

Clear Horizon

J-PAL SEA Monitoring Evaluation and Learning Plan

**Prepared for The Abdul Latif Jameel Poverty Action Lab
Southeast Asia (J-PAL SEA)**

11 December 2018



Design. Evaluate. Evolve.

Clear Horizon Consulting
129 Chestnut Street, Cremorne VIC 3121
T +61 3 9425 7777
www.clearhorizon.com.au



Contact Details

Clear Horizon Contact	Client Contact
Byron Pakula	Lina Marliani and Aulia Larasati
Principal Consultant	Executive Director and Senior Training Associate
Clear Horizon Consulting	J-PAL SEAJ-PAL SEAJ-PAL SEA
129 Chestnut Street, Cremorne VIC 3121	Jl. Salemba Raya No.4, RW.5, Kenari, Senen, Kota Jakarta Pusat, Daerah Khusus Ibukota Jakarta 10430, Indonesia
P: +61 3 9425 7777	P: +62 21 31925023+62 21 31925023+62 21 31925023
E: byronbyronbyron@clearhorizon.com.au	E: imarliani@povertyactionlab.org alarasati@povertyactionlab.org ,

Document review and authorisation

Version	Date distributed	Issued to	Comments
MELF v1	21 September 2017	Matt, Lina	The Monitoring Evaluation and Learning Framework version 1 was submitted to J-PAL with the initial structure in place. Comments received and incorporated into the MEL Plan.
MELF v2	17 November 2017	Matt, Lina	This document (draft 1) is intended for J-PAL SEA internal comments. J-PAL SEA sent feedback to Clear Horizon on 24 November 2017. Clear Horizon sent draft 2 for DFAT review on 1 December 2017.
MELF v2	1 December 2017	Matt, Lina	Draft of MELP for sharing with DFAT and to consolidate all final feedback.
MELF v3	14 March 2018	Aulia, Lina	Final MELP based on feedback from DFAT and J-PAL to be issued to J-PAL SEA
MELF V4	4 June 2018	Aulia, Christal	Final MELP based on second feedback from DFAT and a discussion with J-PAL SEA on May 30 th 2018. This version is to be issued to J-PAL SEA
MELF V6	11 December	DFAT	Internal Revision from J-PAL SEA to accommodate changes after implementing the MELP

Lead author	Byron Pakula, Rini Mowson
Project Director	Byron Pakula
Internal Contributors	
External Contributors	
Last Saved	8/10/2019 2:02 PM
Clear Horizon Reference No.	CH17-082

Disclaimer

This document has been produced with information summarised from workshops on the 11 – 12 August 2017 and 31 October – 1 November 2017. While we make every effort to ensure the accuracy of the information contained in this report, any judgements as to suitability of the information for the client's purposes are the client's responsibility. Clear Horizon extends no warranties and assumes no responsibility as to the suitability of this information or for the consequences of its use.

Contents

Summary of the J-PAL SEA MEL Plan	1
1. Introduction	2
1.1. About the Abdul Latif Jameel Poverty Action Lab Southeast Asia.....	2
1.2. About the Monitoring Evaluation and Learning Plan	3
2. J-PAL SEA Theory of Change	5
2.1. Overview of Theory of Change.....	5
3. Scope of the MEL Framework	11
3.1. Purpose	11
3.2. Boundaries	11
3.3. Timeframes	11
3.4. Resources.....	12
3.5. Audiences.....	12
3.6. Gender equality and social inclusion.....	13
4. Key Evaluation Questions.....	14
4.1. Key evaluation questions, sub-questions, and methods.....	15
5. Performance Expectations	21
5.1. Targets.....	21
5.2. Rubrics.....	21
6. Data Collection Methods and Tools	24
6.1. Monitoring Methods.....	24
6.2. Evaluation Methods	26
7. Data Analysis and Synthesis	28
7.1. Data analysis.....	28
7.2. Data Synthesis	28
8. Operationalising, Reporting and Utilization.....	30

8.1. Operationalising MEL Plan	30
8.2. Reporting.....	31
8.3. Utilization: Learning and Improvement	32
Annex 1: Stakeholder Maps	34
Annex 2: Monitoring & Evaluation Tools AND Rubrics	37
Annex 3: Evidence Matrix	38
Annex 4: Suggested Structure for the J-PAL SEA Annual Report	40
Annex 5: DFAT MEL Standards Related to Investment Progress Reporting	41
Annex 6: DFAT Performance Assessment Framework Indicators	45

List of figures

Figure 1. Summary of the J-PAL SEA MEL Plan	1
Figure 2. J-PAL SEA Theory of Change	6
Figure 3 Stakeholder Map – Research Stream – EOPO 1	34
Figure 4 Stakeholder Map – Policy Outreach Stream – EOPO 2	35
Figure 5 Stakeholder Map – Capacity Building Stream – EOPO 3	36

