

Report 11

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Revised Final Report on Development of M&E System for the CBRLDP

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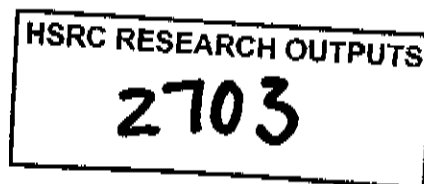
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1 Introduction

This final report elaborates upon the draft final report submitted by the consultant on 5 January 2004. It attempts to add more detail and depth, not least to the M&E-related requirements as stated in the Draft Aide Memoire produced at the conclusion of the CBRLDP appraisal mission of December 2-12 2003. Despite every attempt to be thorough and thoughtful, the assumption is that the M&E framework described here remains a work-in-progress.

In addition to this introduction, the report has nine sections:

- Revised logframe (Section 2)
- Core principles of M&E framework (Section 3)
- Overview of proposed framework/structure of M&E system (Section 4)
- Detailed description of components (Section 5)
- Estimated budget (Section 6)
- Proposed core indicators for community selection of beneficiaries (Section 7)
- Proposed framework of information (Section 8)
- Terms of reference for independent evaluation (Section 9)
- Detail to support the budget estimates (Appendix)



2 Revised logframe

The following is a slightly revised version of the logframe that appears as Annex 1 in the Project Appraisal Document of November 20 2003.

Hierarchy of Objectives	Key Performance Indicators	Data Collection Strategy	Critical Assumptions
<p>Sector-related CAS Goal:</p> <p>Reduce poverty by increased broad-based economic growth</p>	<p>Sector indicators:</p> <p>Poverty and extreme poverty headcount</p>	<p>Sector/country reports:</p> <p>Comparison of rural household survey data</p>	<p>From Goal to Bank Mission:</p> <p>Macroeconomic and governance situation do not markedly deteriorate</p> <p>HIV/AIDS pandemic is significantly mitigated</p> <p>Selected poverty indicators are relevant for measurement of actual poverty</p>
<p>Project Development Objective:</p> <p>To increase the welfare of between 15,000 and 20,0000 poor rural families by implementing a decentralised community-based approach to land acquisition and farm development in four districts</p>	<p>Outcome / impact indicators:</p> <p>Welfare of participating families, compared to control groups and pre-project welfare levels</p> <p>Net economic benefits of increased agricultural production</p>	<p>Project reports:</p> <p>Project impact evaluation to be carried out by MLPPS according to M&E framework</p> <p>Annual project reviews</p> <p>Implementation completion report</p>	<p>From Objective to Goal:</p> <p>Increased access to land increases income of beneficiaries</p> <p>Progress in the unfinished agricultural policy reform agenda through adjustment programs is effective and enhances the profitability of smallholder farmers</p> <p>Existing land law provides sufficient tenure security to encourage on-farm investments</p> <p>Localized tensions around land issue do not intensify because of political interference</p>
<p>Output from each component:</p>	<p>Output indicators:</p>	<p>Project reports:</p>	<p>From Outputs to Objective</p>
<p>1. Land acquired, number of beneficiary families, and agricultural production achieved</p>	<p>Number of family farms established on lands acquired through the project</p> <p>Speed of land acquisition</p> <p>Cost of land acquisition, per beneficiary family and per hectare</p> <p>Speed and cost of establishment of agricultural production,</p>	<p>MIS implementation progress reports generated at district level</p> <p>Qualitative group monitoring of selected beneficiary groups</p> <p>Annual independent evaluations</p>	<p>Beneficiaries have sufficient access to technical and financial assistance to prepare and implement profitable land acquisition and farm development proposals</p> <p>Social issues are resolved satisfactorily, e.g. within beneficiary groups and between beneficiary groups and receiving communities.</p>

	per beneficiary family and per hectare		
2. Decentralised, transparent land administration system in place in pilot districts	<p>District land offices established with lands officers in place</p> <p>Number of beneficiary groups which enjoy secure tenure and have received appropriate documentation of land ownership, based on prevailing legal framework at time of land acquisition</p> <p>Number, speed, and costs of hectares regularised and/or surveyed</p> <p>Number of titles registered, cautions registered, and sketch maps completed</p>	<p>MIS implementation progress reports</p> <p>Self-reporting by district officers responsible for land administration</p>	Improved land administration increases tenure security and investment incentives
3. Capacity to implement CBRLDP exists in pilot districts	Number of land acquisition and farm development proposals by eligible beneficiary groups reviewed and approved by participating local government in participating districts	<p>MIS implementation progress reports</p> <p>Qualitative group monitoring of selected beneficiary groups</p> <p>Annual independent evaluations</p>	
4. Effective monitoring and evaluation of the project provides a sound basis for considering expansion of project activities to other districts	Timeliness and content of M&E system		

3 Core principles of M&E framework

The following core principles were discussed and accepted as a starting point between the consultant and Fred Kanjo as a basis for elaborating the M&E framework

- The M&E system must be useful:
 - early warning in respect of problems with design, implementation, and impacts
 - assist the making of an informed decision regarding whether and how to 'scale up' beyond the pilot
- Some/many M&E functions may be delegated or out-sourced, but some dedicated, central M&E responsibility will be necessary
- The development of M&E capacity must be planned and budget for
- System must be feasible, taking into account expanded capacity
- It must be feasible for the CBRLDP M&E system to be integrated within a broader M&E system for the land sector
- The CBRLDP M&E system must not be compromised by, e.g.:
 - making it too complicated, i.e. too many different components, levels of reporting, etc.
 - devolving too much responsibility to people/organs already having many other responsibilities
 - confusing M&E with a management supervision function
- Comparisons:
 - 'before and after', and
 - 'with and without'
- *But also:*
 - implications for people and land in departed areas
 - implications for non-beneficiaries in receiving areas (especially social implications)
- On-going monitoring data/information should be designed to be useful for periodic evaluation
- The design of the M&E system should take into account other national data collection exercises, e.g. poverty monitoring
- The attention to land market issues within the M&E system should be limited to monitoring and reporting of price trends, i.e. the M&E function does not include the land database function described in some of the documentation.

4 Overview of proposed framework/structure of M&E system

Objectives

A monitoring and evaluation (M&E) system will be put in place in order to ensure that useful, reliable, and timely feedback is provided to Government and other relevant stakeholders. This information and analysis will assist Government and other stakeholders to assess whether the objectives of the project are being met, to identify necessary measures to address bottlenecks and weaknesses, and to assess the implications of the project beyond its immediate beneficiaries. The system will assist government and development partners draw lessons from the experiences of the project, and inform the decision whether and how to scale up the project beyond the pilot phase. The monitoring and evaluation system will serve as a management tool both in respect of the project as a whole, as well as in respect of its main components.

