Monitoring Protocols
for
Indus For All Programme

Indus for All Programme

Wide Fund for Nature - Pakistan (WWF - P)

(**February 2007)**

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1. Introduction

This Monitoring Protocol has been developed for Indus For All Programme and will serve as the guideline for the organization as well as the Programme staff to ensure quality and effectiveness of the interventions to be undertaken under the Indus For All. The basic purposes of a monitoring protocol/plan are usually:

- to identify what kind of information would be required to assess the progress, performance and effectiveness of the Programme (indicators, sources of verifications)
- to specify the procedure and the process that would be followed to gather this information (defining roles and responsibilities)
- to define the method as to how this information would be stored, analyzed and managed for all future purposes (knowledge management)

This Monitoring Protocol has been made keeping in mind all the above requirements.

2. Background

The Programme is based in the principle of livelihood improvement through improved natural resource management practices. The Programme aims to improve livelihoods of the rural poor in such a way that the improvement is self-perpetual and sustainable. The success of the Programme lies in the following assumptions:

1. that this 6 year initiative would set up the ground, set up the institutional structure for implementing the 50 year vision for the Indus Ecoregion
2. that improved governance would result to greater access to natural resources and equitable sharing of resulting benefits would lead to improved livelihoods of the local communities dependent on them at four selected sites
3. that partnerships at all levels would enhance the capacity of Civil Society Organizations (CSO) to understand and implement poverty-environment interventions and would ensure sustainability of recommended practices in the Ecoregion
4. that influencing policy frameworks would lead to replication as well as greater 'buy-in' of such Ecoregion Programmes that address the poverty-environment nexus

The entire Programme has been designed keeping in mind the above mentioned assumptions. Monitoring at outcome as well as impact level will have to keep these assumptions in the forefront.

3. The 3M Approach

The 3M approach has been utilized for this Programme on the premise that such large Ecoregion level programmes need to engage at all scales of decision making so as to bring about the 'change' as perceived by the Programme.

There are certain outputs that are planned at the micro level, i.e. the village/ecosystem, union council levels. These are more like pilot activities that should ideally result into demonstrated lessons/replicable cases that will serve as guidelines to develop/improve systems at the Meso, i.e., Tehsil, district or provincial/landscape levels and/or macro level, i.e. the national/Ecoregion level. Similarly there are outputs that will require preparatory activities at the Meso or Macro levels in order to complement interventions at the micro levels. Hence the 3M for Indus For All is defined as under:

- Micro level: village, union council/ecosystem, for example village Phuleri of UC X/freshwater lake
- Meso level: Tehsil, district, province/landscape, for example Tehsil Sakrand, district Nawabshah, Sindh/Riverine forest of Lower Indus River
- Macro level: national/Ecoregion, for example Sindh and Balochistan of Pakistan/ Indus Ecoregion

Workplans would have to be designed in such a way that this distinction is clear and spelled out so as to monitor the progress.

It is recommended that **at the onset of the implementation, each of the output/outcome be identified against the 3M**. This would be necessary as many outputs/activities would serve as preparatory for others, hence the identification would serve useful for assigning timelines and preferences to activities. Also, within the Organogram of the Programme there are positions that have been designed to keep a regular engagement with stakeholders at these three levels. Hence to design their activity plan, this exercise should be done as soon as possible.

4. The Sustainable Livelihood Framework (SLF)

The livelihood component of Indus For All Programme has been designed keeping the Sustainable Livelihood Framework (SLF) in mind. This simple model provides an understanding towards the complex livelihood strategies of the poor and their outcomes, how they are based on key capital assets, how they relate to external influences of shocks, trends, and the structures and processes of society. Its main advantages are that it is a positive framework that sees livelihoods from the perspective of the poor, considers the real complexity of their livelihoods and can be an aid to analysis at household or policy levels. It has been developed in recent years from a considerable amount of research and discussion largely supported by DFID who have adopted it in their programmes.

Within the Sustainable Rural Livelihoods framework, the starting point is the assets to which rural people have access in order to devise their livelihood strategies. This is also the end point of the model as those strategies impact not only on their livelihoods in terms of outcomes (a more traditional source of indicators) but also back on the assets themselves. The changing asset base, measured in the five capitals to which a household has access can be a useful proxy for impact on livelihoods. If indicators are derived in a participatory way, they will be locally relevant within relatively homogeneous areas (in terms of ethnicity and agro-climatic criteria). Also, if the system is to be used over many households with a reasonable frequency the method needs to be quick and simple enough for rapid enumeration with reasonable accuracy. For managerial

purposes in a process project, the tracking of asset status will give useful measures of change towards project purpose and will contribute to longer-term evaluations.