List of tables

Table 1. MEL Framework Audience	12
Table 2. Key Evaluation Questions, Indicators, Targets and Methods	15
Table 3. Fit for Purpose Research Rubric.....	21
Table 4. Right Research Partners and Training Participants Rubric	22
Table 5. Quality of Research Rubric.....	23
Table 6. Training Participants' Capability Rubric	23
Table 7. J-PAL SEA MEL Operational Plan	30
Table 8. J-PAL SEA Reporting and Timeframes.....	31
Table 9. Suggested Questions Asked During Reflection Workshop	32
Table 10. PAF Summary – Suggested Indicators Relevant to J-PAL SEA.....	45

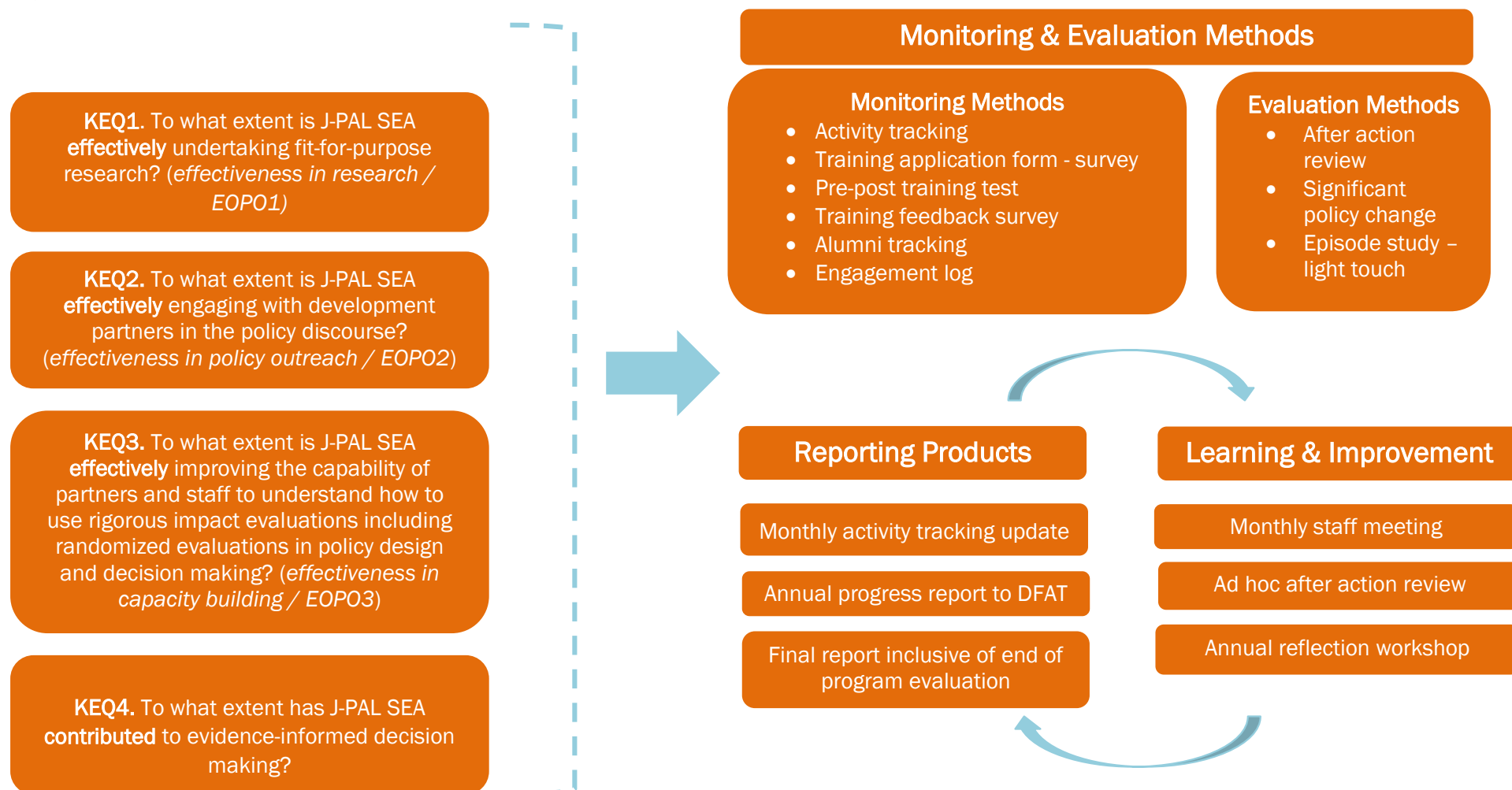
Acronyms

DFAT	The Department of Foreign Affairs and Trade of the Australian Government
EOPO	End of Program Outcome
GOA	Government of Australia
GOI	Government of Indonesia
J-PAL	The Abdul Latif Jameel Poverty Action Lab
J-PAL SEA	The Abdul Latif Jameel Poverty Action Lab Southeast Asia
KEQ	Key Evaluation Question
MEL	Monitoring and Evaluation
NGO	Non-Government Organization
OECD-DAC	Organisation for Economic Co-operation and Development - Development Assistance Committee
PAF	Performance Assessment Framework
PI	Principal Investigator
RE	Randomized Evaluation
RCT	Randomized Controlled Trial
SPC	Significant Policy Change
TOC	Theory of Change

Summary of the J-PAL SEA MEL Plan

This document presents the monitoring evaluation and learning (MEL) Plan for Abdul Latif Jameel Poverty Action Lab Southeast Asia (J-PAL SEA). The plan is based four key evaluation questions that guide data collection and analysis for ongoing monitoring and periodic evaluation. There are a range of reporting outputs from the MEL system, in addition to regular opportunities to learn and improve on program and project implementation. A summary of these components is presented below in Figure 1, and provided in more detail in the report.