Key performance indicators

The monitoring and evaluation system will be designed so as to assess outcomes, outputs, inputs, and processes, and will be tailored to pick up relevant trends at the level of households, beneficiary groups, and various implementing agents. Among the main key performance indicators will be the following:

- Improved incomes of beneficiary households;
- Improved living standards and food security of beneficiary households;
- Enhanced tenurial status of beneficiary households;
- Increased land productivity and use of under-utilised productive land;
- Improved land administration;
- Reduced land pressure;
- Improved capacity of beneficiaries and other stakeholders;
- Improved performance of the land market; and
- Efficiency of project delivery.

However, the monitoring and evaluation system will also be designed so as to be vigilant with respect to areas where problems could potentially emerge, including:

- Environmental sustainability on resettled land;
- Social tensions with 'host' community;
- Adequate post-transfer support; and
- Land price inflation.

Overview of approach

The monitoring and evaluation system will assess project outcomes and processes using the following methods and tools:

- An adapted management information system (MIS), in order to collect and organise baseline data on households and beneficiary groups, as well as to provide information on applicant groups' progress through delivery milestones;

- Periodic qualitative monitoring of beneficiary groups, in order to examine group-level processes and problems, including in relation to the 'host' community, and of the 'host' community in relation to the beneficiary group;
- Periodic household surveys from a sample of beneficiary groups, in order to help establish household-level benefits from the project;
- Once-off qualitative assessments of the impact of the project on people living in areas vacated by beneficiary groups; and
- Ad hoc monitoring and evaluation capacity to cater to specific requests from beneficiary groups, districts, central government, and other stakeholders.

An adapted MIS

MASAF's existing management information system (MIS) will be adapted and expanded to accommodate basic information relating to CBRLDP inputs, outputs, and expenditure, but also to capture certain types of baseline information about beneficiary groups, beneficiary households, and acquired land. The adapted MIS will be the repository for the information necessary to trace changes in land prices. It will also provide the sampling frame necessary for the drawing of probability samples for the household surveys and qualitative beneficiary group monitoring. Finally, the adapted MIS can be used to keep track of the various monitoring and evaluation reports that will be produced.

Periodic qualitative monitoring of beneficiary groups

A sample of beneficiary groups will be drawn in every year, which will be the focus of qualitative monitoring on a four or six-monthly basis. The monitoring will entail appropriate participatory appraisal techniques, and will seek to establish, *inter alia*:

- Progress and obstacles/constraints in respect of productive land use
- Progress and obstacles/constraints in respect of developing settlement infrastructure
- The functioning of the PMC
- The adequacy of post-transfer support, including forms of capacity building
- Tensions between the 'host' community and beneficiaries, from the perspectives of each
- Adequacy of environmental management at local level.

Each beneficiary group selected as part of the sample will also be assessed shortly after transfer in order to collect further baseline information.

Periodic household surveys

Household surveys will be conducted on an annual basis. Households will be selected from within each of the same beneficiary groups selected for the qualitative monitoring as described above. The information from the household surveys will complement that from the qualitative monitoring of the beneficiary groups. The household surveys will focus on household-specific information, largely but not only quantitative, which will enable analysis of the impact of the project on household welfare. As with the qualitative monitoring of the beneficiary groups, some households will be selected for inclusion in the sample from the first year and be re-surveyed periodically thereafter, while others will be selected and followed from the second

year, and so on. In addition, non-beneficiary households will also be selected from the pilot districts from the first year and surveyed annually, so as to serve as a 'control' group relative to the beneficiary households.

Once-off qualitative assessment of impacts on vacated areas

The purpose of the qualitative assessment of areas vacated by beneficiary households is to determine whether the provision of additional land through the project is having a measurable impact on easing over-crowding. Initially, it would be expected that these effects would be felt only in close proximity to the areas from which beneficiary households left. Given the novel nature of this exercise, experimentation will be necessary early on in this project to develop a useful methodology.

Ad hoc monitoring and evaluation rendered on a demand basis

There will sometimes be a need for ad hoc monitoring and evaluation exercises, generally brief in duration, to address specific questions or concerns that are not otherwise adequately catered for in the monitoring and evaluation system. The principle is that a certain amount of financial resources will be ring-fenced to allow for such ad hoc work, and procedures will be determined to allow a range of different entities to apply for monitoring and evaluation assistance to be financed by these resources. A specific possible instance of the use of this facility would be the request from a beneficiary group for resources with which to hire a monitoring and evaluation service provider, possibly a local NGO. The service provider might participate with the group in either better understanding its own performance (or that of its members), or in assisting the group to develop its own, ongoing monitoring and evaluation capacity.

Management and human resources

The monitoring and evaluation system will be managed by the Monitoring and Evaluation Manager, who will be situated within the PMU. The system will be operated by a combination of project and non-project staff. DLOs will be responsible for much of the data capture for the MIS, while most of the other activities will involve outsourcing to local and international institutions, including NGOs.

5 Detailed description of components

5.1 Adapted MIS

The management information system (MIS) developed by MASAF comprises a number of different modules that collectively are able to track progress in implementation and expenditure of a variety of different types of community projects. The MASAF MIS is eminently suitable to serve as the MIS for the CBRLDP, however the MIS will require further development to make this possible. In particular, a new project type will have to be defined, the 'project inputs price list' and 'standard operational bill of quantities' modules will have to be adjusted to take CBRLDP-related expenditures into account, and a variety of other modules will have to be adjusted to cater to the information appropriate to CBRLDP projects, for instance, to take into account the CBRLDP's particular milestones.

Probably the most significant adjustment to the MIS proposed here would be the creation of a module designed to capture information about beneficiary households. Presently, the MASAF MIS is geared to capture information about community projects, however there is no reason in principle why information cannot be captured on households. This would go beyond merely indicating, say, the number of households belonging to a beneficiary group, or the number of these households that are female-headed. Rather, it would entail a database where a separate record is devoted to each beneficiary household, recording very basic information from before land acquisition, e.g. household composition, main income sources, and previous residence. Assuming 20,000 beneficiary households over five years, this database would be large but by no means unmanageable.

The main purpose of going to the trouble of embedding this database within the MIS is to create a sampling frame from which beneficiary groups and households can be selected for some of the other M&E exercises. A secondary function would be to provide a tool by which one can track patterns of change over time in the type of beneficiaries getting assistance through the CBRLDP.

Another function that could be easily worked into the adapted MIS would be the tracking of land prices.