5. Scale of the Programme

The logical framework of the Programme describes three levels of interventions:

- **Programme Objectives;** the overarching objectives that have spelled out of the overall objective
- **Programme Outcomes;** the longer term results that would together ensure achievement of Programme Objectives
- **Programme Outputs;** integrated set of activities that would feed into the completion of an outcome

Each of these needs to be monitored and evaluated in order to ensure that the overall objective of the Programme is met, and accordingly Programme Management Team would have to assign responsibilities within the Programme Staff who would monitor at each of these levels. The 3M is integrated across outputs and outcomes and needs to be identified right at the onset.

6. The Monitoring Protocol

This monitoring protocol covers the following aspects:

a. What to monitor ?

As mentioned in an earlier section, Indus For All aims to improve livelihoods of the poor of rural Sindh in a sustainable manner without depleting the natural resource base. With this backdrop, SLF has been used to guide the Programme Management in defining livelihood strategies that would help improve the asset base of the poor. SLF is one of the few development assistance models that take into account the natural assets (natural resources such as land, water, forests, pastures, etc.) that the poor rely on in their everyday livelihood pursuit. The model comprises of five types of capitals/assets1 that provide a holistic classification of all the tangible and intangible resources available to the poor and collectively form their 'livelihood platform'. They comprise of;

i. **Natural Capital:** Natural capital includes quantity and quality of land, natural water bodies, streams and the fish within them, groundwater, the vegetation/forests and wildlife of the forests, rainfall and climate,

ii. **Physical Capital:** Physical capital comprises of all basic produced infrastructure that supports livelihoods e.g. representing all those assets privately owned by individual or group such as tools, machines, vehicles and other utility articles, infrastructure which is publicly owned such as roads, electricity, water supply and sanitation system, schools, hospitals, irrigation systems, etc.

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[1] For the sake of current recommendations, concepts of 'asset' and 'capital' will be used synonymously and interchangeably as stores and stocks that produce or are capable of producing income flows.

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iii. **Social Capital:** Assets representing the intangible institutions of relationships, trust, norms and the levels of association in groups and organisations. This includes traditional patron-client obligations as well as communal support systems

iv. **Human Capital:** representing the physical labour pool available for work as well as the formal education, indigenous knowledge, skills and training of those workers, and their health and nutrition.

v. **Financial Capital:** representing the a person's income, occupation, ability to save, indebtedness situation, jewellery, cattle and grain for sale or consumption. It also includes formal and informal credit arrangements etc.

Indus For All Programme aims to bring about an improvement in all the abovementioned capital types specifically natural, human and physical capitals.

Capital Improvement under the Indus For All Programme

Natural Capital:

The Programme primarily aims at arresting the natural resource degradation practices at four sites with improved management of lakes, wildlife, fisheries, forests and rangelands. This includes developing and implementing partnership based management models for each of the abovementioned natural resource. These models would define the sustainable use levels for each of the resource and aim to ensure that resources are managed in such a way that the actual stock remains the same. This would in turn ensure extracting income flows from these for the coming times, hence contributing towards the livelihood improvement for all.

Human Capital:

Indus For All plans to implement a comprehensive environmental education and awareness raising programme targeting micro, meso and macro level audiences. This would contribute towards raising peoples knowledge levels about poverty-environment linkages that play a pivotal role in the livelihoods of the rural population of Pakistan specifically Sindh province. Such an increase in knowledge should contribute towards improved planning and decision making at all levels. Consequently, resulting into actions that contribute towards improvement in lifestyles of the rural poor.

Physical Capital

Improved access to clean drinking water, sanitation and energy efficiency techniques of a significant population at four sites in lower Indus River Basin are also the outcomes of the Indus For All. These interventions would improve the available levels of produced capital such as clean drinking water supply schemes, improved on farm water management schemes, improved solid/liquid waste management, energy generation through alternative means (including solar, wind and gasification techniques)

The Programme Management would monitor and track changes in the asset base of the target group. Viable indicators would be developed for each of the

outputs/outcomes which would also indicate any improvement/degradation with respect to the capital holdings of the target group.

b. How to monitor?

1. Organizational Responsibilities
2. Programme Responsibilities
3. Reporting and Progress Measurement

1. Organizational Responsibilities

WWF as an organization has set procedures and guidelines for monitoring performance of such large Programmes as Indus For All. These procedures are in line with the Five Year Strategic Plan of WWF Pakistan as well as with the WWF International Programme Standards.

