

## MONITORING AND EVALUATION **MANUAL**

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Written for the SDC project the Mercy Corps implemented Alliances Lesser Caucasus Programme and adapted  
from the Alliances Kvemo Kartli Monitoring and Evaluation Manual by

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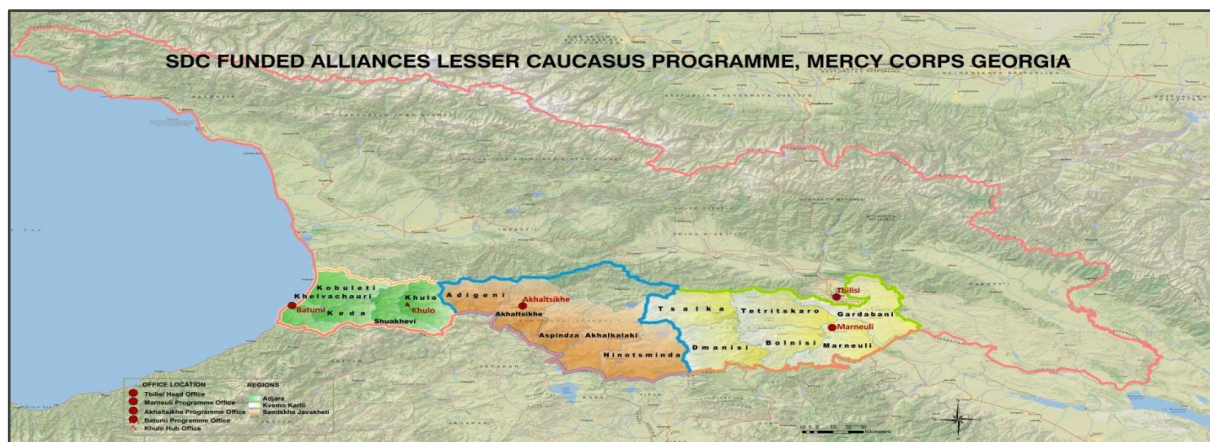
The Alliances Lesser Caucasus Programme (ALCP) is a Swiss Agency for Development and Cooperation market development project implemented by Mercy Corps Georgia working in the dairy, beef, sheep and honey sub-sectors in the Kvemo Kartli (KK), Samtskhe Javakheti (SJ) and Ajara (AJ) regions in Southern Georgia, regions all highly dependent on livestock production. The programme has been audited according to the Donor Committee for Enterprise Development (DCED) Standard and is committed to the successful implementation and measuring of Women's Economic Empowerment.

**Project Time Frame:** The ALCP began on March 1<sup>st</sup> 2014 and is set to run until February 28<sup>th</sup> 2019, incorporating a second phase of Alliances Kvemo Kartli of three years implementation and two years standby, of four years implementation and one year standby in Ajara and from January 1<sup>st</sup> 2015 a two year standby phase for the former Alliances SJ, which will have completed six years of inception and implementation in December 2014.

**Our Partners:** The programme works in partnership with the International Association of Agricultural Development (IAAD) and has scope to contract locally grounded technical expertise through sub contracts for Gender, Governance and DRR.

**The Goal of the ALCP** is to contribute to poverty alleviation and the transition to a durable market economy for the livestock sector in the selected regions of KK, SJ and AJ, by creating sustainable changes in the dairy, beef, sheep and honey market systems for the ultimate equitable benefit of small, poor farmers, regardless of gender or ethnicity. The programme is run according to the **M4P (Making Markets Work for the Poor Approach)** a market systems development approach which **facilitates** key market players in the relevant value chains to address key constraints in core markets and supporting functions to exploit pro poor opportunities for growth. Sustainability is built in through a minimum co-investment of 35% from the market players with whom it invests.

**Targets:** The previous phases of the Alliances programme have considerably exceeded their targets, impact which is now being bolstered by the appearance of crowding in. **The ALCP Target** is to reach 24,000 households which is 20% of poor households in the programme area, who will benefit directly and indirectly through improved services, markets and operating environment, with increased income from sales, reduced production & transaction costs, increased net worth and employment. 90% of Alliances-KK supported business will still be operating without programme support by the end of the programme and 49,000 (41%) households will have improved awareness of local Disaster Risk Reduction (DRR) directly related to livestock production. For more information please go to: [www.alcp.ge](http://www.alcp.ge)



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## ABBREVIATIONS

AJ:	Ajara
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
Bi-monthly 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 quantitative and/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/ farmers 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.

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

**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.

**Donor Committee for Enterprise Development (DCED):** With 22 members comprised of bi- and multilateral donors and agencies as well as private foundations the committee has a vision of making PSD more effective. It has three strategic priorities; sharing knowledge and experience between donors, development agencies and field programmes; developing and disseminating knowledge and guidance on good practice in PSD; and communicating evidence on results in PSD. The DCED developed and maintains the DCED standard for Results Measurement a set of ‘must’ and ‘recommended’ guidelines against which PSD and market development programmes may be audited for results measurement systems ‘in place’ or ‘in use’, by DCED consultants. The audit has become an influential global benchmark of monitoring and measurement quality in PSD and market development programmes.

**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 and 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.

**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 as 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.

**Monitoring Action Plan Meeting (MAP):** A bi-monthly MAP meeting, where BDO’s aggregate impact to date per output for which they are responsible, with the help of the M&E team and present it to each other and management. *MAP*’s operationalize; broad staff ownership of M&E, communication between M&E staff and Programme Staff ongoing troubleshooting of issues which ensue and ongoing of calibration of intervention (management and monitoring) based on data.

**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.

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

**Sector Wide Behaviour Change:** Changes in the wider target sector with lead actors other than those directly targeted e.g. elements of government, media, business organizations, INGO's which may be directly or partly attributable to systemic changes brought about by the programme or indeed may be qualitative systemic changes themselves. Includes wide reaching changes in rules, perceptions, attitudes as well as in supporting functions.

**Social Return on Investment (SROI):** Shows the benefits provided by service providers to SSLP's expressed in terms of additional income, increased sales and reduced transaction costs. A Predictive Social Return on Investment is calculated for larger investments. It is the main means of quantifying the broader impact of an intervention on the target group i.e. SSLP's. Once raw financial data is received ongoing financial calculations are made and an annual SROI calculated per investment. SROI is used to evaluate the efficiency of an investment or to compare the efficiency of a number of different

investments. The programme calculates SROI according to the following formula:  $SROI = (\text{Farmer's NAIC} - \text{Cost of investment}) / \text{Cost of investment}$

**Standby Phase:** The standby phase is a sustainability measure to the programme to avoid the abrupt termination of support and allow for the continued monitoring and support of existing market interventions or the facilitation or new entry points which are integral to the overall strategy of the ALCP i.e. market players who play a pivotal role in the market linkages between the regions. The standby phase is maintained through a pared down staffing and infrastructure and defined by two main activities: Post-implementation monitoring on the value chain performance Facilitation support to value chain components, where warranted by threats to sustainability i.e. interventions in need of support to prevent failure or where integral to the strategy of the ALCP.

**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 and 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. A systemic change has three key characteristics. They have scale and influence and benefit a large number of people who were not directly involved in the original intervention. They are sustainable continuing past the end of the programme, without further external assistance. They are resilient models are adapted to continue delivering pro-poor growth as the market and external environment changes.

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

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

**Unintended Effect:** 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

The ALCP is a market development programme working in the dairy, beef, sheep and honey sub-sectors in the Kvemo Kartli (KK), Samtskhe Javakheti (SJ) and Ajara (AJ) regions in Southern Georgia all highly dependent on livestock production. It is run in accordance with the M4P approach. Stringent market analysis is used to identify key constraints and pro poor opportunities for growth which the programme leverages through the facilitation of key market actors including local and regional government. Monitoring and evaluation is structured to comply with the DCED Standard (by which two of the Alliances programmes have been audited) and is committed to the successful implementation and measuring of Women's Economic Empowerment. The ALCP began on March 1st 2014 and is set to run until February 28th 2019, incorporating a second phase of Alliances Kvemo Kartli of three years implementation and two years standby, four years implementation and one year standby in Ajara and from January 1st 2015 a two year standby phase for the former Alliances SJ, which will have completed six years of inception and implementation in December 2014.

The logistics of merging and expanding the existing programmes includes the institution of a stand by phase for each programme. The standby phase has been introduced as a sustainability measure to the programme to avoid the abrupt termination of support and allow for the continued monitoring and support of existing market interventions or the facilitation or new entry points which are integral to the overall strategy of the ALCP i.e. market players who play a pivotal role in the market linkages between the regions. No targets are set for standby phases, however, it is maintained through a pared down staffing and infrastructure and defined by two main activities:

- Post-implementation monitoring on the value chain performance;
- Facilitation support to value chain components, where warranted by threats to sustainability i.e. interventions in need of support to prevent failure or where integral to the strategy of the ALCP.

The ALCP merges and expands according to the timetable below:

Projects	2011	2012	2013	2014	2015	2016	2017	2018	2019
Samtskhe Javakheti	SJ phase II 01 Jan 2011 - 31 Dec 2014				LCP Component SJ stand-by phase 01 Jan 2015 - 31 Dec 2016				
Kvemo Kartli	KK phase I 15 Feb 2011 - 14 Feb 2014				LCP Component KK phase II 15 Feb 2014 - 14 Feb 2017		LCP Component KK Stand - by phase 15 Feb 2017 - 14 Feb 2019		
Ajara					LCP Component AJ phase I 15 Feb 2014 - 14 Feb 2017			LCP component Stand-by phase: 15 Feb 2018 - 14 Feb 2019	

The *ALCP 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 *ALCP Monitoring & Evaluation Manual* is the key document for use by programme personnel and gives in full detail and in logical order of:

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

Overview of the M&E System ethos:

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

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<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 bi-monthly *Monitoring Action Plan Meeting (Bi-monthly MAP meeting)* where BDO's aggregate impact to date with the help of the M&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&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. The programme collects sex and age disaggregated data through the impact assessment survey.

See Figures 1 & 2 for diagrammatic representations of the M&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 *ALCP Investments Manual Version 2 2015-2019* which documents and contains all programmatic procedures and documentation of the programme.