Figure 1. Summary of the J-PAL SEA MEL Plan



1. Introduction

1.1. About the Abdul Latif Jameel Poverty Action Lab Southeast Asia

The Abdul Latif Jameel Poverty Action Lab (J-PAL) is a network of 145 affiliated professors from 49 universities that conducts randomized evaluations to measure the impact of development and social programs to reduce poverty in over 80 countries, work with policy makers to translate this knowledge into policy change, and help strengthen practitioners' capacity to conduct and use the results of evaluations. J-PAL was founded in 2003 and currently it has six regional offices in South Asia, Europe, Latin America and Caribbean, Africa, North America and Southeast Asia. The J-PAL Southeast Asia (J-PAL SEA) was established as the fifth regional office in 2013 at the Faculty of Economics and Business at the University of Indonesia.

In line with its broader goals of promoting a more prosperous and inclusive Indonesia, Government of Australia (GoA) began investing in J-PAL SEA to promote the creation of evidence and analysis to inform policy development. For Phase 1, from 2012 to 2017, GoA provided USD 5.7 million to establish J-PAL SEA at the University of Indonesia and to support the office. For Phase 2, from 2018 to 2021, GoA provides AUD 10 million. This includes about AUD 2.77 million in funding to develop specific research projects including both pilot funds and funds for the (Indonesia Research Fund) IRF to support policy-relevant full research projects; funds here include data collection costs and SEA research staff working on these projects. Through the IRF, J-PAL SEA is able to conduct exploratory research and invest in collaborations which are key to find additional donors from universities, international NGOs, and/or other donor organizations. During Phase 1, J-PAL SEA has secured commitments from 13 additional donors¹, leveraging a further 21% of total operations budget and increasing the number of research projects J-PAL can produce. In addition to discrete research projects supported by the IRF, the remaining GoA funds support the three main activity areas of Research Development, Capacity Building, and Policy Outreach, along with overall management and administration. This includes extensive involvement in Indonesia by the J-PAL SEA Scientific Directors and organizational development support by J-PAL Global.

Since J-PAL SEA's inception, 48 randomized evaluations have been conducted or are ongoing across 10 countries in Southeast Asia.² Much of the work in Indonesia, which includes 3 completed studies, 10 ongoing, and 10 studies in pilot, is supported by the Australian Department of Foreign Affairs and Trade (DFAT). J-PAL SEA's portfolio in Indonesia is expanding beyond social protection to focus more broadly on policy questions related to three key areas: inclusive growth; human capital and employment; and effective governance and domestic resource mobilization. In Indonesia, there is a large and unmet demand for more rigorous evidence and policy advisory support among key decision makers. This is aligned with the J-PAL global mission to reduce poverty by ensuring that policy is informed by scientific evidence. To achieve this mission, J-PAL SEA is implementing three main activities, i.e.:

- **Research:** conducting randomized evaluations to test and improve the effectiveness of programs and policies aimed at reducing poverty. This activity is implemented by broadening the evidence base on Indonesia's priority development policies to create a more prosperous and inclusive society (rigorous impact evaluations³).

¹ These external funding sources are from various universities such as University of Sydney, Melbourne University, Harvard Kennedy School, Tilburg University, and Centro De Estudios Monetarios Y Financieros (CEMFI); J-PAL Global research grants, namely the Government Initiative and the Government Partnership Initiative (GPI); and international development organizations such as The Center for Global Development (CGD), ISEAL Alliance, and Evidence Action.

² Studies outside Indonesia are conducted by J-PAL affiliated researchers directly, the 48 studies listed on our website are conducted in Cambodia (2); Laos (1); Malaysia and Singapore (1); Myanmar (1); Papua New Guinea (1); Philippines (22); and Vietnam (1). In Indonesia there are 19 studies published in our website.

³ J-PAL defines impact evaluation as a type of evaluation aims to make a causal link between a program or intervention and a set of outcomes and tries to answer the question of whether a program is responsible for changes in the outcomes of interest. Impact evaluations estimate program effectiveness usually by comparing outcomes of those (individuals, communities, schools, etc) who participated in the program against those who did not participate. For more detail, please

- **Policy outreach:** analysing and disseminating research results; building partnerships with policymakers to ensure that policy is driven by evidence and that effective programs are scaled up. This activity is conducted by increasing the use of scientific evidence in policy debates and decisions by government, donors, and the private sector in Indonesia and Southeast Asia.
- **Capacity building:** conducting training for implementers and policy makers on how to become better producers and users of evidence from rigorous impact evaluations including randomized evaluations⁴. This activity aims to increase the capability of Indonesian and regional researchers and policymakers understand what rigorous impact evaluations including randomized evaluations are, why they are useful, and when they are appropriate, as well as support the production and/or use of high-quality evidence for informing more effective development programs and policies.