At the Organizational level, the monitoring can be done for three aspects of the Programme:

a. Ecoregion Programme Compliance

Since Indus For All Programme stems from the 50 year Indus Ecoregion Programme, it becomes vital to monitor against the objectives, targets and milestones of the Ecoregion Action Programme. A 50 year logframe has been prepared for the Ecoregion Programme, and the Indus For All objectives and outcomes' indicators need to be reviewed under the Ecoregion Programme's objectives and targets.

i. Reviewing and finalizing 50 year Logframe and indicators

It is recommended that the indicators, assumptions and risks of the 50 year logframe of the Indus Ecoregion Programme be revisited and finalized within the Inception Phase. Not only would this exercise help steer the outcomes, outputs, indicators and assumptions for the five year phase, but would also help develop and refine the workplan required for the 50 year outcomes , outputs within this phase.

ii. Setting up the procedure for gauging support from WWF's Ecoregion Action Programmes (EAP) internationally

WWF as a global network is currently implementing EAP work across the world. There are lessons to be learnt from the Network experience that would assist Indus Ecoregion work in defining the 'do(s)' and 'don't(s)' for the Indus For All Programme implementation process. It is recommended that certain Ecoregion experts should be identified from within the Network and should be invited to review the workplan of those outcomes/outputs that feed into the implementation of the Ecoregion Programme. These experts can be invited to visit Pakistan periodically to strategically assess and advice the Programme implementation procedures.

b. Overall Quality Control

Such quality control mechanisms should be in place that would ensure that the effectiveness of the Programme remains on track. Moreover to ensure whether the

contractual obligations that the Organization has made with its partners and donors, are honored at the fullest. For this the following procedure is suggested:

i. Setting up a Programme Support Unit (PSU) comprising of senior professionals from within WWF and defining the ToRs. This PSU would serve as the internal quality assurance body and would meet periodically to review the Programme progress and performance. The ToRs are attached as Annex I.

ii. Key departments at the Organizational level providing 'mirror image' positions within the Programme and having dual reporting lines. For example, an HR Officer to be hired within the Programme would report to the Programme Director as well as the Head of the HR Department of WWF. This would ensure greater support and guidance to the Programme in light of the Organizational requirements.

iii. Programme reviews to be conducted annually with support from Program internal monitor. External monitoring reviews to be facilitated at the Organizational level.

c. Partnership building

The Programme aims to build cross sectoral partnerships in order to deliver what it has planned. Such partnerships are possible due to the past relations that the organization has had with these institutions so there is a lot at stake from WWF's point of view. Hence Organizational level responsibilities would include steering these partnerships in mutually beneficial manner:

i. A Partners conference to be arranged periodically with support from PSU. This meet would involve inviting key partners and requesting them to discuss on the progress of the Programme as well as discuss the level of compliance the Programme has had, in light of the MoUs signed.

ii. Programme to seek guidance at the Organizational level to negotiate new partnerships especially within private sector and before signing MoUs

iii. WWF/PSU to support servicing strategic partnerships such as the ones with key govt. departments

2. Programme Responsibilities

As highlighted earlier the Programme success is subject to the three assumptions mentioned in the Background section. Also, as suggested in the logical framework, certain outputs and outcomes are planned for the Programme level staff's engagement.

Programme level is defined as the level where overall guidance is provided for the site level work and feedback is generated for the Organizational level. Although its responsibilities include facilitating completion of outputs planned for Programme level, its prime mandate remains ensuring that all outputs are achieved in such a quality, quantity and time that the outcomes are achieved as well.

Experience has shown that managers often tend to overlook the strategic importance of an output and rather get stuck into the activities completion process, in a manner that an activity/output is done for the sake of doing it and not for a larger purpose. To avoid such oversight, this Protocol is suggesting that the Programme staff should

have the responsibility to ensure that outputs are achieved in a holistic manner. Also, this Programme is to be designed on an **'Output-based Billing System'** where all technical and financial progress would be associated with the completion of an output. Hence this progress and performance monitoring will be carried out by the Programme level staff.

i.   Revisiting logical framework and developing SMART indicators, risks and assumptions

This is advisable to be done within the inception phase. WWF-MPO has developed guidelines for developing poverty-environment indicators that should be utilized. The indicators will serve as the most crucial source of information for all internal and external monitoring purposes, hence care should be taken in designing these. Risks and assumptions serve as the reference framework for any output that has to be delivered under a certain set of possibilities. Carefully defining these is of essence as any non-progress may have its root cause within the assumptions or risks. A typical example of indicators, risks and assumptions is provided in Annex II.