Finally, the MIS could easily be adapted to serve as a tool of managing the M&E process itself. For example, an MIS module could be created to track M&E-related visits to beneficiary groups and households, not least to assist in the management of the various panels.

It is not clear at this point who would be responsible for day-to-day data capture, or where. Typically the MASAF MIS is complemented by a paper-based system that allows ground-level implementors to capture information on forms, which can then be sent to a more central office for purposes of electronic data capture. Presumably the District Land Officer would be responsible for much of the primary paper-based data capture, and in the first instance these completed forms could be sent to MASAF's main office or to someone operating a terminal within the CBRLDP's M&E Unit.

5.2 Periodic qualitative monitoring of beneficiary groups

The main purpose of the periodic qualitative monitoring of beneficiary groups is to observe process-related aspects of CBRLDP delivery and development at group level. The community basis of the CBRLDP can be both a strength and a risk, both in terms of dynamics internal to

the beneficiary group, and in terms of the relationship between the beneficiary group and the 'receiving community.' Group-based land reform programmes in other countries have sometimes experienced problems related to group dynamics, for instance disputes between group leaders and other group members, and/or excessive size driven by the attempt to boost the group's budget envelope through the recruitment of more members. It is critical that the M&E system picks up on these problems early so that appropriate interventions or modifications can be identified.

The methodology of the qualitative monitoring of beneficiary groups would primarily be developed from participatory techniques and various types of focus group interviews. A powerful technique might be participatory mapping, which allows individuals and groups to describe and analyse changes in land use and land tenure over time. As with the other components, the methodology will have to be developed, piloted, and refined early on with the establishment of the M&E system.

Although in theory it would be desirable to engage in process monitoring for each and every beneficiary group within the CBRLDP, i.e. to assist in trouble-shooting of problems as they arise, in practice this is not feasible. Therefore the proposal is that the qualitative monitoring is undertaken on a sample basis, and that, furthermore, in order to make the most of these data, the sample of beneficiary groups should be the same as that from which households are drawn for the household surveys. Details as to options for the structure of the panels are described in section 5.3 below on the household surveys. Beneficiary groups that are not selected as part of this panel, but who feel that they would somehow benefit from the visit and feedback of an outside observer, would still be eligible to request attention through the 'ad hoc M&E' (see section 5.5).

It is envisaged that the qualitative monitoring of beneficiary groups will be conducted by locally-based institutions, for example NGOs. Some capacity building could be made available to these institutions to carry out this function, and this is provided for in the capacity building budget. In terms of the timing of visits, it is proposed that each new beneficiary group that is selected into the panel is visited shortly after resettlement, and then every six months after that. (This would include during years during which the household interviews are skipped – see section 5.3 below.) It is important to collect some baseline information on beneficiary households that belong to the selected beneficiary groups. However, because it is impractical to use the usual household survey infrastructure to carry out household interviews at different times in different beneficiary groups at different times of year, it is furthermore proposed that the *baseline* household data is collected by the same team that conducts the group monitoring.

The question remains, having conducted all of these qualitative exercises on selected beneficiary groups, what happens with all of the information? First, it is key that a concise guideline sheet and reporting format are developed that ensures some degree in homogeneity in how qualitative assessments are conducted and written up. Second, it should probably be the responsibility of one of the core M&E Unit staff members to routinely read the reports and draft a summary report in which emerging patterns are identified and analysed. In addition, all of the reports would be made available to whomever is conducting the annual independent evaluation.

5.3 Periodic household surveys from a sample of beneficiary groups

The most important benefits of the CBRLDP are expected to occur at the level of the beneficiary households. Therefore it is critical to create, from the beginning, an efficient,

credible, and rigorous household survey infrastructure. Much of the overall evaluation of the CBRLDP will depend upon the availability of household survey data that allow comparisons of beneficiary household welfare (defined in numerous ways) over time and relative to non-beneficiary households.

The first question to consider in designing the household survey is the appropriate level of inference. As four districts are to be included in the CBRLDP pilot, it might be assumed that the sample size should be large enough to allow for inference at the district level. This however would imply an excessively large overall sample size, with uncertain advantages. The alternative opted for here is to assume that there are likely to be useful and important differences in how the CBRLDP functions in the two districts with high population density (Mulanje and Thyolo) versus the two with lower population density (Machinga and Mangochi). This means that one wishes to be able to make statistical inferences to the level of the 'district pair.'

Next, it is suggested in the Project Appraisal Document that the household surveys take the form of a panel, i.e. whereby the same households are visited repeatedly over time. Panels are powerful in that they allow the analyst to be more certain in drawing causal inferences about the impacts of the intervention in question. However, they also have complexities and costs. Chief among the reasons for these are, first, the fact that panels erode over time (i.e. some households that were visited in one year are difficult or impossible to relocate in subsequent years), and second, that one wishes to strike a balance between including households that benefited early on (and thus whom one can potentially observe over the whole five year period), of whom there may be few, and households that may have benefited in later years when the delivery system and policies were more refined.

Because of the high costs of adopting a new cohort of beneficiary households in each year, and then re-interviewing these same households each year, alternative panel structures are considered. Below are three options that were considered, on the assumption that 10 households would be interviewed from each selected beneficiary group. The 'estimated total groups' is the estimate of the total number of groups that will have benefited per year over the course of the five years. The following column assumes that these beneficiary groups are evenly split between the two 'district pairs.' The figures in the tableau enclosed in double lines represents how many beneficiary groups would be selected for household interviews from each district pair and from each cohort of beneficiary groups. In other words, in Option 1, in year 1, 20 beneficiary groups would be selected from each district pair, and households in these 20 beneficiary groups would be interviewed in each year. Similarly, 20 additional beneficiary groups would be selected from the year 2 cohort, and households from these groups would be interviewed annually from year 2 through year 5. The cumulative effects are such that, by year 5, the panel would include 200 beneficiary groups (from both district pairs), implying a total of 2000 household interviews. Over all five years, a total of 6000 household interviews would have been conducted. (One might question whether it is worthwhile inducting new cohorts into the panel in years 4 and 5. The assumption is that the M&E system will carry on beyond the pilot phase.)

Option 1

	est. total groups	by 'district pair'	survey year				
			1	2	3	4	5
cohort							
1	90	45	20	20	20	20	20

2	130	65	0	20	20	20	20
3	180	90	0	0	20	20	20
4	250	125	0	0	0	20	20
5	350	175	0	0	0	0	20
Groups per district-pair			20	40	60	80	100
Total groups			40	80	120	160	200
HHs per district-pair			200	400	600	800	1000
Total HHs			400	800	1200	1600	2000

Option 2 follows the same framework, however the assumption is made that households interviewed in one year are not interviewed again in the following year but rather in two years. The purpose of this approach is to economise: the total number of household interviews conducted over the five years is 3600 rather than the 6000 in Option 1.