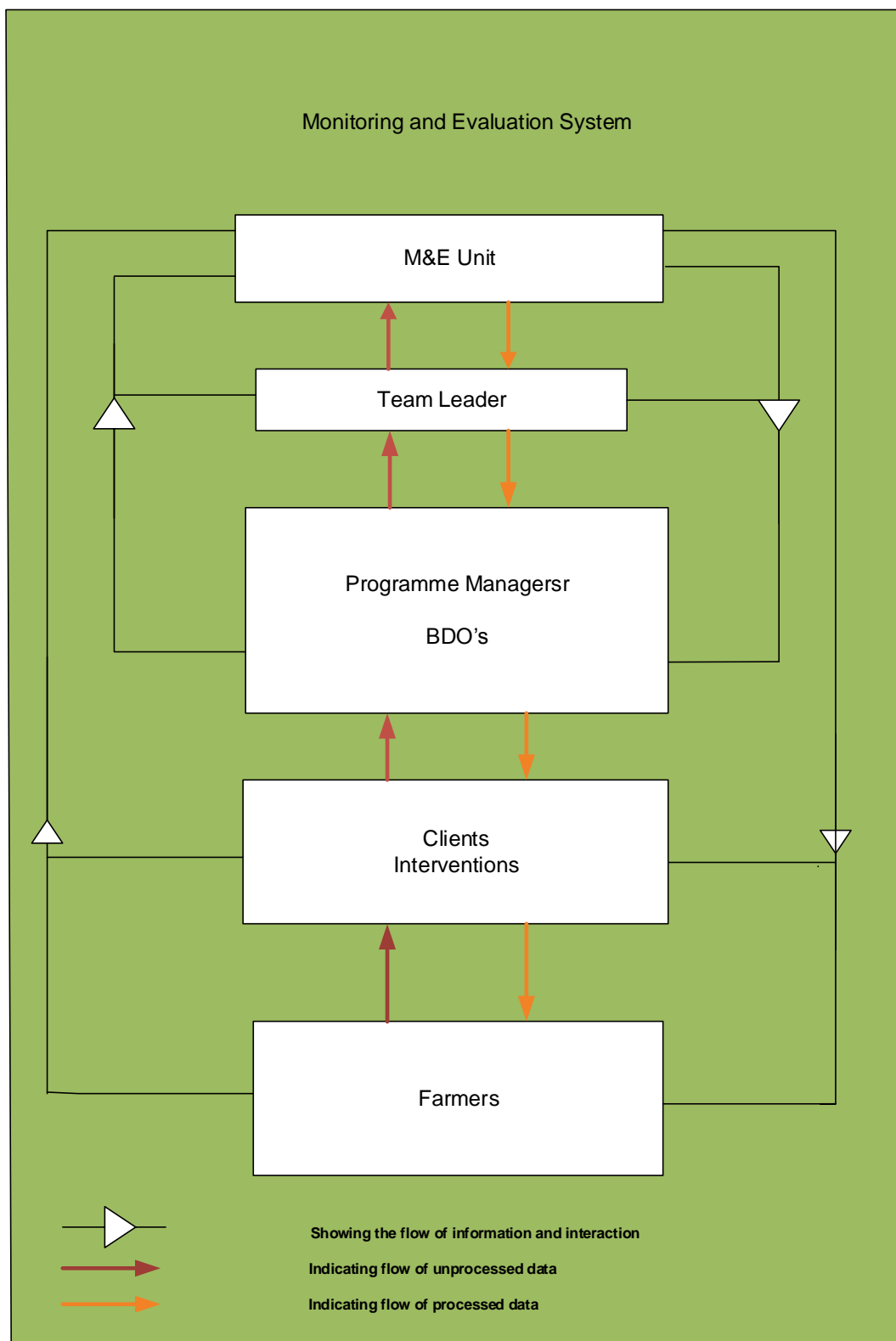


Figure 1 ALCP Monitoring and Evaluation System

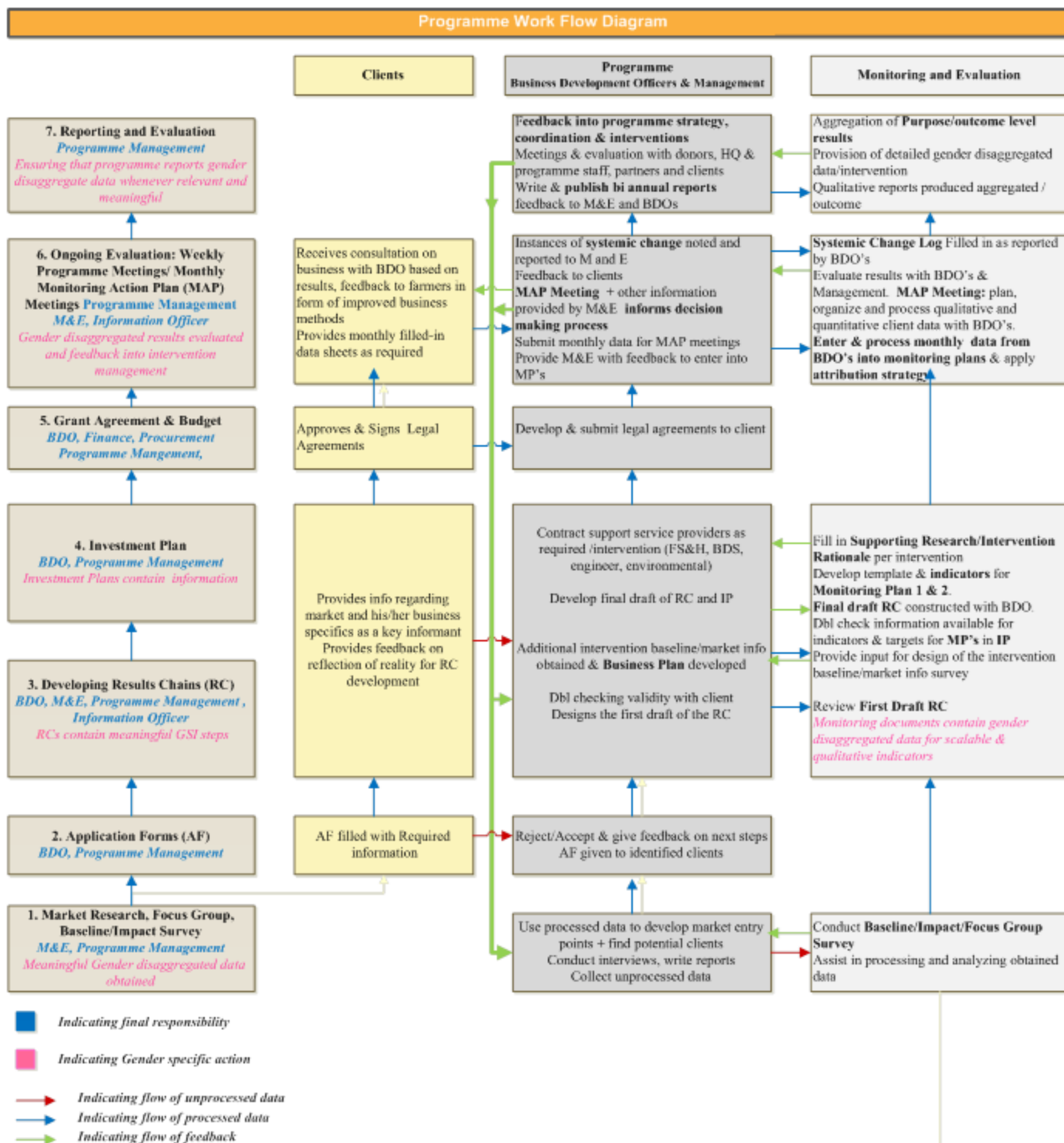


Figure 2 ALCP Programme Work Flow Diagram

## 1. ARTICULATING THE RESULTS 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 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 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 targeted regions 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 ALCP 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 (target group as citizens)*

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 ALCP 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 Log Frame is therefore reviewed bi-annually coinciding with the SDC reporting schedule and the Outcome Level Results Chains revised to coincide with the annual report.

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



## 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.

### NOTE ON SECTORAL RESULTS CHAINS

Sectoral results chains are increasingly being constructed as the programme develops. They combine the the proposed activities and intended results from several interventions often from different outcomes. They are primarily a strategic programmatic tool which can be used alongside measurements of systemic change and do not replace the intervention level results chains.

## 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 first draft of the RC is based on the application form and initial market research.<sup>6</sup> The *final operational draft* is constructed after all supporting research and other documentation

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<sup>5</sup> Outcome 1: Small Scale Livestock Producers benefit from better access to target services, enabling them to increase their productivity.

Outcome 2: Small Scale livestock Producers benefit from enhanced market access, including to the Ajaran tourism market and from better terms of trade.

Outcome 3: Small scale livestock producers benefit from a more efficient and resilient operating environment.

<sup>6</sup> 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.

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, M&E Coordinator and M&E Officer*, under the supervision of *Team Leader and Programme Manager*.

*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 team, Team Leader and Programme Managers* are involved in the discussion concerning the intervention rationale.

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## 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&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<sup>7</sup>, 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 BDO in construction of the first draft RC.

*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 Unit) 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 & Surveys*: Larger scale research conducted by management, M&E Unit or external consultants including market sector analysis, legislative analysis, focus group, gender surveys and impact assessment survey.

*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.

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<sup>7</sup> See Annex 5 for a full breakdown of *ALCP Data Collection and Research Methods*

**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.

**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:** 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. The section includes a description of the ways the intervention addresses the situation (e.g. heat detection trainings for women as main livestock keepers) and how 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 initial market analysis has 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 & 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 Coordinator, M&E Officer, Programme Manager & Team Leader* are involved in the development of the intervention rationale.

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<sup>8</sup> See Annex 3. See also *Alliances Programme Investment Manual Version 2 2015 -2019* for more detail

### 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 (MP1)*. 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 (MP2)*. The quantitative and the qualitative monitoring plans are linked to each other and they are design in a way to fulfil each other.

The monitoring plans allow 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.*

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

Indicators are grouped in 2 broad groups and form Monitoring Plan 1 & 2:

*MP1: Measurement of Scalable Changes* consists of qualitative and quantitative scalable indicators capturing changes for farmers, and businesses in terms of outreach, financial benefits etc.

*MP2: Measurement/Description of behavioural changes* consists of qualitative indicators measuring and describing behavioural changes for farmers and business management changes for service providers.

See Annex 4 for templates

#### MONITORING PLAN 1

MP1 consists of:

*Results Chain step* – The result chain is disaggregated into the RC boxes, which means that a scalable indicator is set for every RC box.

*Scalable Indicators* – This is the indicator for which the data is being collected. The indicator measures the result chain boxes and is the basis for impact evaluation.

*Data collection methodology* – How data for measuring against the is collected.

*Data Collection Frequency* – This indicates how frequently the data is collected. Frequency as well as source of information differ by indicator and heavily depend on the nature of the particular indicator. Data for quantitative indicators is usually collected either monthly or quarterly or, in some rare cases, biannually. Information for qualitative indicators is collected annually because some time is needed for behavioural changes to happen.