The Objectively Verifiable Indicators would provide that critical information which would facilitate monitoring procedures. The section on Reporting and Progress Measurement would provide the details as to 'what' and 'how' this information will be used to measure the progress and performance of the Programme.

ii.   Assigning roles and responsibilities

Keeping in mind the Organogram of Indus For All, the following roles are suggested for key positions:

a. Team Leader

He/she will serve as the focal point for all quality compliance procedures and protocols both internally as well externally. Information after being filtered at various levels would be received by him/her and he/she will be responsible for the entire Programme progress and performance.
Ideally, he/she is responsible to monitor and steer progress towards the achievement of the **Programme Objectives**. Information flow will be such that the Team leader will receive progress updates for all outcomes and outputs which he/she would then analyze to gauge progress towards the Objectives. This information will be provided to the Team Leader by the **'Programme Management Team (PMT) supported by Program internal monitor (Manager M&E)'** that consists of the following three positions within the Programme Organogram. The ToRs of the PMT are attached as Annex III.

Each of the PMT member will have certain monitoring responsibilities which are mentioned below. The members would utilise the PMT forum to report on each of their responsibilities:

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b. Programme Coordinator

Programme Coordinator, supported by program internal monitor (Manager M&E), will be responsible to monitor the progress of outputs/outcomes that are to be carried out by the following positions;

- Economist
- Sociologist
- Manager, Policy & Programme Development
- Manager, Environmental Education (with joint reporting to NRM Coordinator)
- Manager, Partnership Fund (with joint reporting to NRM Coordinator)
- Manager, M & E (with joint reporting to NRM Coordinator)

The above mentioned positions are responsible to carry out outputs/outcomes at micro, meso and macro levels.
The Programme Coordinator along with program internal monitor (Manager M&E) will monthly/quarterly collate and review information that he/she will receive from the professionals mentioned above. As will be elaborated in section 4, Reporting and Progress Measurement, each of these managers will use a customized, user friendly reporting format that they would use periodically to service information to the line manager. The Programme Coordinator will receive progress and performance updates on outputs that he will regularly collate and analyse to gauge progress against **Programme Outcomes** and in turn advise the Team Leader on the status.

c. NRM Coordinator

The NRM Coordinator will be responsible for all NRM related outputs/outcomes that are to be executed at the micro, meso and macro level. All **Site Managers and associated NRM staff** will report to the NRM Coordinator:

- Site Manager, Chotiari
- Site Manager, Keti Bunder
- Site Manager, Pai Forest Complex
- Site Manager, Kinjhar Lake
- Manager, Partnership Fund (with joint reporting to Programme Coordinator)
- Manager, Environmental Education (with joint reporting to Programme Coordinator)
- Manager, M & E (with joint reporting to Programme Coordinator)

He/she, like Programme Coordinator, will receive progress and performance updates on outputs from the site level that he will regularly collate and analyze to gauge progress against **Programme Outcomes** and in turn advise the Team Leader on the status. The Site Managers will also use a customized, user friendly reporting format that they would use periodically to service information to the line manager.

d. Finance & Admin Coordinator

This Coordinator will serve as the most critical link between the Programme's technical and operations side. His responsibilities lie at all levels starting from the site level, to the Programme level. Positions reporting to him are:

- Project Administrator (Programme)
- HR Officer (Programme)
- Finance Officer (Programme)
- Admin and Logistics Officer (Programme)
- MIS Officer (Programme)
- Finance & Admin Assistants (Sites)

Finance & Admin Coordinator will work closely with other PMT members and the Team leader to ensure timely disbursement of funds and managing cash flows. He will regularly update the ACCPAC the accounting software of WWF, and present financial reports to PMT on regular basis. The ToRs of the PMT define the monitoring responsibility of this Coordinator.

iii.   Designing Monitoring tool(s) at the Programme level

PMT level work will be facilitated by the **Integrated Evaluation Matrix** (IEM sample attached as Annex IV), which is a useful tool for monitoring output level progress and performance as well as gauging the impact. Having defined inputs, processes, deliveries, outputs and impacts of any output, this tool will help Coordinators in assigning responsibilities across the Programme staff, as well as enable monitors at various levels to gauge compliance. For monitoring progress and performance against Outcomes, the PMT can decide the frequency of reviewing Outcomes against the IEM. Also, **Integrated Activity Matrix** (IAM sample attached as Annex V), and **Monitoring Plans** (MP sample attached as Annex VI) will serve as monitoring tools at output as well as activity levels.

Moreover, qualitative assessments such as Beneficiary-based Evaluations exercise can be commissioned at any point in time, ideally after the completion of the 1st project year. Such exercises are recommended to be executed by personnel external to the Programme (but can be internal to WWF). The ToRs should be designed by the M & E Manager with advice from PMT and/or PSU.