Option 2

	est. total groups	by 'district pair'	survey year				
			1	2	3	4	5
cohort							
1	90	45	20	0	20	0	20
2	130	65	0	20	0	20	0
3	180	90	0	0	20	0	20
4	250	125	0	0	0	20	0
5	350	175	0	0	0	0	20
Groups per district-pair			20	20	40	40	60
Total groups			40	40	80	80	120
HHs per district-pair			200	200	400	400	600
Total HHs			400	400	800	800	1200

The problem with Option 2 however is that many households are not interviewed in year 5, the last year of the pilot phase. This is a disadvantage from the perspective of having as much information as possible for the end-of-pilot evaluation that would be envisaged. Therefore Option 3 is the same as Option 2, except that in year 5 all households that have previously been interviewed are interviewed again. For the purposes of this exercise (and the budget that forms part of it), Option 3 is assumed to be the most appropriate of the three options outlined.

Option 3

	est. total groups	by 'district pair'	survey year				
			1	2	3	4	5
cohort							
1	90	45	20	0	20	0	20
2	130	65	0	20	0	20	20
3	180	90	0	0	20	0	20
4	250	125	0	0	0	20	20
5	350	175	0	0	0	0	20

Groups per district-pair	20	20	40	40	100
Total groups	40	40	80	80	200
HHs per district-pair	200	200	400	400	1000
Total HHs	400	400	800	800	2000

Comparing the welfare of beneficiary households to that of non-beneficiary households requires one to have a 'control' group of households. However, given that beneficiary households are meant to be selected from among poorer households and in particular those with too little land, selecting control households purely at random would likely create an inappropriate comparison, unless the sample is large enough to allow identification of a reasonably comparable land-poor stratum. More likely, a means will have to be found to select a control group of households that reasonably approximates beneficiary households in terms of (initial) poverty and land-poverty.

Given the panel nature of the sample of beneficiary households, it is reasonable to suppose that the control sample should also be a panel, however in contrast to the beneficiary panels there is no need to phase in households in different years. Instead, it is suggested that 10 control communities be selected randomly in year 1 from each district pair, and that in each control communities there be a random selection of 10 households for interviews. The total control sample will then comprise 200 households, who will be interviewed on an annual basis more or less at the same time of year that the beneficiary household interviews are being conducted.

Comparisons between beneficiary households and non-beneficiary households can proceed in various ways. One way is to make static comparisons, i.e. in a given year, between the average income/food sufficiency/quality-of-life of households in one group versus those in the other group. Added to this could be a comparison of how households in the two groups evolve over time, on the hypothesis that beneficiary households will in time show evidence of investment and wealth accumulation greater than that visible in non-beneficiary households. And third, the comparison of beneficiary to non-beneficiary households could be conducted in such a way as to illuminate the difference in how these two households cope with risk, for example risks associated with weather shocks, asset loss, and ill health. Regardless of the specific angle of the comparison, a variety of statistical techniques could be employed, ranging from simple comparison-of-means tests to regression analysis.

The design, execution, and analysis of the household surveys is probably the single largest component of the proposed M&E system, while the household surveys component is also the component that will be most decisive in determining whether the CBRLDP is successful. (This latter consideration is notwithstanding the fact that the five year period during which the pilot is to take place is not in fact sufficient to allow beneficiary households to reap the full benefits of their assisted land acquisition.) It is therefore proposed that the household surveys forms the core of the annual independent evaluation that is envisaged. However, the service providers contracted to conduct the independent evaluation would be expected to take into consideration information emanating from all of the other M&E components. It is furthermore envisaged that the time and resources allocated for the annual independent valuation will be greatest in year 5. These assumptions underpin the manner in which the independent valuation was budgeted for, i.e. it is budgeted for within the household surveys component.

5.4 Once-off qualitative assessments of the impact of the project on people living in areas vacated by beneficiary groups

One of the potential benefits of the CBRLDP is the reduction of land pressure in areas which beneficiaries have left, i.e. 'vacated areas.' That is, households left behind could in principle also benefit, either by virtue of having the opportunity of taking over land that has been vacated by beneficiaries, or through the reduction in social tensions that resulted from excessive land pressure. On the other hand, it is also possible that there will be negative impacts on the community that beneficiary households left. One concern is that, if beneficiaries tend to be prime-age adults, then the demographics of the community after their departure may become more aged and vulnerable. Another possibility is that beneficiary households will not vacate their land at all, but rather try to use the CBRLDP to diversify their livelihoods (cf the inadvertent creation in Botswana of the 'dual grazing system' when some community members were given privileged access to exclusive grazing areas).

The fact is that until the impact on communities in vacated areas is studied, we will not know. However, as major impacts on these communities is not considered likely, nor is the benefit of reduced land pressure presented as one of the primary objectives of the CBRLDP, a minimalist approach to the M&E of this question is proposed. The suggestion is that, for each beneficiary group that is included in the panel sample as described above, there be a once-off visit to the community in the vacated area approximately one year after the beneficiaries left. This visit would entail the use of qualitative methods, possibly not very different to those used for the qualitative monitoring of beneficiary groups, and likely making use of the same service providers. As with the qualitative monitoring of beneficiary groups, the standardized reports drafted by the service providers will be channeled to the M&E Unit, within which someone will take responsibility for drafting periodic summaries/syntheses. Ultimately all of the reports would be made available to whoever is conducting the annual independent evaluation.

5.5 Ad hoc monitoring and evaluation capacity to cater to specific requests from beneficiary groups, districts, central government, and other stakeholders

It is desirable to set aside resources for specific requests for M&E that fall outside of the formal, regular framework made up of the other components. The idea is that a variety of different entities should be able to apply for resources with which to hire M&E service providers – on either a short-term, once-off basis, or perhaps on a longer-term, periodic basis – to develop understanding or provide feedback on specific aspects of the CBRLDP. It is possible that beneficiary groups themselves would be most likely to come forward with such requests, so as to get feedback that they can use to improve their internal functioning and advance their development aspirations (such a facility have proven very popular in rural Indonesia). However, district assemblies, donors, and other stakeholders might also have specific M&E needs, or indeed the CBRLDP internally might decide that it has a specific M&E need that is not elsewhere catered for.