*Attribution Method* – This shows the method used for the attribution of impact measured by every single indicator.

*Source Document* – This indicates the source of the information for the particular indicator. Sources differ by indicators. For some indicators, the sources may be application forms and investment plans whereas for others they are monthly data tracking sheets, individual surveys, focus groups, key informant interviews, experiments, etc.

*Person in Charge* – This refers to the person responsible for data collection. Mostly, it is the BDO who is the data collection person.

*Baseline* – Baseline information is collected before the intervention starts. In most cases, baselines are collected per intervention and are gathered both from farmers and service providers.

*Predicted Impact* – The predicted impact is calculated based on the projections made by the service provider in his application form and/or investment plan. The predictions are done for several consecutive years.

*Actual Impact* – This shows cumulative figures for the whole period of intervention implementation.

*Biannual Progress (I, II, III etc.)* – shows biannual figures which are used in Biannual Reports for Donors.

## MONITORING PLAN 2

MP2 contains *Results Chain steps, Indicators, Monitoring Check Frequency, Methodology Applied, Baseline, Predicted Impact and Actual Impact*.

Qualitative information is gathered on two levels: For farmers' level and for service providers' level. It concentrates on looking at whether uptake has or has not occurred or not what this looks like, the reasons why, the impact i.e. change in behavior that uptake has brought about and the likelihood of it continuing. The main qualitative indicators utilized as appropriate are listed below.

Table 7: Key qualitative indicators

Actors	Qualitative Indicators
<b>Farmers</b>	<ul style="list-style-type: none"> <li>• Reasons for changes in performance</li> <li>• How do beneficiaries apply the new or improved practices or utilize new or improved inputs</li> <li>• Reasons for applying or not applying</li> <li>• Status of capacities and/or incentives of beneficiaries related to received services or inputs</li> <li>• Reasons for changes in status of capacity and/or incentives of beneficiaries related to received services or inputs</li> </ul> <p>To measure likelihood of sustainability:</p> <ul style="list-style-type: none"> <li>• Opinions of beneficiaries on service received</li> <li>• Interest of beneficiaries in continuing these behavioral changes</li> <li>• Reason for continuing or not continuing with these behavioral changes</li> </ul>
<b>Service Providers</b>	<ul style="list-style-type: none"> <li>❖ How do they provide new or improved services or inputs related to new business model</li> <li>❖ Reasons for providing or not providing</li> <li>❖ Status of capacities and/or incentives of market players related to implementation of new business model</li> <li>❖ Reasons for changes in status of capacities and/or incentives of market players related to implementation of new business model</li> <li>❖ Satisfaction and opinions of market players on supports received</li> <li>❖ To measure likelihood of sustainability:</li> <li>❖ Opinions of market players on the initiative</li> <li>❖ Interest of market players in continuing the initiative without project supports</li> <li>❖ Reasons for continuing or not continuing with the initiative</li> </ul>

For each indicator appropriate survey questions are noted in the monitoring plan. Once the surveys have been conducted, the raw findings are documented in a table of transcript. Then, the compiled results are documented in the MP2. A *Transcript Table* listing respondents, timings dates location, gender, ethnicity etc is included in the MP2 file.

### 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 by the DCED standard and are the main reporting indicators for Private Sector Development (PSD) Programmes to which they are held accountable. 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 ALCP 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 accrued to targeted enterprises as a result of the programme per year. In ALCP this is calculated for the two types of beneficiaries described above, per intervention and outcome and reported correspondingly. NAIC is not calculated separately for supporting interventions, like information and DRR. The programme conducts one impact assessment to capture the combined impacts of all interventions, included the synergies effect among the interventions. Thus, the impact of supporting interventions, if any, are also reflected in total NAIC.

*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. Despite *profitability*, *ROI* and *SROI*, the programme also observes the following indicators:

*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 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 (MPI's)* are built by the *M&E Coordinator/M&E Officer* with the support of the *BDO* responsible for the relevant intervention.

*Qualitative Monitoring Plans (MP2's)* are built by the *Information Manager* with the support of the *BDO* responsible for the relevant intervention. The *M&E Unit* 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* and the *M&E Officers*.



## 4. MEASURING CHANGE

See *Annex 5* for a complete overview of all ALCP data collection and reach methods. 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. 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* - Monthly data collection, entry and analysis: The programme has two main sources of this kind of data; the client and the market, in the form of monthly client submitted data sheets for financial data of client, customer/supplier information and market prices. The advantage of monthly data collection and analysis in the Bi-monthly MAP meetings is the regular feedback loop allowing for ongoing calibration of the interventions. It helps the programme to capture business and market trends and every day changes occurring on the market. However, as the information does not come directly from programme beneficiaries, figures based on monthly collected data are reported as estimated figures.

*Extensive*: Larger scale / targeted research done at a variety of intervals to capture attributable impact and more extensive changes such as the synergistic effect between interventions. It includes representative surveys with programme beneficiaries and provides statistically significant data which comes directly from farmers. All the estimated figures (e.g. monthly data sheets) is adjusted according to the representative surveys.

Note: For data adjustment the program calculates the difference rate (positive or negative) between survey data and monthly collected data. For example, if according to the monthly data sheets there are 100 beneficiaries and survey shows that actually this figure is 200 the difference rate equals 2.0. This rate is used as a multiplier for estimating scale from monthly data sheets.

### 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>9</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 collects 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>9</sup> Please see Section 5 which covers the ALCP 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. Please, see Section 3.

as a reference when writing the *Investment Plan* to ensure that all requisite data is included. Client specific baseline data in the ALCP 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.

Client specific data is also triangulated and translated into values using monthly market price information, the secondary sources and programme specific reports & surveys.

#### OUTCOME AND PURPOSE LEVEL INDICATOR BASELINES

For log frame indicators describing change at outcome and purpose level the programme obtains baseline data from broad triangulated in-depth surveys carried out by the programme<sup>10</sup>. 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). Of these surveys the *market analysis* is used the most extensively. Ongoing market research and surveys are conducted as required programmatically. For new phases since March 2014 and the consolidation of Alliances Programmes into the ALCP, baseline surveys are conducted. In previous phases baselines were validated retrospectively<sup>11</sup> through end of phase impact assessments.

#### 4.2 Impact Assessment<sup>12</sup>

The *ALCP Impact Assessment Survey* measures the effect of all interventions, simultaneously in line with programme strategy for the target group to benefit from the synergy of the three outcomes working together. I.e. the level of overlap is very high. Representative samples of beneficiary HH's are drawn from the total population of livestock farmers in the target area by using multi-stage cluster sampling. Baseline data is collected retrospectively or is taken from the previous baseline/impact assessment surveys. Then, the samples are allocated to user and non-users groups by screening questions.

The impact assessment survey aims to summarize all sizable effects on the livestock sector. The key aims of the analyses are:

- To report on changes attributable to the programme: through the difference<sup>13</sup> in changes across affected and non-affected populations, during the programme implementation period, triggered by the programme.

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<sup>10</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>11</sup> The programme accounts for recall bias when retrospective baselines are used.

<sup>12</sup> <http://www.m4phub.org/userfiles/file/M4P%20Evaluation%20Workshop%20Summary%20Final.pdf>

<sup>13</sup> Or negative like displacement in case they occur, see changes in number of buffalos in Section 2.

- To evaluate costs and benefits or the value for money: through the attributable changes in target households and the programme clients' incomes and the aggregated social return on the programme investment.
- To assess the sustainability of the changes: through the profitability of the business models, the business return on the private sector investment, systemic changes i.e. copying and crowding in and programme attributable changes in the rate of reinvestment in agriculture by farmers.
- To assess the synergistic effect of the systemic approach: through capturing the effect of the synergy of different interventions and outcomes.
- To double-check the data that comes from the repetitive monitoring and to adjust all the estimated figures based on multipliers derived from a comparison with actual data (See Section 4).

In order to ensure the quality of the ALCP impact assessments, the 14 steps below are followed:

1. Review programme needs in defining the main research questions;
2. Design structured questionnaires;
3. Test and refine questionnaires.
4. Use Multi Stage Cluster Sampling (MSCS) with preliminary stratification<sup>14</sup>;
5. Define method for HH and respondents selection (e.g. random walk / within the family most informed adult person (18+) in regard to animal husbandry is interviewed)
6. Conduct pilot interviews, updating questionnaires if needed
7. Develop a data base in SPSS or STATA;
8. Conduct intensive training for the interviewers;
9. Supervise the field work (capturing issues and finding the ways to handle them);
10. Enter the data in the data base checking quality<sup>15</sup>
11. Clean the data base (e.g. defining the missing values, error detecting, error correction etc.)
12. Compare treatment and control groups;
13. Maximum Likelihood Estimation Analysis<sup>16</sup> applied
14. Report tabulated results;

The programme follows the critical points of the Guidelines and Research Ethics<sup>17</sup> Outlined in the DCED standard:

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<sup>14</sup> Generally, for the ALCP surveys sample sizes are calculated based on 95% confidence level and 5% margin of errors.

<sup>15</sup> In general, when approximately 50% of questionnaires are filled out data enter process is started. Also, in order to capture data entry bias, a single questionnaire is entered by more than one person and differences, if any, are corrected.

<sup>16</sup> 'In statistics, maximum likelihood estimation (MLE) is a method of estimating the parameters of a statistical model. When applied to a data set and given a statistical model, maximum likelihood estimation provides estimates for the model's parameters.' - Tatiana Tatarinova et al: *NPEST: a nonparametric method and a database for transcription start site prediction*", 2013;

<sup>17</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'.

#### 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 respondents 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."<sup>18</sup>

*Confidentiality* – The reliability of surveys depends on participants to volunteer information regarding individual actions. A respondent is more likely to provide honest responses when their identity is not going to be exposed. Thus, during ALCP surveys no personally identifiable information are reported outside the research team, unless respondents voluntarily offer personal or contact information in any of the comment fields. Additionally, respondents' responses are combined with those of many others and summarized in a report to further protect the anonymity.

### 4.3 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 the relevant client when choosing the data collection methodology and constructs a data collection sheet to be filled in by the client monthly.