Another tool, **Livelihood Asset Status Tracking (LAST)** can be used for impact monitoring as well as performance monitoring. This tool has been used in various environment and development projects where SLF model is utilized. This tool enables measuring changes in five capital types over a period of time, as a result of interventions taken up by any Programme. An IEM can easily be translated into a LAST framework where the strengths of both the techniques can be utilized by minimizing the weaknesses of both at the same time. Programme development will provide assistance in developing such a tool.

iv.   Site level Responsibilities

Nearly 50 % of the overall budget of Indus For All Programme is to be spent on site level activities. Similarly, majority of the outcomes/outputs are to be delivered at micro level. Hence, the monitoring responsibility is the highest at this level, as whatever progress and/or performance that the Programme will achieve at this level, will affect its progress/performance at all levels.

The Programme design is such that Site Managers are responsible for all outputs/outcomes that are to be achieved at micro level. But these Managers will be

supported by Programme level staff in terms of providing guidance and technical support that would help steer the Programme in the right direction. Integrated Activity Matrix will serve as a useful tool for implementation planning as well as progress/performance monitoring. It is recommended that the Site level staff should be involved during the development of this Matrix, so that right from the onset, they are aware of what they are committing to. The logframe will provide Outcomes which would be broken down into concrete, doable outputs, which in turn would be broken down into set of activities. Also objectively verifiable indicators for each activity, output and outcome would be defined and developed. Indicators would describe the Programme's interventions in operationally measurable terms (quantity, quality, target group(s), time, place). As mentioned earlier, the indicators would serve as the most crucial source of information for all monitoring purposes. Indicators of an activity/output/outcome would ideally state:

- The inputs required to complete an activity
- The process required to achieve an activity
- The time required to complete

Once these indicators are developed, each of the implementing level be provided with a customized format to report on their progress. The example in the next section would provide an insight to the procedure that is recommended to be followed by the Programme:

3. Reporting, Progress Measurement and Knowledge Management

i. Workplans

It is recommended that the workplans should be developed in such a way that these address outputs and activities for all three levels:

a. Ecoregion level (macro)
b. Programme level (meso)
c. Site level (micro)

This would ensure a synergistic approach towards the outputs of the Programme and would also ensure that the preparatory outputs are achieved beforehand.

The workplans would be developed annually & reviewed quarterly to facilitate any changes/adaptations that arise due to any changing circumstances.

ii. Progress Measurement & Reporting

For the sake of this Programme, progress reporting should not be a one-off activity that is taken up as per contractual requirement at a specific time in the year. It should be an ongoing activity with various staff members being responsible for it. In order to do so, customized reporting formats would have to be developed for each implementation level, and responsible staff oriented in the use of such formats. An example can be of a Social Mobiliser at the field site level.

A Social Mobiliser will be provided a user friendly reporting format2 that he/she will use to report his/her activities of a fortnight/month (to be decided by the PMT), against his/her workplan. The SM will then forward this to his line manager, i.e. the Site Manager as well as his/her technical Manager at the Programme level, who would in turn review his/her progress/performance agianst the indicators provided in the MP/IAM. They would then compile their reports on a customized format and forward these to their line manager, ideally, a Coordinator. The Coordinator would in turn review the progress/performance against the IAM/logframe and would compile his/her analysis and present to the PMT. This way information would flow right from the field level upto the Programme level at various periodic intervals. This at one hand would update the Programme Management on how the Programme is progressing and on the other, would also provide enough information for all tiers of Management to prepare progress reports for donor requirements.

iii.   Knowledge Management

A lot of information will be generated from within the Programme. WWF's Communications as well as Programme Development will provide key support to the Programme in:

i.   Guiding the development of a database that would store information at the Programme level and will facilitate onward dissemination to WWF Network as well as country level partners/programmes
ii.   Help define the procedures that would be required to generate relevant information, storing it and analyzing it in accordance with the WWF International Programme Standards
iii.   Keeping a track of reporting deadlines, contractual obligations and the quality of the information hence produced
iv.   Help define prototype knowledge sharing and dissemination tools and methods in light of the Programme Communications Strategy
v.   Facilitate analysis for the PSU and resulting feedback to the Programme

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[2] These formats usually consist of rows and columns, and have minimum descriptive sections. These rely more on quantitative information.

Indus For All Programme

Vision

Mankind coexisting with nature, in complete harmony, a network of interlinked wetlands where Dolphins adn Otters thrive in their river habitats and Raptors/Waterfowl inhabit lakes and lagoons. Aquatic flora and associated biodiversity flourish on the banks and mouth of the River Indus and the newly hatched marine turtles safely return to the sea.

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