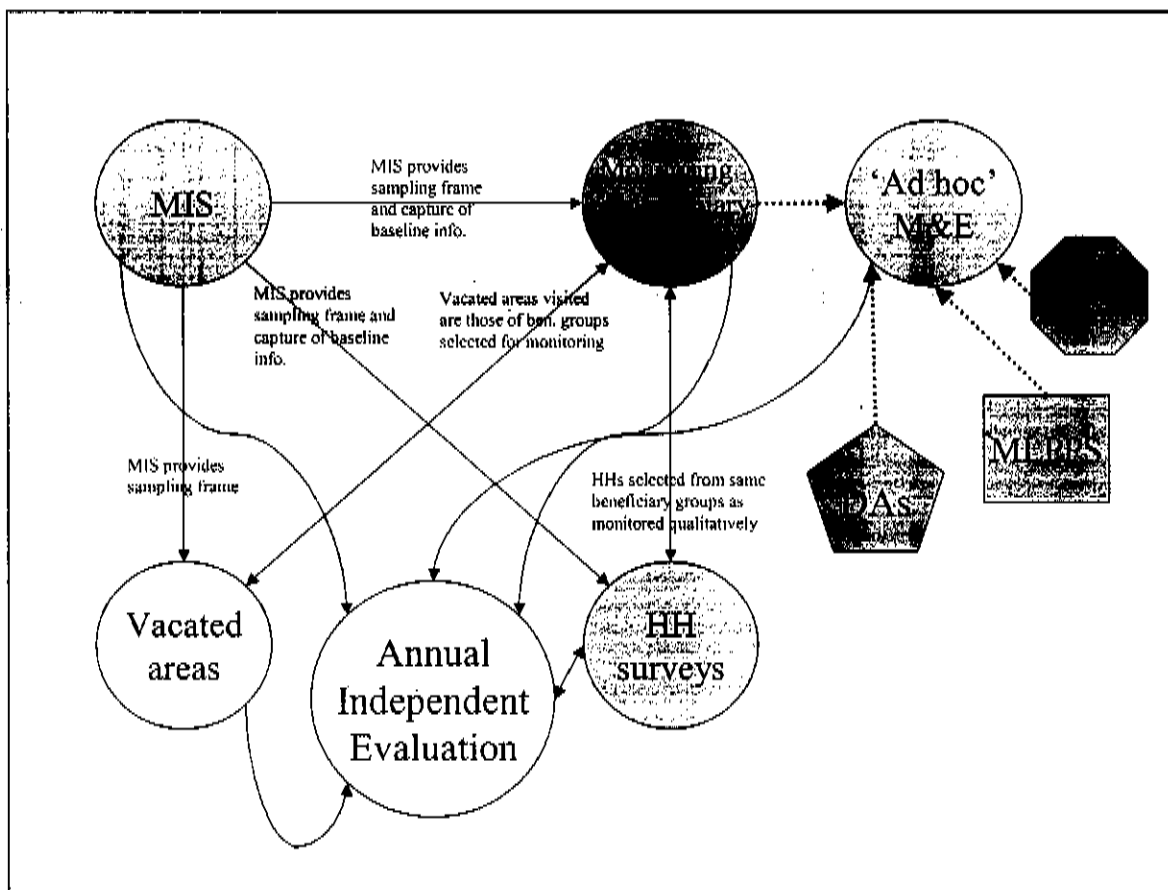
One of the first tasks of the new M&E Unit will presumably be to devise the procedures according to which entities could apply for ad hoc M&E attention, and the protocols according to which the requests are responded to.

5.6 Overview

To conclude, the following diagram attempts to show schematically how the various aspects of the proposed M&E system relate to one another. The solid, straight lines indicate specific functional links between components. Dotted lines indicate entities that might request

resources for ad hoc M&E. The sold curved lines indicate flows of information that would contribute to the annual independent evaluation of the CBRLDP.

Schema showing different components of the proposed M&E framework and their relationship to one another



6 Estimated budget

The estimated budget is shown below first in summary, and then in 'summary by component'. Full detail, including underlying assumptions, is provided in the Appendix. All figures are in constant 2003 \$US.

Summary

The relatively low cost in year 1 is due to the fact that in the first year the household survey will be relatively small. The high cost in year 5 is due to the fact that the household survey will be largest in that year, and major analytical work will be required to assist in the decision of whether and how to scale-up the project beyond its five-year pilot phase.

	year 1	year 2	year 3	year 4	year 5	total
recurrent	192,561	211,422	242,371	264,891	388,498	1,299,742
capital	13,500	0	0	0	0	13,500
total	206,061	211,422	242,371	264,891	388,498	1,313,242

Summary by component

The components are the five main components of the M&E framework as described in Section 4, plus management and capacity building. The high share of the total budget going to 'management' is some cause of concern, however it should be mentioned that the two staff members covered in this component also have substantial analytical and reporting functions.

		year 1	year 2	year 3	year 4	year 5	total	share
<i>MIS</i>								
	recurrent	19,800	1,800	1,800	1,800	1,800	27,000	
	capital	0	0	0	0	0	0	
	total	19,800	1,800	1,800	1,800	1,800	27,000	2.1%
<i>Group monitoring</i>								
	recurrent	33,781	56,301	78,821	101,342	123,862	394,106	
	capital	0	0	0	0	0	0	
	total	33,781	56,301	78,821	101,342	123,862	394,106	30.0%
<i>Household surveys</i>								
	recurrent	55,029	55,029	78,058	78,058	179,144	445,317	
	capital	0	0	0	0	0	0	
	total	55,029	55,029	78,058	78,058	179,144	445,317	33.9%
<i>Vacated areas</i>								
	recurrent	0	14,340	14,340	14,340	14,340	57,361	
	capital	0	0	0	0	0	0	
	total	0	14,340	14,340	14,340	14,340	57,361	4.4%
<i>Ad hoc</i>								
	recurrent	23,362	23,362	23,362	23,362	23,362	116,808	
	capital	0	0	0	0	0	0	
	total	23,362	23,362	23,362	23,362	23,362	116,808	9.0%

<i>Management</i>								
	recurrent	42,720	42,720	42,720	42,720	42,720	213,600	
	capital	13,500	0	0	0	0	13,500	
	total	56,220	42,720	42,720	42,720	42,720	227,100	17.3%
<i>Capacity building</i>								
	recurrent	17,600	17,600	3,000	3,000	3,000	44,200	
	capital	0	0	0	0	0	0	
	total	17,600	17,600	3,000	3,000	3,000	44,200	3.4%

7 Proposed core indicators for community selection of beneficiaries

The following indicators are designed to assist communities select who among them should benefit from the CBRLDP in a manner that is consistent with the CBRLDP's objectives.