The **Monitoring Coordinator and M&E Officers** are in charge of choosing appropriate measurement and data collection methodologies and **BDO's** are in charge of 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&E feedback loop, see in detail below:

*Clear and appropriate assessment design:* Designed by **M&E Coordinator and BDO's** under the supervision of, or commissioned and designed by the **Team Leader**;

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

*Data entry:* Conducted **BDO Assistant/M&E officers** and for larger one time data **specially required data entry personnel**;

*Data Analysis and Results Management:* Conducted by the **M&E Coordinator / M&E Officer** under supervision of **Programme Management**

*Management of assessments:* Conducted by the **M&E Coordinator / M&E Officer** together with **BDOs**;

*Use of existing data sources:* Assured by **M&E Coordinator / M&E Officer and Programme Management**;

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

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<sup>18</sup> See DCED Standard Version VI "Box 6: Research Guidelines and Ethics: (Source: Miehlebradt and Jones. 2007; p11

## 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>19</sup> i.e. an accurate *attribution strategy*. The ALCP 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.*

The first step is to assess the extent to which each change along the result chains actually happened and the likely reasons for those changes (by asking why changes have happened). Then, the counterfactual (what would have happened anyway) has to be taken into account. There are several methods that can be utilised:

- Before and after comparison plus opinion (BACO)
- BACO plus comparison with secondary sources
- BACO plus hold other factors constant
- BACO plus compare with trend
- Quasi experimental design (2XBAC) + Opinion
- BACO plus regression<sup>20</sup>

In the ALCP a selection of the above methods are used based on a case by case basis dependent on factors such as what data is available and what is being measured. The most commonly used in the ALCP are BACO and BACO plus comparison with trends.

Each indicator defined by the programme must and does have an attribution method. Key factors that affect the choice of the attribution method are:

- Which and how much other factors are likely to affect indicators;
- The timeframe and magnitude of changes; and
- An understanding of what the counterfactual is in a given situation.

Note: 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*.

### 5.2 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 be calculated while building the system for attribution. These are as follows: *Baseline, Displacement, Other Public Funding, Inflation, Changes in the Legislative Environment, Market Environment Changes and Changes in Regional Stability.* (See Annex 6) In addition the programme takes into account *overlaps* i.e. when more than one intervention reaches the same target enterprises to avoid *double counting*.

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<sup>19</sup> Source: <http://www.enterprise-development.org/page/download?id=2012>

<sup>20</sup> ALCP used logistic regression to identify the predictors of NAIC

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

The programme method<sup>21</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: Programme Attribution Strategy Example

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: Price of milk to supplier is raised by 5 Tetri above the market price due to increased quality now farmers are trained in quality milk supply and they have upgraded capacity. This kind of price gap is due to the programme not external factors e.g. market price fluctuations. Thus, from per litter of milk supplied farmers saves 5 Tetri, which is attributable for the programme.

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

*Other methods applied:* Impact assessment survey (BACO plus regression)

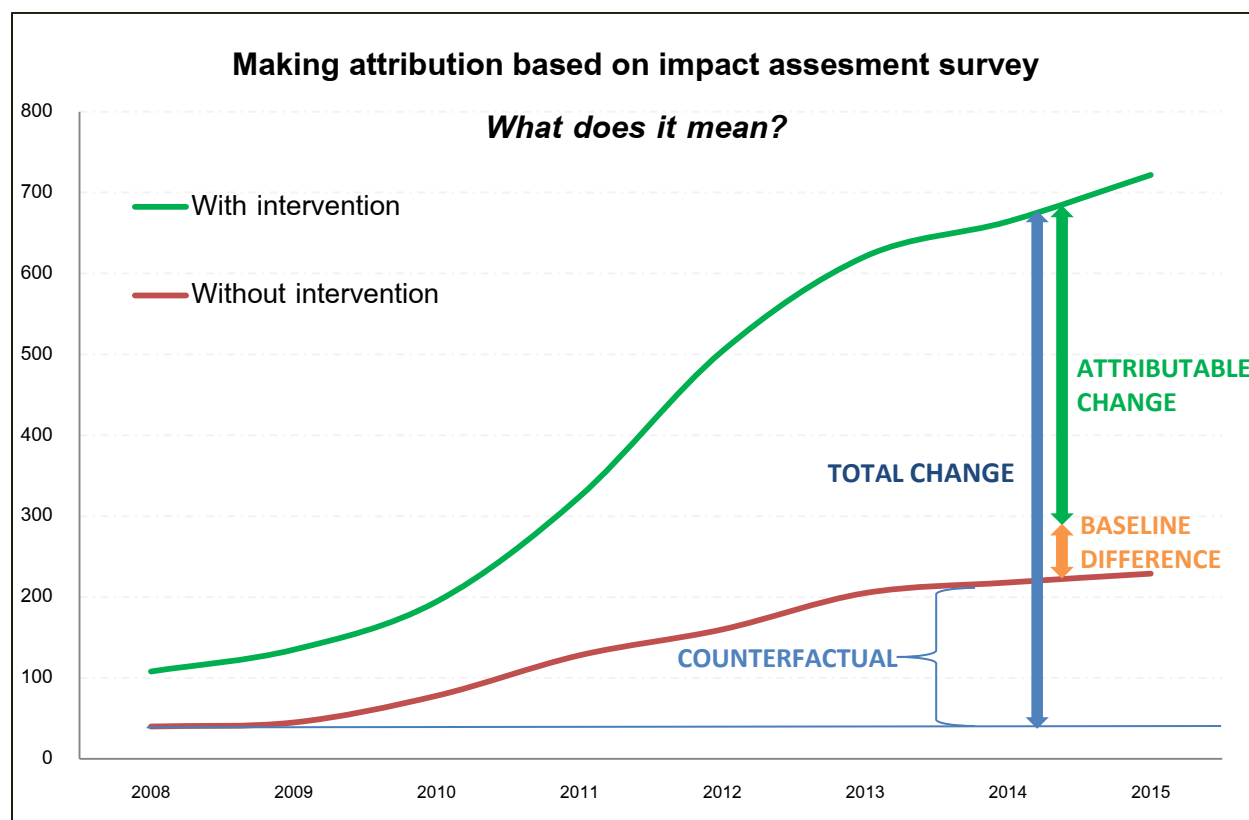
### 5.4 The role of the impact assessment survey in attribution

In the ALCP impact assessment surveys are conducted to capture the impacts of all interventions simultaneously universal indicators and gender disaggregated indicators. The methodology of the impact assessment survey allows the programme to capture the synergies effects among interventions as well. Then, the samples are allocated to users and non-user groups minimizing counterfactual bias and making the attribution process more reliable.

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<sup>21</sup> This method is in line with the DCED standard and fits in with the Outcome Monitoring Concept.

For example, NAIC is calculated by using the difference in difference method between beneficiaries' and non-beneficiaries' income. Moreover, the logistic regression are run to identify the predictors of NAIC to be higher than the average income changes for non-beneficiaries, and the odds of programme impact on it. The programme aims to attribute the difference in changes only for the target income i.e. agricultural income: excluding changes in salaries, social aids, stipends, income from selling property etc.



### 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 to the intervention beginning the **Monitoring unit and Information Manager** determine the particular factors that could potentially have significant influence on the intervention results. Then the measurement method is defined for the indicator and the **M&E Coordinator / M&E Officers** under Supervision of **Programme Management** and with the consultation of **BDOs** estimates the programme attribution. The system is incorporated into the intervention monitoring plans (See Section 2).

## 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>22</sup> which when leveraged correctly by an intervention cause change throughout the part of the market system which has been targeted. Systemic change can also occur in parts of the system not specifically targeted by the interventions<sup>23</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 especially *copying*, *crowding in* and *natural growth*. 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 although as stated above and especially as the programme matures changes may go beyond those originally targeted and *expected* by the programme outcome impacts can behave synergistically and external factors can contribute to go beyond those intended and mapped out in the results chain and cause more complex and more extenuated changes in the wider market system. In the ALCP these are listed under *unintended effects*. Capturing and measuring systemic change therefore presents a challenge to any programme in which it is occurring<sup>24</sup>.

Key facets of any M and E system design must include clear definitions of what is being tracked and reflexive staff, systems and methods to capture changes.

Types of Systemic Change captured in the ALCP (see the glossary for a definition of the terms below):

- Crowding in
- Copying
- Natural Growth / Business Expansion
- Independent Investment
- Increased Human Resources
- Sector Wide Behaviour Change: includes changes in rules, attitudes and perceptions amongst influential actors/lead players in the market system as well as supporting functions which affect multiple actors across a sector.
- Unintended Effect: (often but not always a form of sector wide behaviour change) when systemic change is observed in parts of the market system amongst actors not targeted or originally considered by the programme
- Displacement

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<sup>22</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>23</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>24</sup> The fact that there is no one definition for a market system or for what constitutes systemic change is illustrative of this. See *Evaluating Systems and Systemic Change for Inclusive Market Development* (2015) USAID LEO



The indirect impact of the programme 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.

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

According to DCED standard, Systemic changes have three key characteristics:

*Scale:* Systemic changes influence and benefit a large number of people who were not directly involved in the original intervention.

*Sustainability:* Systemic changes continue past the end of the programme, without further external assistance.

*Resilience:* Market players can adapt models and institutions to continue delivering pro-poor growth as the market and external environment changes.<sup>25</sup>

Based on the current DCED guidance on assessing systemic changes, there are four key considerations to capture and plausibly attribute systemic change to a programme:<sup>26</sup>

- The development of a clear pathway towards systemic change, e.g. a crowding in path is integrated into a particular results chain.
- Evidence that expected changes have occurred at different levels in the pathway e.g. indicators are assigned and assessed for each results chain box in the pathway.
- Evidence of causal links between the changes in the pathway e.g. checking why other service providers crowded in.
- Look for alternative causes of the changes observed e.g. look for alternative reasons why service providers crowded in.

DCED guidance is reflected in ALCP monitoring system accordingly. In practice M&E team develops following steps to capture the systemic change:

*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.

*Systemic Change Log Sheet:* All the possible systemic changes occurring in the market are captured in the log sheet. The changes are described, categorized dated, and attribution ascribed. The programme makes the attribution of the systemic changes only when there is the clear, objective and well-grounded proof that systemic changes occurred due to the programme activities. Only after verification does the

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<sup>25</sup> Adam Kessler. *Assessing Systemic Change: Implementation guidelines for the DCED Standard*, August 2014

<sup>26</sup> See <http://enterprise-development.org/page/download?id=2113>

programme starts calculating the indirect benefits of the systemic changes (See the Systemic Change Log Sheet in Annex 8).

*Data Collection & Measurement & Attribution:* For some indicators direct measurement of systemic change is possible e.g. new service providers. Where direct measurement is difficult projections based on the Systemic Change Log Sheet or from a piece of in depth interviews is conducted for the particular systemic change. During the interviews with the programme client and/or crowding in service provider sales, volume or number of beneficiaries of the new businesses are captured. This information is triangulated with the already existing data of similar business and with external data sources. After that the M&E team makes a conservative estimation of impact. In addition, to double check the estimated results the programme conducts a sample survey with customers of the crowding in business.

