAUSE SYSTEMIC OR ENVIRONMENTAL CHANGES</p>	<p>THE RESULTS ARE SIMPLY DIVIDED ACCORDING TO SHARES IN EXPENSES/INVESTMENT AND OTHER DONOR SHARE IS SIMPLY SUBTRACTED FROM THE TOTAL RESULTS OF AN INTERVENTION.</p>
OTHER PRIVATE FUNDING	THE SAME POLICY APPLIES AS TO OTHER PUBLIC FUNDING	THE SAME POLICY APPLIES AS TO OTHER PUBLIC FUNDING	THE SAME POLICY APPLIES AS TO OTHER PUBLIC FUNDING
INFLATION	THE EXPECTED INFLATION PUBLISHED BY THE NBG CURRENTLY IS 6%. HENCE, IT IS KNOWN BY THE PROGRAMME WHAT SHOULD BE SUBTRACTED FROM NAIC, IT WILL BE SUBTRACTED DURING THE IMPACT ASSESSMENT. FOR SIMPLICITY	N/A	FOR EACH YEAR THE ACTUAL INFLATION RATE FROM NBG WILL BE SUBTRACTED FROM TOTAL RESULTS DURING THE IMPACT ASSESSMENT.

	AND ACCURACY IT IS PREFERABLE TO SUBTRACT CUMULATIVELY FOR THREE ACTUAL YEARS INFLATION THAN COUNT FOR EXPECTED ONES.		
CHANGES IN LEGISLATIVE ENVIRONMENT	<p>NOT ALL THE CHANGES IN LEGISLATIVE ENVIRONMENT SHOULD BE CONSIDERED BUT THE ONES THAT MIGHT AFFECT THE PROGRAMME RESULTS. LIKE THE FOLLOWING:</p> <p>NEW FOOD SAFETY AND HYGIENE LAW;          CHANGES IN LABOUR CODE;          CHANGES IN AGRICULTURAL POLICY.          CHANGES IN VAT IMPACTING LEASING, AGRICULTURAL PRODUCTS.</p>	N/A	THE GENERAL METHOD OF ATTRIBUTION APPLIED BY THE PROGRAMME WILL DEPEND ON TYPE AND CHARACTER OF THE CHANGE AND WILL BE DISCUSSED CASE BY CASE.
MARKET ENVIRONMENT CHANGES	<p>NOT ALL THE CHANGES IN THE MARKET SYSTEM SHOULD BE CONSIDERED BUT THE ONES THAT MIGHT AFFECT THE PROGRAMME RESULTS. LIKE THE FOLLOWING:</p> <p>MARKET CHANGES AFFECTING THE PRICES OF VALUE CHAIN GOODS, IN THE PROGRAMME AREA;          MARKET CHANGES AFFECTING THE SUPPLY/DEMAND OF VALUE CHAIN GOODS, IN THE PROGRAMME AREA;          MARKET CHANGES AFFECTING/AFFECTED BY CHANGES IN EXPORT IMPORT BALANCE OF VALUE CHAIN GOODS, IN THE PROGRAMME AREA.</p>	N/A	THE GENERAL METHOD OF ATTRIBUTION APPLIED BY THE PROGRAMME WILL DEPEND ON TYPE AND CHARACTER OF THE CHANGE AND WILL BE DISCUSSED CASE BY CASE.
CHANGES IN REGION STABILITY	<p>NOT ALL THE CHANGES IN REGION STABILITY SHOULD BE CONSIDERED BUT THE ONES THAT MIGHT AFFECT THE PROGRAMME RESULTS. CHANGES CAN BE SEVERAL BUT MOST OF THEM WILL BE GROUPED INTO TWO:</p> <p>DRR COMPONENT (EARTHQUAKES, FLOODS ETC.)          POLITICAL INSTABILITY (WARS)</p>	N/A	THE GENERAL METHOD OF ATTRIBUTION APPLIED BY THE PROGRAMME WILL DEPEND ON THE TYPE AND CHARACTER OF THE CHANGE AND WILL BE DISCUSSED CASE BY CASE.