Category	Proposed indicators
Land need	<ul style="list-style-type: none">• The applicant household is among the quarter of households in the community with the least amount of land
Poverty	<ul style="list-style-type: none">• The applicant household is among the quarter of households in the community with the lowest income and the least wealth
Likelihood of benefiting	<ul style="list-style-type: none">• The applicant household has the ability to work more land than it presently accesses, i.e. it has excess labour
Eligibility	<ul style="list-style-type: none">• The applicant household is not presently encroaching on land being applied for, nor involved in a labour dispute with owner of land being applied for

8 Proposed framework of information

Component	Indicators	Frequency	Responsibility	Reporting to
MIS	<ul style="list-style-type: none"> • Number of applications • Number of transfers • Speed of delivery by milestone • Beneficiary characteristics • Average land prices 	Monthly	MASAF; M&E Unit assimilates and drafts summary	M&E Manager, PPU, PMU, donors, etc.
Group monitoring	<ul style="list-style-type: none"> • Disputes • Other process issues • Land use & development patterns 	Once per selected project upon transfer, twice yearly thereafter	District-based service provider (e.g. NGO); M&E Unit assimilates and drafts summary	M&E Manager, DEC
Household surveys	<ul style="list-style-type: none"> • Improved incomes, living standards, and HH food security • Enhanced tenurial status • Increased land productivity 	Once per year according to panel sample strategy	Private sector service provider as per public tender	M&E Manager, PPU, PMU, donors, etc.
Vacated areas	<ul style="list-style-type: none"> • Less land pressure in departed area 	Once per year according to sampling strategy	District-based service provider (e.g. NGO); M&E Unit assimilates and drafts summary	M&E Manager, DEC
Ad hoc	<ul style="list-style-type: none"> • Diverse; probably mostly process issues 	As needed / on demand	Diverse; probably mostly district-based service provider (e.g. NGO)	Diverse; can include beneficiary groups and receiving communities

9 Terms of reference for independent evaluation

Objectives of the annual independent evaluation

The development objective of the CBLRDP is to increase the incomes of 15,000 to 20,000 poor rural families by implementing a decentralised, community-based, and voluntary approach to land reform. The CBLRDP represents an innovative approach to land reform in Malawi. It is conceived as a five-year pilot project in four selected districts. At the conclusion of the pilot phase, a decision will be taken whether or not to scale up the project to national level. This decision must be based on a rigorous evaluation of the project relative to its objectives. However, because of the importance of the project and its novelty in the context of Malawi's land situation, it is desirable that an independent evaluation is conducted at the conclusion of each year of the first five years. The approach to these annual independent evaluations will be more or less uniform, in that they will be based on the same sets of indicators and a more or less stable M&E framework. The annual independent evaluations must give early feedback as to the impact of the CBLRDP on beneficiary and other households, as well as on the overall functioning of the CBLRDP. The independent evaluation in early years will also serve as a useful baseline against which later years can be assessed.

Overview of these terms of reference

These terms of reference are for the independent evaluation to be conducted in the first year of the CBLRDP. It is assumed that the task of conducting the independent evaluation will go out to tender annually. There is a hope, but not an assumption, that the service provider selected to conduct the independent evaluation in the first year will go on to do so in subsequent years. The terms of reference for the independent evaluation in these subsequent years will be essentially the same as those indicated here, except that the present terms of reference assume that the service provider also plays a role early on in the design of the household survey instruments and overall sampling design.

The independent evaluation requires the service provider to undertake the following:

- Design of questionnaire instruments for the household surveys;
- Assistance with the design of the panel sampling strategies for both beneficiary and non-beneficiary household samples;
- Conducting of household surveys, including both members of beneficiary groups and of control groups;
- Analysis of survey data, as well as drafting of annual evaluation report integrating information from all relevant components, i.e. MIS, group monitoring, survey of vacated areas, etc.

Overview of the M&E framework and relationship to the annual independent evaluations

The M&E framework involves five main components:

- An adapted management information system (MIS), in order to collect and organise baseline data on households and beneficiary groups, as well as to provide information on applicant groups' progress through delivery milestones;
- Periodic qualitative monitoring of beneficiary groups, in order to examine group-level processes and problems, including in relation to the 'host' community, and of the 'host' community in relation to the beneficiary group;
- Periodic household surveys from a sample of beneficiary groups, in order to help establish household-level benefits from the project;
- Once-off qualitative assessments of the impact of the project on people living in areas vacated by beneficiary groups; and
- Ad hoc monitoring and evaluation capacity to cater to specific requests from beneficiary groups, districts, central government, and other stakeholders.

Of these five components, all but possibly the fifth will be of direct relevance to the annual independent evaluations, in the sense that the evaluations will be expected to reflect on information collected from all of them. However, the household surveys will be of particular relevance to the independent evaluations, and as such the design and execution of the household surveys will be the responsibility of the service provider engaged to undertake the independent evaluation.

The household surveys

Household surveys will be conducted on an annual basis. The information from the household surveys will complement that from the qualitative monitoring of the beneficiary groups as well as information from other sources. The household surveys will focus on household-specific information, largely but not only quantitative, which will enable analysis of the impact of the project on household welfare. As with the qualitative monitoring of the beneficiary groups, some households will be selected for inclusion in the sample from the first year and be re-surveyed periodically thereafter, while others will be selected and followed from the second year, and so on. In addition, non-beneficiary households will also be selected from the pilot districts from the first year and surveyed annually, so as to serve as a 'control' group relative to the beneficiary households.

The overall sampling scheme for beneficiary households is envisaged to be the following, although the service provider will be expected to assess, adjust, and embellish as necessary. The scheme is based on the assumption that among the four pilot districts, the two that have high population density can be treated as a 'district pair', while those having lower population density can be treated as another 'district pair'. Inference can be made to the district-pair level rather than district level.

The following table presents one possible strategy for developing the sample panel of beneficiary households. The figures in the tableau enclosed in double lines represents how many beneficiary groups would be selected for household interviews from each district pair and from each cohort of beneficiary groups. In other words, in year 1, 20 beneficiary groups would be selected from each district pair, and households in these 20 beneficiary groups would be interviewed in each year. Similarly, 20 additional beneficiary groups would be selected from the year 2 cohort, and households from these groups would be interviewed annually from year 2 through year 5. However, this is merely an illustration of one possible approach. The

service provider would be expected to adjust and embellish as necessary, provided that statistical representivity with a reasonable degree of confidence is possible at the district-pair level.

	est. total groups	by 'district pair'	survey year					
			1	2	3	4	5	
cohort								
1	90	45	20	0	20	0	20	
2	130	65	0	20	0	20	20	
3	180	90	0	0	20	0	20	
4	250	125	0	0	0	20	20	
5	350	175	0	0	0	0	20	
Groups per district-pair			20	20	40	40	100	
Total groups			40	40	80	80	200	
HHs per district-pair			200	200	400	400	1000	
Total HHs			400	400	800	800	2000	

The control panel, by contrast, is assumed to consist of households drawn from 10 beneficiary groups per district pair. These households will be identified and surveyed in year 1, and surveyed again in each subsequent year.