**Box 3: Example of Capturing Systemic Change and its impact: 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.

**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, information manager conducted in-depth interviews with the programme facilitated Vet Pharmacies and with crowding in Vet Pharmacies and according to the respondents' answers, benefits generated by this new vet pharmacy would not differ from the benefits generated by programme supported ones.

**Systemic changes log sheet:** Qualitative information is reflected in the log sheet: Vet pharmacy crowding in (Name, Location, Starting date of the business, description of the business and linkage to the programme activities). Despite this, quantitative information like input supplier's sales to the crowding in vet pharmacy is included in the sheet.

**Measurement:** The programme can estimate number of beneficiaries of crowding in vet pharmacies by dividing adjusted sales of input supplier to the vet pharmacy by average consumption per farmer.

**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.

*Note: Further survey might be conducted within the farmers to capture the actual impact of the crowding in Vet Pharmacy.*

## Copying

The Systemic Changes Log Sheet does not include the cases of copying. The programme come up with the following steps for estimating the impacts of copying:

- Establish the copying ratio: the number of copying farmers for each direct beneficiary farmers as follows:
- During the impact assessment for direct farmers, ask respondents whether their neighbours copied their new practices.
- Interview a sample of the neighbours named (using snowball sampling) to cross check whether they are actually copying the practices and reasons for copying.
- Check for overlapping among the copiers (i.e. whether one copying farmers is copying from 2 or more direct farmers).

- Use this information to calculate an estimated average copying ratio.
- At the same time, collect baseline information for copying farmers. Later on, validate the behavioural and performance changes for copying farmers. (If the copying farmers have already copied and realised performance change, it is possible to collect baseline information through recall, and behaviour and performance changes at the same time as gathering information on the copying ratio.)<sup>27</sup>

## 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 6.1. However whereas the programme can predict the *intended* impact of copying and crowding in, the other indirect effects occur are more likely to be *unintended*. 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, BDO Assistant and Information Manager** is closely consulted in obtaining information relating to systemic change is in charge of conducting qualitative surveys and assembling qualitative data. When it is identified that systemic change has occurred, the **M&E Unit** selects the best suitable form for measuring the indicators for indirect impact.

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<sup>27</sup> However, in the programme coverage area the impact of copying is rarely reported, because the market is still thin and scale of farmers who copied the behavior are mostly overlapping the scale already achieved either from the direct programme clients or from the crowding in service providers. For example, if farmer copied the behavior of the neighbours and start selling milk to the programme facilitated milk processor, it will be captured among the direct beneficiaries of this milk processors.

## 7. GENDER & WOMEN'S ECONOMIC EMPOWERMENT

*Gender is integral to every programme activity and is included from the first in every step of the programme cycle.*

### GENDER AND WOMEN'S ECONOMIC EMPOWERMENT & THE ALCP

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>28</sup> in 2012 which includes a framework for use throughout the M4P programme cycle<sup>29</sup>. M&E is the final part of the framework and offers solid guidance to incorporating WEE into the M&E system, which goes beyond disaggregating gender data and includes guidance on the development of results chains, indicators, the establishment of baselines, monitoring plans, analysis, decision making and reporting. The framework is in use by the programme ([See Part B of the document](#)). The process of developing guidelines for results measurement in WEE has continued, to include the DCED commissioned *Guidelines for Measuring WEE in Private Sector Development* (2015). The ALCP was one of two case studies in both documents. The guidance provided in this chapter concerning the methods in use to capture WEE in the ALCP, can be seen in detail and placed in a wider context of gender and WEE implementation and measurement in PSD/market systems programming, in the latter.

### 7.1 Measurement Methods Applied to Gender Monitoring

In the ALCP all reported changes in key indicators, describing outputs and outcomes for farmers are gender disaggregated in a meaningful manner. If an exception occurs and results are not gender disaggregated, valid justification has to be provided. The rest of this chapter describes how the programme meets gender needs and how it is reflected in the monitoring system. In the main, the measurement methods and attribution strategy (which have been documented in detail in this manual) are applied to gender disaggregated data. According to the DCED standard and SDC requirements in the OMC, the universal impact indicators must be gender disaggregated see Table 1 below:

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

DCED Standard	ALCP
<i>Scale:</i> "Data should be divided to show the relative numbers of male- and female-owned SMEs".	Major target beneficiaries: SSLP HH's access to services , information & markets & ALCP clients and/or supported entities (more than 90% of whom are SME's)
<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	Major target beneficiaries: SSLP HH's & ALCP clients and/or supported entities (more than 90% of whom are SME's)

<sup>28</sup> 2012 the Alliances Programme was one of the two programmes chosen as a case study for the development of the guidelines.

<sup>29</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.

SMEs and male workers compared to female workers”.	
<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”.	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 assumptions based on qualitative data that allows for an interpretation of the figures beyond face value.<sup>30</sup> GDD does not show the economic empowerment of women. Developing and applying these assumptions and applying them to GDD to present a picture of WEE is discussed in the following section. 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:

*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 and clients collecting data also often record their female suppliers or customers by HH i.e. the male name. *This leads the programme to have to devise ways of data collection which somehow shows the sex of the purchaser.*

*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.*

*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.*

*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

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<sup>30</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.

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.*

#### ASSUMPTION DEVELOPMENT AND TESTING

The assumptions developed from qualitative data relating to women i.e. from the market analysis, focus group surveys, gender analysis and ongoing analysis are tested midway through the programme cycle to verify their application to GDD and their use in the development of WEE indicators. This survey is statistically significant to a 95% confidence level. The assumptions include the profiles of the target beneficiaries within their communities, working lives and homes, roles, responsibilities within the target market systems and access and control over resources.

#### APPLYING ASSUMPTIONS TO GENDER DISAGGREGATED DATA AND DEVELOPING WEE INDICATORS:

The application of assumptions to GDD allows for the development of WEE indicators. See Table 2 below which illustrates the interpretation Outcome level Universal Impact indicators for scale and NAIC according to programme assumptions.

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

Description of Outcome Specifics	Assumption Applied	Examples of Interpreted Data for Development to WEE Indicator
Outcome 1: Interventions which generate income through supporting functions and gains in productivity. The gender disaggregated results show who is buying the livestock related inputs and services. The impact assessment triangulated with service provider data determines where women access the services.	Women who are buying and accessing livestock related services and products (improved bull service, veterinary services, improved nutrition, quality information, financial products for purchasing machinery) have some control over expenditure and budgeting related to livestock.	<b>Scale:</b> # of beneficiary HHs with women with some measure of control regarding HH expenditure & budgeting regarding livestock;
		<b>Income:</b> % of the income for beneficiaries generated through proper usage of veterinary services/AI/nutritional input for the livestock is accessed by Women.
Outcome 2: Interventions which generate income through improved market access as suppliers of milk, meat, honey and wool.  The GDD gives a picture of who has directly received money for dairy products or meat, wool or honey they have sold.	Women who are receiving cash from producer entities traders and/or intermediaries have some measure of access to and agency over cash generated as revenue through livestock related HH activities	<b>Scale:</b> # beneficiary HH's women are receiving cash from supplier entities and intermediaries and have some measure of direct access to cash generated as revenue on livestock related HH activities;
		<b>Income:</b> A % share of the income generated through improved access to market is directly accessible to women.
Outcome 3: Interventions which generate non-financial benefits; i.e. public goods,	Women present in community and municipality level meetings are more likely to take part in	<b>Scale:</b> % of community meeting participants are women and take part in decision making processes leading to

through access to decision making and improved governance on key livestock market system related issues e.g. DRR related to animal disease notification and control, human wildlife interface, Animal Movement Route.	decision making process at public and HH levels which could lead to more control over livelihood related strategies and public goods.	more involvement and control over livelihood related strategies and public goods.
The gender disaggregated results for this Outcome give an indication of who received direct access to information or services generated by the outcome.	Women's involvement in the DRRWG's and as recipients of DRR public goods 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.	<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.

## 7.2 Measuring WEE

Measuring WEE requires a commitment to ensuring that WEE is present in every aspect of programme design and implementation and that necessary instruments are employed at the right time in the programme cycle. It will entail research at the HH level which will have to gauge what can and cannot be sensitively measured within the complex gender relations of the HH and community and an additional survey in the form of the WEE Assumptions Testing Survey (see assumptions development and testing above). Success in measuring WEE indicators will be improved by using indicators that are within the scope and experience of the programme remit. The generation and use of WEE indicators and their employment within the wider programme gender and WEE apparatus and tools, specifically the use of *gender sensitized* and *gender overt* interventions are discussed below

### GENERATING AND USING WEE INDICATORS

Gaging the level of the economic empowerment of women affected by interventions involves looking at *Access* to the benefits incurred and the *Agency* of women over them i.e. how much control, decision making power and utility they have over them. The assumptions form the basis for the development of WEE indicators for insertion into monitoring plans.

In the ALCP they correspond to:

**Access** to services, markets, income, public goods, time saved.

**Agency** over HH budgeting and expenditure related to livestock, time saved and decision making related to livelihood choices/public goods.

## GENERATING WEE INDICATORS

### Box 4: The Three Step Process for Generating WEE Indicators

The process of generating WEE indicators can be simplified by the use of a three step process:

1. Clearly transcribe the GDD indicator.
2. Clearly expound/voice the assumption that is being made in terms of the impact of the particular GDD indicator on WEE.
3. Convert the assumption into a WEE indicator.

Two **examples of this process of generating WEE indicators are shown below**. As with all indicators these should be SMART<sup>31</sup>:

**Example 1: Aim:** To measure the increase in decision making and choice over livelihoods due to increased access to community decision making fora:

#### Gender Disaggregated Indicator

# women have access to community decision making fora through community meetings

#### Assumption

# women who attend community meetings use the opportunity to vote to access public goods which provide improved livelihood options.

#### WEE Indicator

# women exercising choice over public goods which positively benefit their livelihoods.

**Example 2: Aim:** To measure the increase in decision making over the use of income by women through their increased income from improved market access.

#### Gender Disaggregated Indicator(s)

# women who have been linked to an improved market for a commodity and have increased NAIC.

#### Assumption:

# women have access to and bring money into the HH and are empowered through having a measure of control over it.

#### WEE Indicator

# of women who make decisions regarding HH expenditure related to livestock/livestock based livelihoods.

## USING QUALITATIVE DATA WITH WEE INDICATORS

As with all indicators the impact will be made much more meaningful *by the addition of appropriate qualitative data which should be collected from informants on an annual basis* as shown below:

*Example:* Of the XXX women who were facilitated to have improved access to market and had increased NAIC as a result, 75% have reported that they have far more control over the use of the income from the commodity which they produce and supply themselves now that the factory they supply is buying daily/weekly/monthly and they are sure of a sale. Women have reported that it is easier for them now as and that they have more respect within the HH as the factory is well respected in the community. Women have reported that they have been able to invest in better equipment (empowered to invest in livelihood) they have been able to pay for extra tuition for their children and pay for health and dental treatment for children previously too expensive etc (empowered to invest in family).