1.2. About the Monitoring Evaluation and Learning Plan

In the end of 2017, DFAT has agreed to support J-PAL SEA second phase implementation (between 2018 and 2021) with some changes in J-PAL SEA's operations, particularly in its efforts to inform policy. DFAT second phase support offers opportunities for J-PAL SEA to focus more on the core program activities and meet the expectations of a variety of stakeholders.

As part of the designing and planning process of J-PAL SEA second phase program, Clear Horizon is working with J-PAL SEA to assist in developing a Monitoring Evaluation and Learning (MEL) Plan. The first workshop was conducted on 11 – 12 August 2017. The result of this workshop was an MEL Framework for J-PAL SEA including a Theory of Change (TOC) and three stakeholder maps.

A second workshop was carried out on 31 October – 1 November 2017. The results of the second workshop was an MEL Plan for J-PAL SEA including guidelines for the monitoring and evaluation tools, reporting products and how to report and use the MEL data for learning and improvement. This MEL plan is intended to provide J-PAL SEA with a systematic way to gather, analyse, interpret and report on MEL data to DFAT as the main donor. Thus, this MEL Plan is mainly consistent with DFAT M&E standard #2 on Investment Monitoring and Evaluation Systems and universally accepted international standards for evaluation⁵.

The contents of this MEL plan, inclusive of the stakeholder maps and TOC, are based on a desktop review, the workshops and follow up reviews/discussions. The report is structured as follows:

- Introduction to J-PAL SEA and its MEL Plan (see section 1)
- Theory of change, articulating three End of Program Outcomes (EOPOs) and J-PAL SEA's contributions toward those outcomes (see section 2)
- The MEL framework's scope, including purpose, boundaries, timeframe, resources and audience (see section 3)
- A set of overarching key evaluation questions and related sub-questions that summarise key insights about the performance and contribution of J-PAL SEA's projects (see section 4)
- Detailed description of performance expectations and what J-PAL SEA is expecting in terms of measures of success (see section 5)
- Detailed description of the associated monitoring and evaluation methods and tools (see section 6)
- A description of the analysis and synthesis required against each MEL tool (see section 7)

see

<https://www.povertyactionlab.org/sites/default/files/event/00.%20Malawi%20Workshop%20Booklet%20For%20Print.pdf>
or <https://www.povertyactionlab.org/research-resources/introduction-evaluations>

⁴ J-PAL defines randomized evaluation as a type of impact evaluation that use a specific methodology for creating a comparison group—in particular, the methodology of random assignment. For more detail, please see <https://www.povertyactionlab.org/research-resources/introduction-evaluations>

⁵ Examples of universal M&E standards are evaluation standards (impact, relevance, effectiveness, efficiency and sustainability) established by Organisation for Economic Co-operation and Development Assistance Committee (OECD-DAC).

- A description of the key reporting products, how to operationalise the MEL Plan and how to utilise the MEL data for learning and improvement (see section 8)
- Annexes including J-PAL SEA stakeholder maps, a set of technical guidelines to the MEL tools, a set of attachments to the performance expectations/rubrics, an example of evidence matrix for annual reflection workshop and reporting to DFAT, suggested structure for J-PAL SEA annual report, DFAT standards on progress reporting and Performance Assessment Framework (PAF) indicators relevant to J-PAL SEA⁶.

⁶ On November 30th 2017, DFAT published PAF technical note 3.0 for reporting of 2017 calendar year. The PAF report in 2018 is due on May 31st, 2018.

2. J-PAL SEA Theory of Change

2.1. Overview of Theory of Change

The theory of change (TOC) provides a narrative and graphical representation of the overarching J-PAL SEA program. Specifically, it is intended to outline the causal pathways between the inputs, activities and outputs of J-PAL SEA and the outcomes and impacts of the program. This forms the basis for supporting the design of the second phase of the DFAT funded program, as well as the foundations of the MEL Plan. The following sub-section describes the ‘causal chain’ relationship in the J-PAL SEA TOC.

Broader Goals

The **broader goals** of J-PAL SEA are to *strengthen evidence informed policy making related to poverty reduction and development within our Government, donor and private sector partners in Indonesia*, so that ultimately *beneficiaries, including women and marginalised groups, have improved inclusive socio-economic outcomes*⁷.

