



## Self-Assessment Checklist: Monitoring and Evaluation

The Code of Good Practice for NGOs Responding to HIV/AIDS (the 'Code') defines Monitoring and Evaluation as:

**Monitoring** is the periodic oversight in the implementation of an activity, intervention, project or programme. It seeks to establish if inputs (resources invested), processes (activities undertaken and their quality) and outputs (direct deliverables) are proceeding according to plan. It includes the regular collection and analysis of data to assist timely decision-making, ensure accountability and provide the basis for evaluations and learning.

**Evaluation** is a process that aims to determine as systematically and objectively as possible, the relevance, effectiveness, efficiency, merits (value-added), sustainability and/or impact of an intervention, project or programme. It aims to provide valuable management information, judge the value and merits of an intervention, and draw lessons for future actions and decision making.



### The Code identifies one key principle on Monitoring and Evaluation (M&E):

- We plan, monitor and evaluate programmes for effectiveness and in response to community need.

That said, none of the Code's principles - particularly principles on programming - can be met without proper monitoring and evaluation, and the resulting ability to draw and share lessons learned.

This self-assessment checklist will help you assess the degree to which your organisation is successfully implementing this principle. The questions are designed to be thinking points/guidelines to help you identify areas that are already at a 'good practice' level, and areas that need to be developed and strengthened.

### author

This module was developed by the International HIV/AIDS Alliance.



## Self-Assessment Checklist: Monitoring and Evaluation

### Self-Assessment Instructions

This checklist should be completed by a group of three to five staff members who are involved with the M&E of projects and programmes at your organisation.

Please indicate your answer by marking the appropriate box.

- Y** Yes, we undertake this work/activity
- I** Insufficient, in preparation, or being considered
- N** No, we've not yet tackled this work/activity
- NR** Not relevant to our work

The focus in this module is on monitoring and evaluation of programmes and projects, however, an effective system of M&E should also be an integral part of the operations and functions of an organisation itself.

**Please be honest in completing this checklist.** It is expected that your scoring will vary between modules, depending on your area of expertise.

**There is no formalized scoring process for this assessment. Instead, we suggest that you look at the questions that you answered 'no' or 'insufficient' to, and then select areas that are most relevant for your organisation to improve upon in the short-term.**

### Action Plan

We challenge you to use this tool to identify areas that your organisation needs to strengthen in order to reach a 'good practice' level, and then develop a brief Action Plan that highlights examples of HOW you will improve your M&E systems over the next six months. You can use the Action Plan template provided at the end of this module or create your own.

**There are ten Key Questions highlighted in the checklist in red.** These questions address fundamental issues that you need to consider first when assessing your organisation's M&E systems. As you develop your Action Plan, keep these questions in mind and if you have answered 'no' to any of them, this would be a good starting point for improving your programmes!

#### How to save the Action Plan:

Complete the self-assessment module and Action Plan electronically, save the file and submit it to the Code Secretariat by email. The Secretariat will credit all NGOs that submit Action Plans as 'Implementing' NGOs and full signatories of the Code. After the period of six months, we will ask you to measure your progress against your Action Plan.

### the Code

The Code of Good Practice for NGOs Responding to HIV/AIDS (the 'Code') was created by a broad consortium of NGOs to provide a shared vision of good practice to which NGOs can commit and be held accountable.

The Code outlines principles and practices that are informed by evidence and underscore successful NGO responses to HIV. It identifies a series of areas that are key to HIV programming and articulates fundamental principles that should be applied to HIV programmes in each of these areas.

These principles are aspirational, setting out examples of good practice that NGOs can work towards over time.

**For more information on the Code, go to [www.hivcode.org](http://www.hivcode.org)**



# Checklist

Please indicate your answer by marking the appropriate box.

**Y** Yes, we undertake this work/activity

**I** Insufficient, in preparation, or being considered

**N** No, we've not yet tackled this work/activity

**NR** Not relevant to our work

## A M&E Planning

An M&E plan should include objectives that meet identified needs, are supported by relevant indicators and an adequate budget. This section will help you identify how well your organisation has planned its M&E processes.

- |  |   |
|--|---|
| <input type="radio"/> <b>Y</b> <input type="radio"/> <b>I</b> <input type="radio"/> <b>N</b> <input type="radio"/> <b>NR</b> | <p><b>1. Does your organisation conduct a needs assessment, involving PLHIV and affected communities at the relevant level, before implementing programme/project design and planning?</b></p> <ul style="list-style-type: none"> <li>• Are the views of men, women and young people incorporated into this assessment?</li> <li>• Are the needs of relevant key populations such as men who have sex with men (including gay and bisexual men), sex workers and their clients, people who use drugs, prisoners and transgendered people considered?</li> </ul> |
| <input type="radio"/> <b>Y</b> <input type="radio"/> <b>I</b> <input type="radio"/> <b>N</b> <input type="radio"/> <b>NR</b> | <p>2. Does the design of your programme/project reflect the results of the needs assessment?</p>  |
| <input type="radio"/> <b>Y</b> <input type="radio"/> <b>I</b> <input type="radio"/> <b>N</b> <input type="radio"/> <b>NR</b> | <p><b>3. Do your programmes/projects have objectives that are time-bound, measurable and in line with the National HIV and AIDS Strategy?</b></p>   |
| <input type="radio"/> <b>Y</b> <input type="radio"/> <b>I</b> <input type="radio"/> <b>N</b> <input type="radio"/> <b>NR</b> | <p><b>4. Do your programmes/projects have M&amp;E plans with indicators that are clearly linked to the objectives of the programme/project?</b></p>   |
| <input type="radio"/> <b>Y</b> <input type="radio"/> <b>I</b> <input type="radio"/> <b>N</b> <input type="radio"/> <b>NR</b> | <p>5. Are M&amp;E indicators linked to inputs, outputs, outcomes and impact of the programme/project?</p>   |
| <input type="radio"/> <b>Y</b> <input type="radio"/> <b>I</b> <input type="radio"/> <b>N</b> <input type="radio"/> <b>NR</b> | <p><b>6. Are sufficient resources allocated for planned M&amp;E activities - including availability of skilled staff, financial resources and technical equipment?</b></p>  |
| <input type="radio"/> <b>Y</b> <input type="radio"/> <b>I</b> <input type="radio"/> <b>N</b> <input type="radio"/> <b>NR</b> | <p>7. Are the roles and responsibilities of programme staff in monitoring and evaluation clearly defined and documented?</p>  |
| <input type="radio"/> <b>Y</b> <input type="radio"/> <b>I</b> <input type="radio"/> <b>N</b> <input type="radio"/> <b>NR</b> | <p>8. Has your organisation developed partnerships with other civil society organisations and national stakeholders to coordinate M&amp;E activities in-country (according to the "Three Ones" principles - principle number 3: One national M&amp;E framework)?</p>  |