Deliverables

The service provider will be expected to furnish two reports. The first will be an inception phase report in which the methodology and field logistics are fully explained and motivated. The second report will be the comprehensive annual independent evaluation report submitted within 14 months of when the CBRLDP commenced. This report will be approximately 80-100 pages in length, excluding appendices, and will also include a chapter assessing the M&E methodology itself. Finally, the service provider will be expected to make a formal presentation of the final report to the a meeting comprising the PMU, the PPU, donor representatives, and other relevant stakeholders.

Appendix – Detail to support the budget estimates

Core assumptions and information sources

Delivery

The scale of each of the three components that involve fieldwork (periodic qualitative monitoring of beneficiary groups, periodic household surveys, once-off qualitative assessment of impacts on vacated areas) depends in some measure on the scale of delivery of the CBRLDP. This delivery is estimated based on the assumptions stated in the project documentation to the effect that up to 20,000 households will benefit in the five year pilot phase, and that there are likely to be on average 20 households per beneficiary group. To these were added an assumption that the pattern of delivery would be one of acceleration rather than linear increase. The underlying assumption of the pattern of delivery used to underpin the sampling scenarios is therefore as follows:

year	beneficiary groups	beneficiary households
1	90	1800
2	130	2600
3	180	3600
4	250	5000
5	350	7000
total	1000	20000

Professional fees

Various types of professional input are required for the different outsourced aspects of the M&E system. Overall, five different 'levels' of professional input are envisaged, together with the following assumptions regarding daily rates or ranges of rates:

professional levels	rate per day (\$US)
enumerator/research assistant	30-60
non-university level, local	90
university level, local, junior	150-175
university level, local, senior	250
university level, international, senior	350

Other unit costs

Where possible, unit costs are taken from comparable projects in which the MLPPS is involved. Various figures (e.g. telephone costs, equipment costs, consumables) were furnished by the finance unit within the MLPPS. Certain costs however were 'guesstimates.'

Local transport

Realistic transport costs had to be included in relevant components, whether those that are outsourced or those that are not. All local transport costs were calculated as operational costs – i.e.

provision was not made for the acquisition of vehicles. However, local transport costs took into account the need to use 4x4s and high wear-and-tear conditions. An indicative cost-per-kilometre was estimated based on the method employed by the South African Automobile Association as explained in the annually published *AA Rate Schedules*, and adjusting for average fuel costs in Malawi and the type of 4x4 vehicle likely to be employed.

Adapted MIS

	year 1	year 2	year 3	year 4	year 5
recurrent	19 800	1 800	1 800	1 800	1 800
development	18 000	0	0	0	0
maintenance	1 800	1 800	1 800	1 800	1 800
capital	0	0	0	0	0

The bulk of the cost for the adaptation of the MIS occurs in year 1 when a programmer must revise some of the MASAF modules and design from scratch one or two others. The cost of \$18000 was based on the assumption of 60 person-days at \$300 per day. The maintenance cost was assumed to be 10% of this.

Note that this budget is purely for the technical adaptation and maintenance of the MIS software in order to complement the M&E system, and does not relate to the broader function proposed for MASAF regarding financial management, etc.

Periodic qualitative monitoring of beneficiary groups

	year 1	year 2	year 3	year 4	year 5
recurrent	33 781	56 301	78 821	101 342	123 862
capital	0	0	0	0	0

The main assumptions are as follows:

Assumptions:

- 1 field team = 4 people = 1 senior + 3 junior
- 2 requires 1 day in field + 0.5 day for write-up by senior
- 3 beneficiary groups per year - 1:90, 2:130, 3:180, 4:250, 5:350
- 4 transport costs based on AA rates/method
- 5 overall analysis conducted by M&E project staff
- 6 management as % of costs: 10%

Three alternative scenarios were considered that differ in the number of beneficiary groups visited per year and the manner in which 'new groups' are phased into the panel. For the purposes of this budget, 'Example 2' was chosen. This scenario conforms with the number of beneficiary groups from which households would be interviewed for the household questionnaire.

Example 1						
	sample groups			visits		
year	new	existing		new	existing	total
				x 3	x 2	
1	20	0		60	0	60
2	20	20		60	40	100
3	20	40		60	80	140
4	20	60		60	120	180
5	20	80		60	160	220
				300	400	
Example 2						
	sample groups			visits		
year	new	existing		new	existing	total
				x 3	x 2	
1	40	0		120	0	120
2	40	40		120	80	200
3	40	80		120	160	280
4	40	120		120	240	360
5	40	160		120	320	440
				600	800	

Example 3						
	sample groups			visits		
year	new	existing		new x 3	existing x 2	total
1	50	0		150	0	150
2	50	50		150	100	250
3	50	100		150	200	350
4	50	150		150	300	450
5	50	200		150	400	550
				750	1000	

The estimated cost driver (cost of monitoring one beneficiary group), taking into account mainly staff time and travelling costs, is presented below.

Cost driver:	cost per monitoring of 1 group
Estimate:	282

Details on the estimation of the cost driver are presented below. The underlying assumption is that the service providers are local entities who are relatively inexpensive.

senior	90 USD per day
junior	30 USD per day
fees per project	225 USD
stationary	10
transport	100 km per site
AA RSA rates/km for 4x4	
	1.21 rand
	1.04 less VAT
	1.31 + 25% for 4x4
	0.17 USD per km
	17.43 USD per site
	20.91 USD per site and scaled up for Malawi

Periodic household surveys

	year 1	year 2	year 3	year 4	year 5
recurrent	55 029	55 029	78 058	78 058	179 144
field work	23 029	23 029	46 058	46 058	115 144
write-up & analysis	32 000	32 000	32 000	32 000	64 000
capital	0	0	0	0	0

The main assumptions are as follows:

Assumptions:

- 1 field team = 2 people = 1 senior + 1 junior
- 2 beneficiary groups per year - 1:90, 2:130, 3:180, 4:250, 5:350
- 3 10 HHs interviewed per group
- 4 requires 1 day in field + 1 day for data cleaning and data entry
- 5 transport costs based on AA rates/method
- 6 calculate contingency for return visits of: 20%
- 7 management as % of costs: 10%
- 8 assume anal. and write-up = 2 x in year 5

Three alternative scenarios were considered that differ in the number of beneficiary groups visited per year and the manner in which 'new groups' are phased into the panel. The tableaux below show these alternative options, where 'cohort' refers to the beneficiary groups that received land in years 1, 2, ... 5, and 'survey year' refers to the year in which the beneficiaries are interviewed. The control panel sample is shown in the last tableau of the table.