In this context, J-PAL SEA defines policy making and changes in a very broad manner. It enables J-PAL SEA to capture both policy decisions and processes, including implementation. Referring to Keck and Sikkink’s work in 1998⁸, five key dimensions of J-PAL SEA policy changes are:

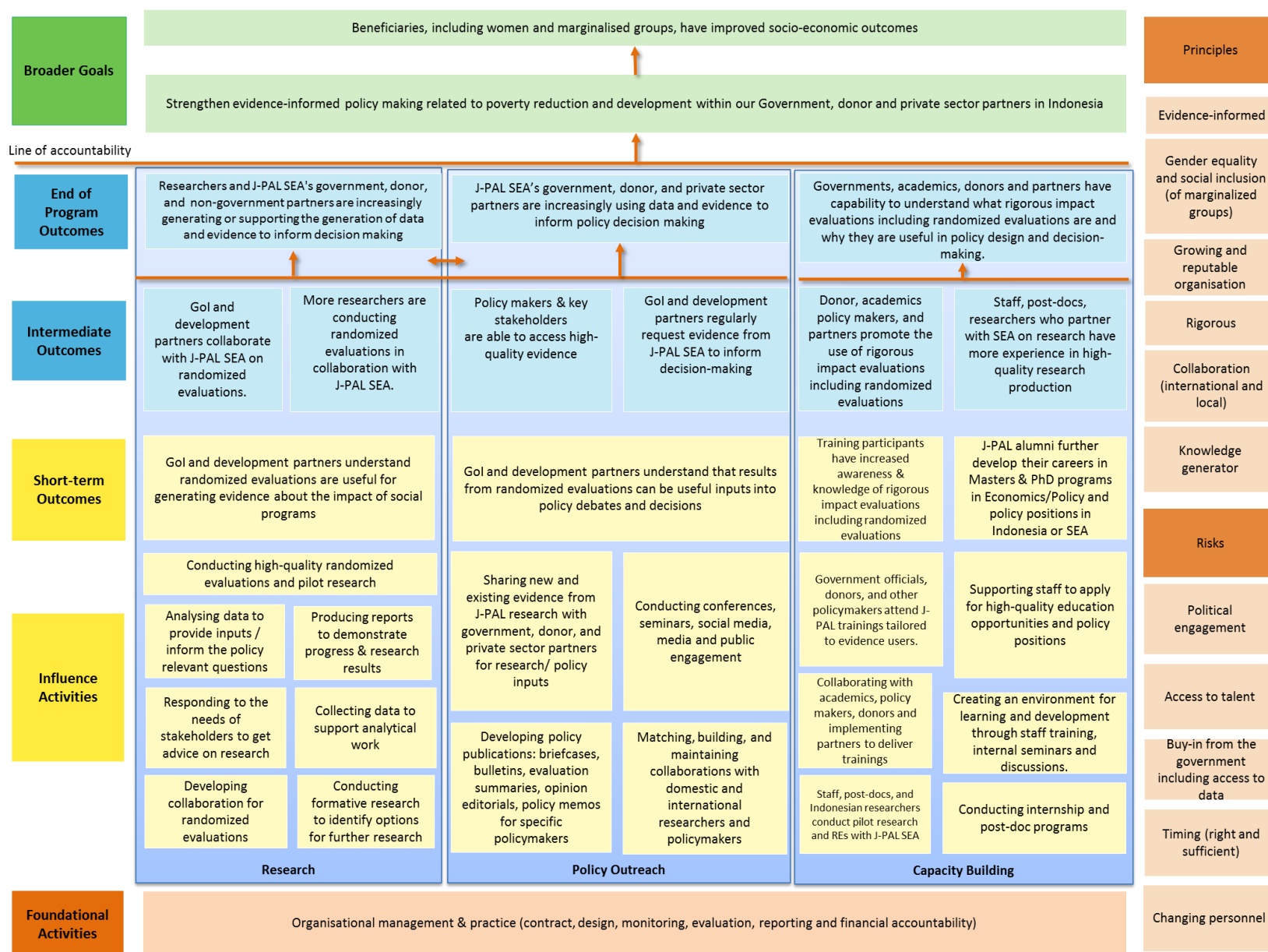
- Framing debates and getting relevant issues on to the political agenda by converging attention to new issues and affecting the awareness, attitudes or perception of key development partners (**attitudinal change**).
- Encouraging **discursive commitments** from the GOI and other policy actors by affecting language and debates around the relevant issues, for example, promote the benefits of social protection for poor people.
- Securing **procedural change** in the decision-making process at the national and sub-national levels, including the steps in the policy development process whereby evidence may be used as a contributing component. Taking the time to consider rigorous evidence before making a policy decision can signal important procedural change, even in cases when policymakers base their ultimate decision on other factors besides evidence or in addition to evidence.
- Affecting **policy content** as an important element to make sure the policy change contributes to poverty reduction in Indonesia.
- Influencing **behaviour change** of the development partners in policy implementation at various levels in order to be meaningful and sustainable policy change.

These dimensions provide a scope and clear definition when J-PAL SEA is monitoring and evaluating instances of influence to policy making and changes. This MEL Plan is structured for J-PAL SEA to be accountable for delivering the activities and short-term outcomes where attribution will be measured. This will allow J-PAL SEA to determine the observed short-term outcomes, imply causation and draw conclusions about relationship between observed short-term outcomes and specific activities or interventions conducted by J-PAL SEA. However, for intermediate and end of program outcomes including broader goals, the MEL Plan aims to assess contribution of J-PAL SEA towards to policy making and policy change rather than attribution to the changes. Evaluating contribution is more realistic, cost-effective and practical particularly when there are a range of other stakeholders and influencers involved in influencing the changes, particularly policy changes.