**Actions needed to support Section A:**



## Checklist

# B

## Data Management

Data management processes should be defined and available. They should provide reliable, accurate, complete and timely data, and ensure that appropriate quality control measures are taken at all levels. This section will help you identify how effective your data management processes are.

Y  I  N  NR

1. Does your organisation provide M&E training and refresher training for programme and M&E staff?

Y  I  N  NR

2. Is data and information (particularly for process/output indicators) captured and recorded when and where an activity is implemented?

Y  I  N  NR

3. Is data age- and gender- disaggregated?

Y  I  N  NR

4. Is confidentiality appropriately respected when recording data on service users or clients?

Y  I  N  NR

5. **Is there a system (manual or computerised) that assists staff in capturing, managing and analysing programme data?**

Y  I  N  NR

6. Is data reported in a systemic manner?

Y  I  N  NR

7. Is there a documented data management process that helps reporting requirements to be met (for example establishing responsibilities and timelines for data capture)?

Y  I  N  NR

8. **Is there a systematic process of ensuring data quality control at all levels of implementation, including spot checks?**

**Actions needed to support Section B:**



## Checklist

### C

#### Learning, Sharing and Accountability

Programmatic data should be analysed, used for decision-making and planning, and shared with external stakeholders. This section will help you identify how well your organisation utilizes the data received from its programmes/projects.

Y  I  N  NR

1. Does your organisation plan to conduct an evaluation during the life of the organisation's strategic plan or framework?

Y  I  N  NR

2. Does your organisation regularly analyze reports and data received in order to assess achievements and challenges?

Y  I  N  NR

3. Is gender disaggregated data included in this analysis?

Y  I  N  NR

4. Is information from your organisation's monitoring systems provided to programme managers/officers to assist in decision-making and planning?

Y  I  N  NR

5. Does your organisation have a system to ensure that lessons learned and 'good practice' are applied to future programmes?

Y  I  N  NR

6. Does your organisation produce donor reports according to donor requirements, with quality information that demonstrates programme/project progress?

Y  I  N  NR

7. Does your organisation have a systemic way of sharing programme/project reports and evaluations with other external stakeholders, for example the National HIV Coordinating Authorities?

**Actions needed to support Section C:**



## Action Plan: Monitoring and Evaluation

In completing this self-assessment checklist, you are likely to have identified some areas that are in need of improvement and some that are already at a 'good practice' level.

Please complete the Action Plan table on the next page and highlight examples of how

you will improve your organisation's work on Monitoring and Evaluation over the next six months, thinking first about the Key Questions below. If you answer 'no' to any of these questions, it would be important for you to start here in improving your work!

### Key Questions

1. Does your organisation conduct a needs assessment, involving PLHIV and affected communities at the relevant level, before implementing programme/project design and planning?
2. Do your programmes/projects have objectives that are time-bound, measurable and in line with the National HIV and AIDS Strategy?
3. Do your programmes/projects have M&E plans with indicators that are clearly linked to the objectives of the programme/project?
4. Are sufficient resources allocated for planned M&E activities - including availability of skilled staff, financial resources and technical equipment?
5. Is there a system (manual or computerised) that assists staff in capturing, managing and analysing programme data?
6. Is there a systematic process of ensuring data quality control at all levels of implementation, including spot checks?
7. Does your organisation regularly analyze reports and data in order to assess achievements and challenges?
8. Does your organisation produce donor reports according to donor requirements, with quality information that demonstrates programme/project progress?
9. Does your organisation plan to conduct an evaluation during the life of the organisation's strategic plan or framework?
10. Does your organisation have a system to ensure that lessons learned and 'good practice' are applied to future programmes?

Please remember to save your completed action plan and email it to **info@hivcode.org** or send it to **PO Box 372, 1211 Geneva 19, Switzerland.**

Name of Organisation	Contact Person	Email Address
Signed		Date



## Action Plan: Monitoring and Evaluation

**Expected Outcomes**  
(What do we want to achieve?)

**Key Activities**  
(What do we need to do?)

**Action Points**  
(How do we do it?)

**Resources**  
(What kind of support do we need to do it?)

**Timeframe**  
(When will we do it?)