The M4P programme cycle consists of 5 steps<sup>47</sup>:

1. Setting the Strategic Framework
2. Understanding Market Systems
3. Defining Sustainable Outcomes
4. Facilitating Systemic Change
5. Assessing Change

The table below is the Assessing Change or M and E section:

<b>Key steps:</b>	<b>Do:</b>
Develop impact logics for the interventions	<ul style="list-style-type: none"> <li>• Indicate expected impact on women explicitly</li> <li>• Include impact other than on income that is relevant to WEE (e.g. on decision making)</li> <li>• If activities in an intervention target women in particular, show this</li> <li>• If an intervention addresses a constraint specific to women, show this</li> </ul>
Develop indicators	<ul style="list-style-type: none"> <li>• Include indicators for the objectives for women at each of the levels of the results chain, i.e. the goal, access and growth, and systemic change.</li> <li>• Specify which indicators will be sex disaggregated – all that are quantitative</li> <li>• Ensure inclusion of indicators specific to WEE:               <ol style="list-style-type: none"> <li>1. More decision making authority?                   <ol style="list-style-type: none"> <li>i. In the economic activity?</li> <li>ii. Over productive resources?</li> <li>iii. Over use of income?</li> <li>iv. Over time use?</li> <li>v. In relations with suppliers, buyers, service providers, setters and appliers of rules?</li> <li>vi. In the community?<sup>34</sup></li> </ol> </li> </ol> </li> <li>• Consider including other qualitative and/or quantitative indicators relevant to gender equality, e.g.:               <ol style="list-style-type: none"> <li>1. Women and men taking on new productive roles</li> <li>2. Women and men sharing reproductive roles more equally</li> <li>3. More equal access to social services (e.g. education, health)</li> </ol> </li> </ul>
Establish a baseline	<ul style="list-style-type: none"> <li>• Include women among respondents in a way that reflects their roles in the market system</li> <li>• Recruit women researchers</li> <li>• Include gender expertise</li> <li>• Conduct research in ways, times, places, conducive to participation of women</li> </ul>

<sup>46</sup> *Guidelines for Incorporating WEE into M4P Programmes. (2012) DFID, M4P Hub*

<sup>47</sup> *See The M4P Operational Guide*

	<ul style="list-style-type: none"> <li>• Consider separate discussions with women and men</li> </ul>
Predict the amount of change	<ul style="list-style-type: none"> <li>• Consider the factors that may reduce or delay impact on women, including:             <ol style="list-style-type: none"> <li>1. Prevalence of women?</li> <li>2. Attitudes, values, norms?</li> <li>3. Women's other roles?</li> <li>4. Lack of control/power?</li> <li>5. Lack of awareness of women as a market?</li> </ol> </li> </ul>
Design and implement a measurement plan	<ul style="list-style-type: none"> <li>• Include women among respondents in a way that reflects their roles in the market system</li> <li>• Recruit women researchers</li> <li>• Include gender expertise</li> <li>• Conduct research in ways, times, places, conducive to participation of women</li> <li>• Consider separate discussions with women and men</li> </ul>
Analyse information and feed into decision making and reporting	<ul style="list-style-type: none"> <li>• Consider the following questions:             <ol style="list-style-type: none"> <li>1. Do the results meet what was intended, predicted?</li> <li>2. If not, why?</li> <li>3. What measures can be taken to improve results?</li> <li>4. Any unintended negative effects?</li> <li>5. Measures to avoid or mitigate these?</li> </ol> </li> <li>• Mainstream gender in analysis and reporting – a separate "gender" section does not suffice.</li> <li>• Include gender expertise in the analysis</li> </ul>