⁷ With regards to the TOC, these goals sit above the “line of contribution”, thus it is not expected that J-PAL SEA will be held accountable for these goals. J-PAL SEA, among the Government of Indonesia and other development partners are few of many agencies that are contributing towards achieving these goals. Furthermore, external factors can significantly affect their achievements.

⁸ Keck, M. and Sikkink, K. (1998) *Activists beyond borders: advocacy networks in international politics*. Ithaca, NY: Cornell University Press.

Figure 2. J-PAL SEA Theory of Change



End of Program Outcomes

By the end of second phase in 2021, J-PAL SEA seeks to contribute to broader goals through three End of Program Outcomes (EOPOs). These EOPOs include:

1. **EOPO One:** Researchers and J-PAL SEA's government, donor, and non-government partners are increasingly supporting the generation of data and evidence to inform decision making (**Research**).
2. **EOPO Two:** Government, donor, and private sector partners are increasingly using data and evidence to inform policy decision making (**Policy Outreach**).
3. **EOPO Three:** Governments, academics, donors and partners have capability to understand what rigorous impact evaluations including randomized evaluations are and why they are useful in policy design and decision-making (**Capacity Building**).

In order to achieve these EOPOs, J-PAL SEA team will conduct a number of activities that are expected to lead to a range of intermediate and short-term outcomes as described below.

EOPO One: Research

This outcome relates to the first EOPO: researchers, partners and donors are increasingly generating data and evidence to inform policy decision making. Pathways toward achieving this outcome include research activities such as: conducting formative research; collecting and analysing data; producing research reports; developing collaboration for randomized evaluations; and conducting high quality randomized evaluations. In addition, J-PAL SEA responds to stakeholders' needs by providing advice and technical assistance on research projects and by analysing data to inform policy relevant questions (influence activities). J-PAL SEA conducts research on topics that are aligned with the policy priorities of its implementing partners on each study, whether the partners are governments, NGOs, or the private sector, focusing on poverty reduction and inclusive growth; human capital and employment; and effective governance and domestic resource mobilization. The research portfolio will include projects that have the potential to benefit the poor, women, and/or other marginalized groups.

These activities are expected to lead to GoI and development partners understand randomized evaluations are useful for generating evidence about the impact of social programs (short-term outcomes).

As a result of these changes, GoI and development partners collaborate with J-PAL SEA on several randomized evaluations and more researchers are conducting randomized evaluations in collaboration with J-PAL SEA (intermediate outcomes).

If the necessary and sufficient conditions for these changes are in place, then researchers, partners and academics will increasingly generate data and evidence to inform decision making and (EOPO).

EOPO Two: Policy

The second EOPO relates to government, donor, and private sector partners, who will increasingly use data and evidence to inform policy decision making. To accomplish this outcome, J-PAL SEA is developing policy publications, including brief cases, bulletins, evaluation summaries, opinion editorials, and policy memos summarizing evidence for specific policymakers; matching, building and maintaining collaborations with domestic and international researchers and policymakers; and sharing (new & existing) evidence from J-PAL research with government, donor, and private sector partners for research/ policy inputs. Furthermore, J-PAL SEA is conducting conferences, seminars, social media, media and public engagement activities, which overlap with the capacity building EOPO (influence activities).

These activities are expected to lead to short-term changes: GoI and development partners understand results from randomized evaluations can be useful inputs into policy debates and decision (short-term outcomes).

As a result of these changes, policy makers & key stakeholders are able to access high-quality evidence and Gol and development partners regularly request evidence from J-PAL SEA to inform decision-making (intermediate outcomes).

Therefore, J-PAL will contribute to Government, donor, and private sector partners are increasingly using data and evidence to inform decision making (EOPQ).

EOPQ Three: Capacity Building

The third EOPQ relates to the governments, academics, donors and partners have capability to understand what rigorous impact evaluation including randomized evaluations are, when they are appropriate and why they are useful. J-PAL SEA focuses on two pathways to achieving this outcome by conducting activities which are targeting two different groups.

Firstly, J-PAL is collaborating with academics, policy makers, donors and implementing partners to deliver randomized impact evaluation trainings and making sure that government, donors, and other policymakers are attending J-PAL trainings tailored to evidence users; this is supported by the policy outreach activities (influence activities). These activities will lead to training participants have increased awareness and knowledge of rigorous impact evaluation including randomized evaluations (short-term outcomes). This will result in donor, academics policy makers, and partners promote the use of rigorous impact evaluation including randomized evaluations and rigorous evidence (intermediate outcomes).