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<sup>31</sup> Specific, Measurable, Attainable, Relevant & Time bound.



## 7.2 Gender Sensitized Interventions and Gender Overt Interventions

### GENDER SENSITIZED INTERVENTIONS

Alliances uses *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 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 intervention results chain development process (Please refer to the relevant sections for the general process into which gender is mainstreamed).

To build in the gender sensitized change boxes in the results chain steps the following steps are taken:

1. The gender disaggregated focus group survey, gendered market analysis and gender analysis conducted prior to the intervention, study the specifics of women's role in the market: including the constraints and most importantly the opportunities/entry points in the market. The knowledge gained is reflected in investment plans also in the intervention rationale<sup>32</sup>, and is used for planning GSI activities and expected outputs and possibly outcomes which are incorporated into the results chain.
2. The gender sensitized activities are incorporated in the results chains as GSI boxes and describe activities specific to women and the outputs and sometimes outcomes that are expected specific to women<sup>33</sup>. These are included in the respective monitoring plans.
3. In addition to the specific GSI change steps mentioned above, quantitative and qualitative indicators for all 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>34</sup>.

The GSI method enables the better targeting of interventions to achieve equitable impact and the 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

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<sup>32</sup> See intervention rationale table.

<sup>33</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>34</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.

roles women play as suppliers and customers and allows for intervention design which builds in more sustainability for the business as well as for the intervention<sup>35</sup>.

#### 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>36</sup> the programme is addressing women's access to decision making. This intervention focuses entirely on women as a target group and reflects a programmatic focus on a cross cutting constraint in the operating environment for women diagnosed in the gender/market analysis and one which offered a leverage point for systemic change<sup>37</sup>. The results chain therefore is one in which every change step is specific to the WEE change pathway. The monitoring of GOI's follow 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 is part of the market analysis process and is supervised by the **Team Leader** and overseen by the Programme Managers and M and E Unit, and is 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 MP1's & MP2's as part of the monitoring of gender specific indicators and overt gender interventions are the responsibilities of **BDO's, M&E Coordinator / M&E Officers** and **Information Manager**<sup>38</sup>. The WEE Assumptions testing survey is carried out mid cycle overseen by the **Team Leader** as above and may involve an external research organisation. 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**.

## 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 the **Senior Programme management**. Annual revised budgets are prepared as a contractual condition between Mercy Corps as the implementing partner and the donor SDC. Unaudited accounts are provided bi-annually. In addition

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<sup>35</sup> Note: This often referred to as 'making the business case for women' ( see *Making the Business Case: WEE in Market Systems Development* (2015) USAID LEO) based on the idea that an upfront idea pitched to the business proving the economic or 'business' worth of women is necessary to ensure WEE in programming. In the ALCP the belief is that stemming from the research and correct choice of sector and the selection of the correct entry points the WEE process can be more natural and more iterative. It is in fact the facilitator i.e. the programme who must carry the responsibility for engineering WEE rather than the business, by understanding and leveraging opportunities from within the operating environment. It is context specific, flexible and is based on a clear understanding of the role of facilitator and the role of client. For more on the investments process please see the *ALCP Investments Manual version 2 2015-2019*.

<sup>36</sup> And in which local and regional government are facilitated as the key market players.

<sup>37</sup> In the form of new gender laws in place but not being enacted in local municipalities.

<sup>38</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.

the programmatic investment budget is reported in every bi-annual and annual report (available on [www.alcp.ge](http://www.alcp.ge)) 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

## 9. 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)
- 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

### 9.1 Bi and Annual Reports

Programme reports are written on a bi-annual and annual basis by the Team Leader 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 Steering Committee 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.

### 9.2 Qualitative Reporting

Aggregating and reporting on qualitative information requires a written *Synthesis report* to be produced per phase for each discrete intervention or for aggregated interventions of a similar type e.g. dairy sector 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.

## **9.2. Standby Phase Reporting**

The results of the first standby phase will be assessed and fed back into the programming. The results will include a slant towards infographics and the attempt to identify broader impact and synergistic themes which may be represented graphically. Lessons learned from final standby phases will be packaged for broader dissemination and use in the market systems development community. A draft report will be prepared at the end of the first year followed by a final report in SJ (end 2016) and KK (February 2019) and one final report in AJ which has a one year standby phase in February 2019.

## **9.3 Publishing Results**

Subject to the approval of SDC the bi and annual reports are published on the programme ([www.alcp.ge](http://www.alcp.ge)) and Mercy Corps website ([www.mercycorps.ge](http://www.mercycorps.ge)) 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.

As the programme impact has grown material and analysis is being fed into numerous channels on M4P and WEE for DCED, USAID LEO, BEAM, SDC amongst other. All reports are available on the programme website.

## **9.4 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 **Team Leader** based on the data provided by **M&E Coordinator, Information Manager** and the **BDOs** facilitated by the **Programme Managers**. It is checked by the **Country Director** and the **Georgia Programme Officer in HQ**. On an ongoing basis the **Information Manager** for qualitative data and **M&E Coordinator** quantitative data are expected to provide data as and when required as needs for results dissemination occur (see above).

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

As stated in the introduction the ALCP Programme is committed to the interdependency of management and monitoring. All programme and M&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&E procedures and how they intersect as shown in the *Programme Work Flow Diagram*. (See Figure 2)
- Comprehensive written guidance in the ALCP M & E Manual and the ALCP Investments Manual Version 2 2015-2019
- *Bi-Monthly Monitoring Action Plan* meetings for M&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>39</sup> of funding (which forms part of the risk management in the implementation strategy) results and results chains are reviewed.
- *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 *Bi-monthly MAP meeting* after which corrective

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<sup>39</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 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. For more on the investment process including phasing, additional funding and risk management see the *ALCP Investments Manual 2015-2019*.

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&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.alcp.ge](http://www.alcp.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.

## **10.2 Timing, Roles and Responsibilities**

**BDO's** are responsible for collecting and organising their data for each monthly Bi-monthly MAP meeting aided by the **M&E Officers** and advised by the **M&E Coordinator and Information Manager**. The **M&E Coordinator / M&E Officers** is responsible for helping **BDO's** present and interpret their results ahead of the meeting and attempt to troubleshoot ahead of time. The **Information Manager** is responsible for scheduling the meeting and producing the meeting minutes. The **Team Leader** 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.

## ANNEX 1: RESULTS CHAINS FOR OUTCOME 1 &2 AND 3

*Note:* For a Gender Overt Intervention all results chain boxes would be pink.

### 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>40</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>41</sup>.

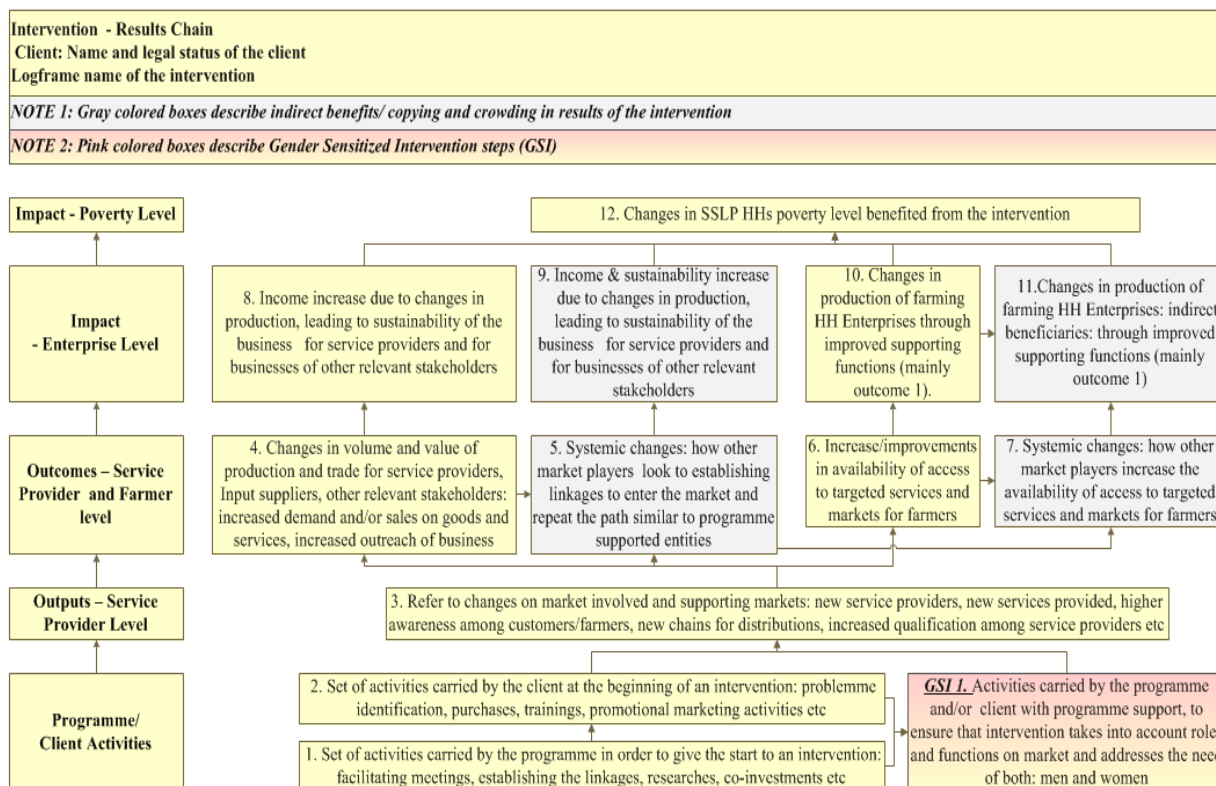
See Outcome 1 &2 template Results Chains below:

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<sup>40</sup> For business sustainability the 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>41</sup> As for the interventions generating job places, they are relatively few but are captured in the monitoring plans.