For the purposes of this budget, 'Option 3' was chosen. This scenario conforms with the number of beneficiary groups selected for the qualitative beneficiary group monitoring.

Option 1	total groups	by 'district pair'	survey year					
			1	2	3	4	5	
cohort								
1	90	45	20	20	20	20	20	
2	130	65		20	20	20	20	
3	180	90			20	20	20	
4	250	125				20	20	
5	350	175					20	
Groups per district-pair			20	40	60	80	100	
Total groups			40	80	120	160	200	
HHs per district-pair			200	400	600	800	1000	
Total HHs			400	800	1200	1600	2000	
Option 2	total groups	by 'district'	survey year					
			1	2	3	4	5	

		pair'					
cohort							
1	90	45	20		20		20
2	130	65		20		20	
3	180	90			20		20
4	250	125				20	
5	350	175					20
Groups per district-pair			20	20	40	40	60
Total groups			40	40	80	80	120
HHs per district-pair			200	200	400	400	600
Total HHs			400	400	800	800	1200
Option 3			survey year				
	total groups	by 'district pair'	1	2	3	4	5
cohort							
1	90	45	20		20		20
2	130	65		20		20	20
3	180	90			20		20
4	250	125				20	20
5	350	175					20
Groups per district-pair			20	20	40	40	100
Total groups			40	40	80	80	200
HHs per district-pair			200	200	400	400	1000
Total HHs			400	400	800	800	2000
control panel			survey year				
			1	2	3	4	5
Groups per district-pair			10	10	10	10	10
Total groups			20	20	20	20	20
HHs per district-pair			100	100	100	100	100
Total HHs			200	200	200	200	200

Two cost driver are estimated. The first relates to the cost of conducting housing interviews at one site on one occasion. The other relates to the cost of conducting the analysis and report writing in a 'typical year', i.e. in years 1 through 4. The assumption is that the cost in year 5 will be twice the cost driver amount.

Cost driver 1:	cost per conducting survey in 1 group
Estimate:	576
Cost driver 2:	analysis and report writing
Estimate:	32 000

Details on the estimation of the cost drivers are presented below.

field work:				
senior	175	USD per day		
junior	60	USD per day		
fees per project	355	USD		
transport				
	100	km per site		
AA RSA rates/km for 4x4				
	1.21	rand		
	1.04	less VAT		
	1.31	+ 25% for 4x4		
	0.17	USD per km		
	17.43	USD per site		
	20.91	USD per site and scaled up for Malawi		
		pages	cost	total
photocopying		200	0.1	20
analysis and write-up -				
80	person-days of which			
40	2 local @		250	USD per day
40	2 int. @		350	USD per day
air			1000	
S&T			150	

Once-off qualitative assessment of impacts on vacated areas

	year 1	year 2	year 3	year 4	year 5
recurrent	0	14 340	14 340	14 340	14 340
capital	0	0	0	0	0

The main assumptions are as follows:

Assumptions:

- 1 field team = 3 people = 1 senior + 2 junior
- 2 requires 1 day in field + 0.5 day for write-up by senior
- 3 beneficiary groups per year - 1:90, 2:130, 3:180, 4:250, 5:350
- 4 number of areas visited corresponds to number of new groups selected for M&E
- 5 length of lag = 1 year
- 6 transport costs based on AA rates/method
- 7 overall analysis conducted by M&E project staff
- 8 management as % of costs: 10%

Three alternative scenarios were considered that differ in the number of beneficiary groups visited per year. For the purposes of this budget, 'Example 2' was chosen. This scenario conforms with the number of beneficiary groups from which households would be interviewed for the household questionnaire.

	Number of new groups per year	visits per year			
		year 2	year 3	year 4	year 5
Example 1	30	30	30	30	30
Example 2	40	40	40	40	40
Example 3	50	50	50	50	50

The estimated cost driver (cost per visiting and interviewing in 1 vacated area), taking into account mainly staff time and travelling costs, is presented below.

Cost driver:	cost per visiting and interviewing in 1 vacated area
Estimate:	359

Details on the estimation of the cost driver are presented below.

senior	150 USD per day
junior	40 USD per day
fees per project	305 USD

transport

100 km per site

AA RSA rates/km for 4x4

1.21 rand

1.04 less VAT

1.31 + 25% for 4x4

0.17 USD per km

17.43 USD per site

20.91 USD per site and scaled up for Malawi

Ad hoc monitoring and evaluation rendered on a demand basis

Given the lack of clarity as to what the demand for this component would be, for budgeting purposes the arbitrary assumption was that this component would absorb 10% of the total operational part of the M&E budget per year.

Management

	year 1	year 2	year 3	year 4	year 5
recurrent	42 720	42 720	42 720	42 720	42 720
staff	36 000	36 000	36 000	36 000	36 000
telephone	1 440	1 440	1 440	1 440	1 440
office supplies	2 400	2 400	2 400	2 400	2 400
travel	1 280	1 280	1 280	1 280	1 280
s&t	1 600	1 600	1 600	1 600	1 600
capital	13 500	0	0	0	0
furniture	3 000	0	0	0	0
PC etc	10 500	0	0	0	0

The core assumption in respect of the cost of management is that the M&E unit will comprise one manager and one junior staff member.

Assumptions:

- 1 manager = 1
- 2 staff = 1

Details as to various cost components are provided below:

Capital			
furniture		1000 USD each	
equipment		3500 USD each	
office space	no cost		
vehicle	treated as operational cost		
Consumables			
telephone	6000 Kw per person per month		60 USD
office supplies	Kw per person per month		100 USD
Travel costs			
staff		2	
trips per year per staff		8	
distance per trip		400 km	
cost per km		0.2 USD	
total		1280 USD	

Capacity building

	year 1	year 2	year 3	year 4	year 5
Recurrent	17 600	17 600	3 000	3 000	3 000
training of M&E staff	14 600	14 600	0	0	0
training of others	3 000	3 000	3 000	3 000	3 000
Capital	0	0	0	0	0

Details regarding the costs of training for the two M&E officers are presented below. The figure of \$3000 for the training of others (e.g. NGO service providers) is completely arbitrary, but the assumption is that no foreign trainers are required.

training of M&E staff		
2 weeks per year	22 person-days	
trainers	USD per day	8800
s&t	USD per day	3300
air	return	2000
materials		500
		14600