Secondly, J-PAL is conducting internship and post-doc programs; creating an environment for learning and development through staff training, internal seminars etc. and supporting staff to apply for international education opportunities and policy positions. Furthermore, staff, post-docs, and Indonesian researchers are conducting rigorous impact evaluation including randomized evaluations with J-PAL affiliated professors (influence activities). These activities will lead to J-PAL alumni further develop their career pathways vis-à-vis international Masters & PhD in Economics/Policy programs or policy positions in Indonesia or the SEA region (short-term outcomes). As a result, J-PAL staff, post-docs, researchers who partner with J-PAL SEA on research have more experience in high-quality research production (intermediate outcomes).

With this in place, governments, academics, donors and partners will strengthen their capability to understand what rigorous impact evaluation including randomized evaluations are, when they are appropriate and why they are useful in policy design and decision-making (EOPQ).

Foundational Activities

The foundational activities are activities that underpin the delivery of influence activities captured on the TOC. J-PAL SEA main foundational activities is establishing and maintaining organizational management & practice. These include developing contract; developing and implementing design, monitoring, evaluation & reporting; and ensuring financial accountability (foundational activities). These activities are not evaluated because they do not directly influence the outcomes related to policy decision making. However, they are monitored through progress reporting and annual staff retreat because they affect work plans and delivery schedules.

Principles

The principles in the TOC articulate the manner in which J-PAL SEA's programs are designed and implemented. They cut across the entire range of activities, outcomes and goals. They include:

- **Evidence-informed:** a good-quality policy decision should consider the best available evidence. J-PAL SEA promotes the use of scientific evidence with the goal of informing policy decisions, program design, or enhancing government revenue or spending.
- **Gender equality and social inclusion (of marginalized groups):** gender equality is a priority for J-PAL globally, as J-PAL recently launched a new Gender sector to provide guidance to research, policy outreach and training activities. This sector will bring rigorous evidence to bear in understanding how

gender norms affect everyone and help to inform and improve policy to reduce poverty and gender inequality⁹.

- **Growing and reputable organization:** J-PAL SEA aims to be a growing and reputable organization to support the use of randomized evaluations, to train others in rigorous scientific evaluation methods, and to encourage policy changes based on results of randomized evaluations.
- **Rigorous:** J-PAL SEA uses rigorous research methods such as randomized evaluations and produces rigorous scientific evidence to inform policy. This high level of rigour is what differentiates J-PAL from other actors supporting evidence-informed decision making.
- **Collaboration** between international and local experts with key local partners: A broad range of stakeholders are needed to create policy change. J-PAL SEA collaborates with a range of government agencies, international and local researchers, and facilitators supporting research. In addition, J-PAL SEA aims to foster collaborations with private sector actors on socially responsible projects.
- **Knowledge generator:** rigorous evidence is required to support decision making vis-à-vis policy and institutional change. J-PAL SEA works as a knowledge generating organization, to produce scientific evidence to support change both in SEA and globally.

Risks

The ToC is based around a range of assumptions. The TOC was interrogated to identify which assumptions could and could not be mitigated against, resulting in J-PAL SEA's key risks. A range of internal and external risks were identified so that they can be monitored through the MEL Plan and reported annually to DFAT through annual progress report. The J-PAL SEA risks are:

- **Political engagement:** there is a risk that evidence may not be taken up by policy makers due to the interests of Gol political appointees, internal politics of partner organizations, or a lack of political engagement among various stakeholders. To mitigate this risk, J-PAL SEA develops studies in conjunction with policymakers; consults government stakeholders to identify research questions and design studies; regularly communicates finding/evidence to policy partners; and remains alert to upcoming and existing policy windows. The level of engagement is expected to vary on a case-by-case basis: in some projects, J-PAL SEA has engaged with government counterparts extensively in implementing study treatments, but this may not be applicable in all studies.
- **Access to talent:** there is a risk which J-PAL SEA may not be able to access the right people and talents. This is particularly important in the policy team, though also important in capacity building and research teams. This is affected by the labour market of Indonesia, with limited talent being available and some organizations willing to pay above-university rates for individuals with RCT expertise. To mitigate this risk, J-PAL SEA recruits young and talented staff and who are dedicated to public policy. J-PAL SEA offers mentoring and training in research and other professional areas as well as support (e.g. mentoring, coaching, recommendation letters) for staff as they transition to graduate studies or policy positions. In addition, J-PAL SEA works side-by-side with leading international researchers to ensure the calibre of research.
- **Buy-in from the government including access to data:** policy change is a complex, political and long-term process. Thus, it is essential to gain government's buy-in prior to conducting policy-relevant research or policy outreach. To mitigate this risk, J-PAL SEA engages policy counterparts in the planning and implementation stages of the research. This may include, for example, government ministries and agencies, local non-profit organizations and private sector institutions focused on specific development-related issues.
- **Timing (right time and sufficient time):** policy change requires a combination of factors such as alignment with Gol's priorities and public support for policy change. If these factors are not in place, J-PAL SEA policy advice may not be well-aligned or it may not reach the right people. Therefore, J-PAL SEA mitigates

⁹ For further information, please see J-PAL's website: <https://www.povertyactionlab.org/blog/3-6-18/j-pals-new-gender-sector>

this risk by prioritising specific sectors and areas of research; and disseminating evidence at the right time with the goal of informing policy making.