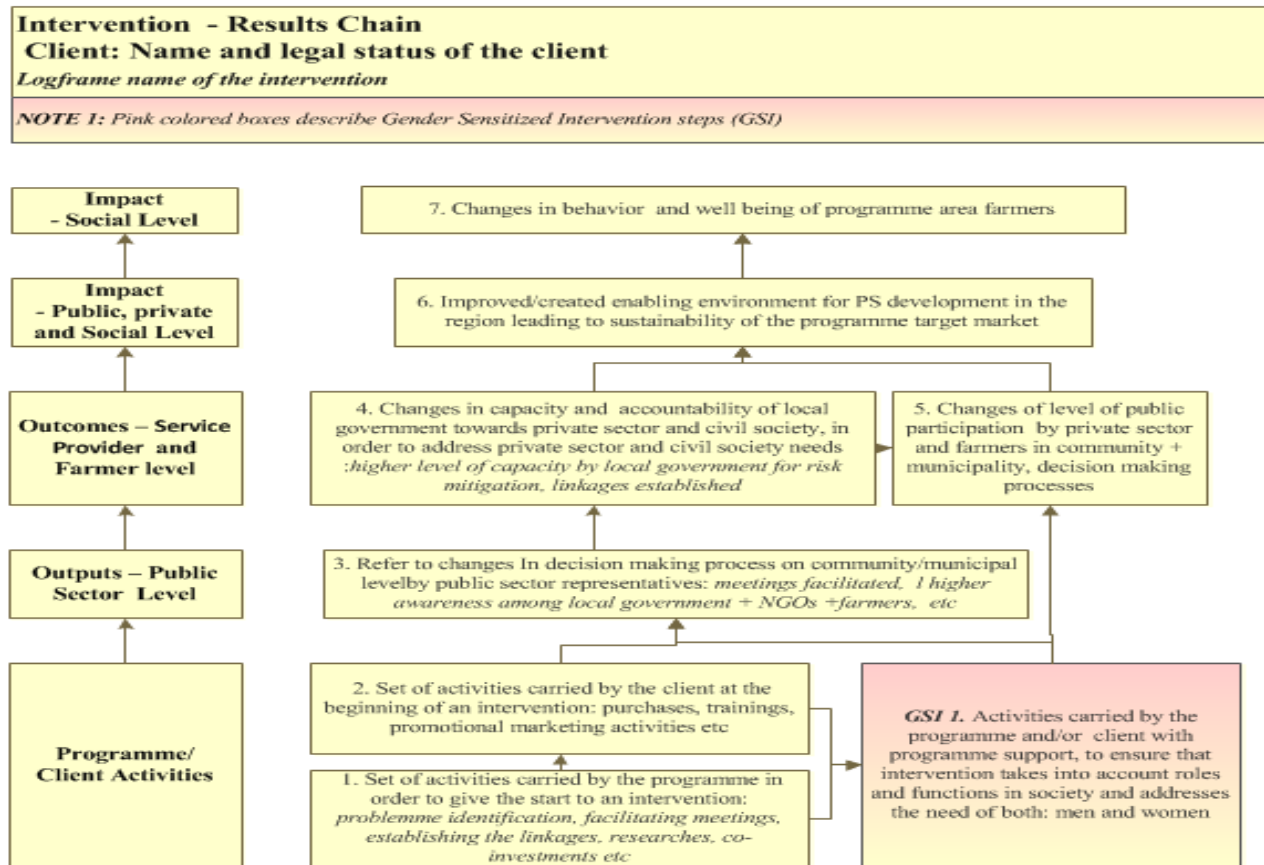


**Outcome 3 Results Chains:** concern the transversal themes of gender, governance and DRR within the context of local government having enhanced capacity to support a durable agricultural sector, they map out the expected results for main market players which under Outcome 3 are mainly local, regional 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 ALCP 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

<b>Intervention Rationale /Summary of Supporting Researches : 1.1.1 Intervention 1</b> <b>Client: Vet pharmacy supplier</b> <b>Intervention Starting Date: 12/01/2012</b>							
<b>Title in the Logframe: <i>The logframe title for the intervention</i></b>							
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>42</sup> Expected displacement is recorded on three level of value chain:  <b>1. Input Supplier;</b>  <b>2. Service</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	This section reports on following topics:  1.Starting position/situation prior to the intervention - constraints and possibilities women face while involved in specific business (e.g.: low knowledge of upcoming food safety law among milking ladies);  2. Gender Mainstreaming - description of the ways intervention addresses the situation i.e. GSI and explains why this particular activity is relevant
	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				

<sup>42</sup> It should be stressed once more that due to thin market, and programme strategy large effects of displacement are not expected.

Impact - Enterprise Level	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	<b>Provider;</b> <b>3. Farmers;</b>
	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	
	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	
	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	<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	The Intervention Supporting Documents	

and/or area.	for thee situation.
3. Changes in economic environment (e.g. very high inflation)	3. Universal Indicators – Reports on how the Universal impact indicators can be translated for men and women separately.

Impact - Poverty Level	functions (mainly outcome 1).	and/or outcome to this impact.				
	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			
	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			

## ANNEX 3 INVESTMENT PLAN CONTENTS PAGE

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<b>თუ შესაძლებელია გთხოვთ წარადგინოთ ბოლო 3 წლის მონაცემები. გთხოვთ უჩვენოთ შემდეგი წლის სამიზნე</b> .....	
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## ANNEX 4: MONITORING PLAN 1&2

### Monitoring Plan 1

Intervention Monitoring Plan - Scalable Indicators: 1.1.1 Intervention 1

Client: Vet pharmacy supplier - LTD

Intervention Starting Date: 17.01.2012

Intervention Second Phase Starting Date: 01.02.2013

Intervention Title: 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				Baseline <i>(September 2011)</i>	Programme I Phase achievements <i>(September 2011 – February 2014)</i>	Targeted Impact	Actual impact	Progress against target, %	
			Baseline data	Targets	Continuous monitoring : <i>Data collection frequency</i>	Continuous monitoring : Source Document and Person in Charge						
Outputs – Service Provider & Farmer Level	10. Vet pharmacy supplier has established effective distribution chain between Tbilisi and Vet Pharmacies with provision of vet drugs on wholesale price based on improved storage system and avoids losses of production (due to expiration)	10.1 Average # of visits to Vet Pharmacies by Vet pharmacy supplier in order to distribute medicine, per month	Verification document: Investment Plan Data collection methodology: In-depth Interview	Clients' data Calculation: Investment plan – client suggestion Documents/sources used for setting targets: Investment plan	Quarterly	Quarterly Field Check Senior BDO1		2	4	4	24	600%
		10.2 # of vet pharmacies facilitated during the intervention						0	11	11	11	100%
	11. (SPI) 5 new satellite Vet Pharmacies service centers are opened, in the villages, staffed by trained satellite Vets	11.1 SPI # of trained satellite vets with links to Vet pharmacies, during the intervention/project lifetime						0	5	5	2	40%
		11.2 # of trainings held for vets and farmers, during the intervention/project lifetime						0	10	10	4	40%
	12. (SPI) Vet pharmacy and weighing service is available in local livestock market and their customers	12.1 SPI Average # of customers of livestock market using weighing monthly						0	350	360	62	17%
	13. Reliable information regarding the availability of, the need for and the advice available at the new veterinary services in municipalities, villages including new programme area is available to farmers in the region	13.1 # of promotional activities held by Vet pharmacy supplier						0	3	3	0	0%
	14. Veterinary inputs supplier Vet pharmacy supplier has increased sales through Vet Pharmacies + builds expanded outreach through satellite Vets and the new	14.1 Value of sales of satellite vets and Vet Pharmacies, during the project lifetime						31,713	727,962	171,250	89,256	52%