## ANNEX 8: BI AND ANNUAL REPORTING TEMPLATE

### **BASIC INFORMATION (1 PAGE)**

### **STRATEGIC REVIEW AND OUTLOOK ( 1 PAGE)**

MAIN RESULTS ACHIEVED AND IMPLEMENTATION PERFORMANCE OF THE PROGRAMME  
MAIN STEERING IMPLICATIONS FOR THE NEXT PERIOD OF INTERVENTIONS

### **CHAPTER 1 - INTRODUCTION (1 PAGE)**

DESCRIPTION OF THE PROGRAMME AND ITS INTERVENTION STRATEGY  
UPDATE OF THE STAKEHOLDER ANALYSIS  
EVOLUTION OF THE CONTEXT (IN PARTICULAR POLITICAL RISKS AND OPPORTUNITIES)  
STRATEGIC LINK TO OUTCOMES OF COOPERATION STRATEGY AT COUNTRY LEVEL  
BILATERAL OR MULTILATERAL ISSUES OF NOTE FOR POLICY DIALOGUE

### **CHAPTER 2 – OUTCOMES ACHIEVED FOR 2012 (3 PAGE)**

OUTCOME INDICATORS MEASURED AGAINST TARGET VALUES FOR SEPTEMBER 15<sup>TH</sup> 2012 TO MAY 14<sup>TH</sup> 2013  
ASSESSMENT OF OUTCOME ACHIEVEMENT AND LIKELIHOOD OF ACHIEVING THE OUTCOMES IN THE CURRENT PHASE  
INFORMATION ON DIRECT AND INDIRECT UNINTENDED EFFECTS OF PROGRAMME INTERVENTIONS  
INFORMATION ON PROGRESS OF THE IMPLEMENTATION OF SOC TRANSVERSAL THEMES  
ILLUSTRATION OF THE PERSPECTIVES OF INVOLVED STAKEHOLDERS

### **CHAPTER 3: OUTPUTS AND PERFORMANCE ACCORDING TO YEARLY PLAN OF OPERATIONS 2012 (2 PAGE)**

SUMMARY OF OUTPUT DELIVERY AND THEIR CONTRIBUTION TO OUTCOMES  
IMPLEMENTATION CONSTRAINTS AND WAYS TO OVERCOME THEM  
EVENTUAL CHANGES TO MAIN ASSUMPTIONS

### **CHAPTER 4 – FINANCES AND MANAGEMENT (2 PAGE)**

PERCENTAGE OF BUDGET SPENT VS. PLANNED PER OUTCOME  
BUDGET DEVIATIONS AND OUTLOOK FOR THE REST OF THE PHASE  
APPRAISAL ON HOW EFFICIENTLY INPUTS WERE CONVERTED INTO OUTPUTS  
REFERENCE TO ACTIVITIES/INTERVENTIONS PROPOSED AND ACTUAL  
HUMAN RESOURCES ISSUES ON THE ORGANIZATION LEVEL THAT AFFECTED THE MANAGEMENT OF THE PROJECT

### **CHAPTER 5 – LESSONS LEARNT (1 PAGE)**

GOOD PRACTICE AND INNOVATIONS WORKING WITH KEY PARTNERS, BENEFICIARIES, INTERAGENCY COLLABORATION, INCLUDING OBSTACLES AND DIFFICULTIES  
IMPORTANT FINDINGS FROM REVIEWS AND SELF-EVALUATIONS  
CONCLUSION

### **LIST OF ABBREVIATIONS**

### **A NNEX 1: GENDER MAINSTREAMING RESULTS PER OUTCOME WITH INTERPRETATION**

### **ANNEX 2: PERSPECTIVES OF ALLIANCES KK STAKEHOLDERS**

### **ANNEX 3: SCALABLE INDICATORS PER ACTUAL INTERVENTION**

### **ANNEX 4. PROPOSED VERSUS ACTUAL INTERVENTIONS TO DATE OVERVIEW**

### **ANNEX 5: SUCCESS STORY**

Note: Additional Annexes to be added as required e.g. for additional information from end of phase impact assessment.