## Monitoring Plan 2

### Intervention Monitoring Plan - Capturing Behavioral Changes 1.1.1 Intervention 1

Client: Vet pharmacy supplier - LTD

Intervention Starting Date: 17.01.2012

Intervention Second Phase Starting Date: 01.02.2013

Intervention Third Phase Starting Date: 23.07.2014

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

Level	Result Chain Steps	Indicators	Monitoring Check Frequency	Methodology Applied	Key Questions	Number and Demographical		Baseline	Second Interview		Third Interview		Fourth Interview	
						For Baseline information	For Actual Impact	Date	The Main Findings! <i>[(The conditions observed and the tendencies caught among the respondents prior the intervention)]</i>	Date	The Main Findings! Results Reporting <i>[(The behavioral changes captured among the respondents due to the programme activities)]</i>	Date	The Main Findings! Results Reporting <i>[(The behavioral changes captured among the respondents due to the programme activities)]</i>	Date
Outputs – Service Provider & Farmer Level	10. Vet pharmacy supplier has established effective distribution chain between Tbilisi and Vet Pharmacies with provision of vet drugs on wholesale price based on improved storage system and avoids losses of production (due to expiration)	10.1 Improvement of the Vet Drugs distribution/supply chain between Vet pharmacy supplier and local Vet Pharmacies achieved during the project lifetime	Annual	<b>Baseline</b> - Semi-structured, face to face int. with SP, Input Supplier <b>Actual Impact</b> - In-depth interview with Input supplier; Semi-structured, face to face int. with Service Providers	<b>Service provider</b> • To what extent has the distribution improved over the last year? • Which units of distribution is working well and where are the constraints? <b>Service provider</b> How would you evaluate the service provision from Input Supplier? • Cost of the drugs; • Variety of the drugs; • Period of the provision of the drugs; • Quality of the drugs  <b>Service providers</b> To what extent are the trainings/ hotline and other remote information needs adequate in terms of content/thematic as well as technical (location, time) indicators? To what extent can the Vet Pharmacies apply the knowledge in practice and thus provide farmers with qualified consultation? <b>Farmers</b> To what extent did the confidence of Vet Pharmacies increase in the	Input Supplier - Client, LTD Vet pharmacy supplier Service Provider - local Vet Pharmacies - (3)	Input Supplier - Client, LTD Vet pharmacy supplier Service Provider - local Vet Pharmacies - (3)	January, 2012 • Distribution linkages are absent or weak, fragmented and uncoordinated in the region • Absent system of distribution is leading to high unit of transaction costs and other possible expenses causing loss of income. • Vets are not proactive in marketing their services • There is no access to the service for farmers or the service is not in compliance with the standards • Licensing the vets is in a state of distraction • Drugs are expensive as they are purchased in small quantities from Tbilisi  Key systemic constraint (s) are weak vet services which arise from their lack of the knowledge in new technologies, drugs and food production as well as the timely vaccination for the livestock. There is limited or no practice of diseased livestock diagnosis, or their further treatment. Instead the traditional remedy for the healing of livestock is popular. Women tend to be engaged in livestock husbandry more than	January, 2013 • The vet pharmacies were identified in urban and rural areas for partnership. • The infrastructure of the vet pharmacy was upgraded. • The veterinarians got familiar with the principles of professional, ethical and organizational nature. • Vet pharmacies are supplied with vet drugs once a week. • Improved infrastructure and increased awareness contributed to the raise of the vet service demand within the local farmers. • The motivation of the veterinarians was increased. • A number of needs for the improvement of veterinary services and expansion of the vet service to the new territorial locations were identified, which created new perspectives for the vet business development. • Vet pharmacies were given all the necessary warehouse facilities that are essential for the safe storage of vet drugs;  • Hot line- Vet pharmacies were provided with the corporate numbers of Hot Line. In case the veterinarian can not make decisions for the specific occasion, he/she can make a call and receive an advice from "Vet pharmacy supplier" consultants. The farmers can also use the hot line; however, there are only few cases of farmer's using hot line. • The training - the trainings were conducted for the three target groups- farmers, veterinarians, vet pharmacies where they were introduced to the sales skills, the essential ethics and veterinarian-client relationship rules as well as marketing and effective management related issues. • Mobile visits-Unscheduled mobile visits are periodically arranged. Therefore, attending the information session can be also considered because "Vet pharmacies supplier"	January, 2014 • Widespread change in veterinary services and increased potential for business profitability through various improvements and innovations. • Improved distribution chain; sales are more organized and planned. • 237 vet pharmacies throughout the country and out of them 30 vet pharmacies from Kvemo Kartli have benefited through improved services and access to relevant information, that leads to improved awareness of preventive activities, new generation of vet medicines and management skills.	January, 2015 Farmers in Ajara have showed their interest in veterinary services, as they ask for the advice more often and have seen the importance of the veterinary services for their cattle. Farmers receiving local consultation and treatment reduce their transaction costs, save their time and energy			
	11. Reliable information regarding the availability of, the need for and the advice available at the new veterinary services in municipalities, villages including new programme area is available to farmers in the region	11.1. Increase of the veterinary knowledge among Vets and female and male farmers (perceived & demonstrated), during the project lifetime	Annual	<b>Baseline, Actual Impact</b> - Semi-structured int. with SPs/farmers		<b>Service Provider</b> - local Vet Pharmacies (3) farmers - 6 apply, 4 not apply (50% are women)  <b>Service Provider</b> - local Vet Pharmacies (3) farmers - 6 apply, 4 not apply (50% are women)	January, 2012 Key systemic constraint (s) are weak vet services which arise from their lack of the knowledge in new technologies, drugs and food production as well as the timely vaccination for the livestock. There is limited or no practice of diseased livestock diagnosis, or their further treatment. Instead the traditional remedy for the healing of livestock is popular. Women tend to be engaged in livestock husbandry more than	January, 2013 • Hot line- Vet pharmacies were provided with the corporate numbers of Hot Line. In case the veterinarian can not make decisions for the specific occasion, he/she can make a call and receive an advice from "Vet pharmacy supplier" consultants. The farmers can also use the hot line; however, there are only few cases of farmer's using hot line. • The training - the trainings were conducted for the three target groups- farmers, veterinarians, vet pharmacies where they were introduced to the sales skills, the essential ethics and veterinarian-client relationship rules as well as marketing and effective management related issues. • Mobile visits-Unscheduled mobile visits are periodically arranged. Therefore, attending the information session can be also considered because "Vet pharmacies supplier"	January, 2014 • Errors recursion norms case per year were on average 1,263, now 2,512. • An individually relation strategy approach to each of vets and pharmacists, who got a sense of gratitude and a sense of responsibility in the trade relations, on the other hand Vet pharmacy supplier realized that the vets and pharmacists' development and motivation are important to its business success and they have significant role in their marketing strategy. • Female and male farmers are satisfied with services and the benefits based on what they pay for, they stated that price, frequency of supply and quality of services are adequate to each other	January, 2015 • Pre intervention norms case per year were on average 43,180, now are 12,180 throughout the country. Vet pharmacy supplier has conducted 4 times 2 days trainings in Zugdidi and 5 times 1 day training in Tbilisi for 20 vets from Gali region, Abkhazia. "Accion Contra el Hambre" (ACF) and the Government of Abkhazia has organized the training. Training participants have received Vet pharmacy supplier's Manuals on Preventive Activities on Livestock Diseases facilitated by the ALCP programme. As Vet pharmacy supplier noted, the Manual's information has				



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

**Table 3: Data Collection and Research Methods Used in ALCP**

Programme Wide				
Surveys & Tools	Study Topic	The role/function in the system	Methodology applied	Timing
Market Analysis	Sectors and value chains targeted by the programme on national and local level	<p><i>Strategic planning:</i> contributes to programme &amp;/or sector strategy along with focus groups surveys.</p> <p><i>Attribution:</i> Gathers information for all relevant key change indicators prior the programme affect (before analysis)</p> <p><i>Secondary use:</i> Builds a foundation for the on-going analyses.</p>	<p><i>Tools:</i> desk research, key informant interviews.</p>	Beginning of programme or new phase in new area and ongoing.
Focus Group Surveys	Baseline Assumptions Testing/Early Impact	<p><i>Strategic planning:</i> Documents the perspectives, trends, attitudes and day to day activities of female and male farmers in relation to the supporting functions, core markets and rules of the sub sectors of the livestock market in which the programme operates, namely the dairy, beef and sheep and honey sectors. .</p>	<p><i>Tools:</i> semi structured questionnaire</p> <p><i>Target Population:</i> Households involved in livestock husbandry in target communities</p> <p><i>Sampling:</i> based on: altitude, number of households involved in livestock husbandry in target communities, other criteria like: number of producing and processing enterprises in target communities. Sample should reflect ethnic/religion composition of the target population.</p>	Beginning of programme or new phase in new area.
Programme Baseline Assessments	Baseline assessment of main scale and income, indicators.	<p><i>Strategic planning:</i> contributes to programme &amp;/or sector strategy along with focus groups surveys.</p> <p><i>Attribution:</i> Gathers information for all relevant key change indicators prior the programme affect (before analysis)</p> <p><i>Secondary use:</i> Builds a foundation for the on-going analyses, and enables a justifiable continuous monitoring system.</p>	<p><i>Tools:</i> fully structured questionnaire;</p> <p><i>Target Population:</i> Rural Population in target area;</p> <p><i>Sampling:</i> Random, with Multi-stage cluster (Clusters: 1. Municipality, 2. Ethnicity and/or Religion).</p> <p><i>Data type:</i> rotating panel</p> <p>Statistically representative for the region: With confidence interval</p>	Beginning of programme or new phase in new area.

<b>Programme Impact Assessments</b>	<p>Programme Impact assessment for changes of main scale and income, indicators.</p> <p>Assessment of all interventions simultaneously as interventions from 3 outcomes are implemented to leverage synergy between them.</p>	<p><i>Attribution:</i> Impact assessment data along with baseline data measures the programme impact and builds a robust part in the triangulation of the data.</p> <p>Homogeneous affected and non-affected groups are compared for obtaining the impact.</p> <p><i>Secondary use:</i> further justifies and corrects (if needed) programme used assumptions and calculation methods</p>	95%, and significance level 5%;	End of phases and stand by phase analyses.
<b>WEE studies</b>	<p>Studies agency i.e. control and ability to use resources along with the main quantitative (access, income) indicators.</p>	<p><i>Strategic planning:</i> Validates program assumptions regarding women taken from the baseline for roles and responsibilities, access and control.</p> <p>Deepens understanding to calibrate interventions accordingly.</p> <p>Deepens understanding of cross cutting problems faced by women in the region – for designing Gender Overt Interventions.</p> <p><i>Attribution:</i> captures attributable changes in WEE indicators</p> <p><i>Secondary use:</i> Finding key information for better structuring WEE questions for the Impact Assessment.</p>	<p>The same methodology as for baseline and impact assessment surveys is applied. The only differences are:</p> <ul style="list-style-type: none"> <li>- Only women respondents are interviewed;</li> <li>- Questionnaire is designed according to the study topic.</li> </ul>	End of Phase
<b>Systemic Change Log</b>	<p>Studies programme caused indirect changes in markets systems like: sector growth, copying and crowding in</p>	<p><i>Strategic planning:</i> Used for understanding broader interactions and generating further scale. Describes business model replicability and the likelihood of the sustainability of intervention results</p> <p><i>Attribution:</i> Programme reports on the changes which are caused by the programme</p> <p><i>Secondary use:</i> Captures key behaviour changes</p>	Table into which instances of systemic change reported by clients & programme staff and other market actors are logged and verified for attribution before being entered into the MP's	Ongoing

## ANNEX 6: FACTORS CONSIDERED IN THE ATTRIBUTION STRATEGY

Factor that can cause a bias while attributing	The reasons for the factor to be relevant to the programme and actual in the region	The assumptions applied	The general method of attribution applied by the programme, while calculating.
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 ALCP project and other donor</i>  <i>Expected influence of the investment on the sector in general</i>  <i>Expected influence of the investment on the particular interventions</i>
	2. Other donor or non- governmental/governmental funds allocated to support any of ALCP clients or supported entity.	This type of other public funding is most likely to affect the results of a	The results are assigned the weights according to several criteria:

	<p>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>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><i>Shares of the investment of ALCP 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 ALCP 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 and accuracy it is preferable to subtract cumulatively for three actual years inflation than count for expected ones.	N/A	For each year the actual inflation rate from NBG will be subtracted from total results during the impact assessment.
Changes in legislative environment	Not all the changes in legislative environment should be considered but the ones that might affect the programme results. Like the following:	N/A	The general method of attribution applied by the programme will depend on type and character of the change and will be discussed

	<p>New food safety and hygiene law;</p> <p>Changes in labour code;</p> <p>Changes in agricultural policy.</p> <p>Changes in VAT impacting leasing, agricultural products.</p>		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;</p> <p>Market changes affecting the supply/demand of value chain goods, in the programme area;</p> <p>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.)</p> <p>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.

## ANNEX 7: BI AND ANNUAL REPORTING TEMPLATE

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

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## ANNEX 8: ALCP SYSTEMIC CHANGE LOG

#	Programme Client's & Intervention Name	Type of Systemic Change	Verification		Impact Calculation added to system  (Y/N)  (Direct/Indirect/ Quant/Qual/ Both)	Location  (Region, Municipality)	Starting Date	Business Description & Stability	Attribution to the Programme	Calculation Jobs, scale & income  (min 1)
			Source	Verified /not Verified  (& date if verified)						
1	1.1.1 Client X veterinary	Crowding in	Client/BDO	Verified/ February 2015	Y  Indirect  Both	XXX	February 2015	1 female vet in X engaged with X LTD independently and opened a vet pharmacy	X has started distribution to X after the programme facilitation including X	200 customers (Per month)
2	1.1.1 Client Y nutrition	Business Expansion	Client Supported entity	Verified/ February 2015	Y  Direct  Both	XXX	October 2014	2 additional vet pharmacies established in X Village.	Programme facilitation with X Ltd included X's X pharmacy the improved business model convinced the owner to open two more	150 customers (Per month)