- **Changing personnel:** key champions and contacts may move within and out of their organizations. J-PAL SEA may lose a key contact or champion who has been driving policy change or has been an intermediary to a decision maker. To improve the monitoring and to better position J-PAL SEA to mitigate this risk, three stakeholder maps were developed as part of the people-centred approach to the TOC. This analysis allows a broader engagement with a range of individuals to minimise the potential for relying on a single contact person within a development partner organization.

3. Scope of the MEL Framework

This section articulates the scope of the MEL framework which includes the purposes, boundaries, timeframes, audiences and resources of the MEL framework.

3.1. Purpose

The purposes of this MEL framework are:

To **improve** J-PAL SEA's program and approach – MEL activities intend to improve the effectiveness of J-PAL SEA's program implementation, particularly J-PAL SEA's approach to building and maintaining collaborations with various stakeholders. It is estimated for up to **50 percent** of the J-PAL MEL efforts are aimed towards improving J-PAL SEA's program and approach.

To enable **accountability** – MEL activities will produce results and findings to report on the program's progress in implementation and in achieving outcomes to key stakeholders including GoI, development partners, University of Indonesia, J-PAL's global office as well as DFAT. These MEL activities are also meant to enable J-PAL SEA to report on the resources and deliverables that the organization will use and produce during its second phase. It is estimated for up to **40 percent** of the J-PAL MEL efforts are aimed towards enabling accountability.

To generate **knowledge** – MEL activities aim to generate knowledge, prove effectiveness of J-PAL SEA's work and share the information with broader audiences so they have opportunities to learn from J-PAL SEA's program and research. It is estimated for up to **10 percent** of the J-PAL MEL efforts are aimed towards generating knowledge. Note that much of the research (e.g. RCT publications) and capacity building promotes knowledge, though this is outside the MEL scope.

3.2. Boundaries

The boundaries define what is included and excluded by the MEL framework. It indicates what is being monitored and evaluated within the MEL framework, which relates back to the J-PAL SEA TOC.

Includes

The entirety of the TOC including the three EOPOs and the foundational activities. Three main activities implemented by J-PAL SEA:

- Research
- Policy outreach
- Capacity building

Excludes

Activities related to some part of the organizational management and practice, including contract, design, monitoring, evaluation, reporting and financial accountability.

3.3. Timeframes

The timeframe of the MEL framework is from January 2018 to December 2021. Acknowledging that some influencing works which have been happening since the start of J-PAL SEA in 2013 may influence outcomes and impacts of J-PAL SEA phase two programs. Therefore, outcomes harvested of J-PAL SEA may build on work undertaken in Phase 1 and continued into Phase 2.

J-PAL SEA is reporting to DFAT annually. The progress reporting period is January to December each year.

3.4. Resources

Internal resources: there is an allocation from DFAT funding to finance one MEL Specialist and a fraction of another J-PAL SEA team member's time who will implement this MEL Plan. Where relevant, all team members are responsible to collect and report MEL data, particularly information related to instances of influence to policy making and change. Senior Training Associate, Aulia Anggita Larasati, will be responsible to organise data from pre-post training tests, training feedback and follow-up survey. The MEL Specialist will be responsible to compile MEL data from activity tracking, engagement log, alumni tracking and Significant Policy Change. The MEL Specialist will also be responsible to compile and report MEL data to the Policy Manager¹⁰. The Policy Manager will be responsible for reporting the MEL data to DFAT and other donors and also managing external evaluations.

External resources: external review consultant/s will be hired and commissioned by DFAT in 2019/2020 financial year to assess program delivery and the effectiveness of implementing the MEL framework. This independent mid-term review might negate the need for a partner-led evaluation in the end of 2021. External advisors might be hired to provide support for the MEL implementation, facilitating annual reflection workshop and quality assurance of the MEL data and reports.

3.5. Audiences

The audiences for this MEL framework are divided into the following:

- **Primary:** Those stakeholders who are part of decision-making processes for key changes related to program implementation and strategy, as well as those who make funding decisions based on the information provided.
- **Secondary:** Those stakeholders to whom J-PAL SEA reports the MEL data, but are not responsible for decision-making or influencing the design of the MEL framework.
- **Tertiary:** Those who have an interest in the work of J-PAL SEA's activities and seek to receive refined communication materials.

Table 1. MEL Framework Audience

Audience	Who	Information needs	Timing
Primary	J-PAL SEA	To inform decision-making and improve program implementation, information on the following is required: <ul style="list-style-type: none">• Program effectiveness• Quality of partnerships and collaborations with relevant stakeholders• Extent to which J-PAL SEA is implementing appropriate strategies• Extent to which work is valued by the Government of Indonesia• Contribution of J-PAL SEA to policy changes in Southeast Asia	On-going
	DFAT as the core donor	For accountability purposes, completing annual partner performance reviews, aid quality checks, performance assessment frameworks, and to inform funding decisions, information on the following is required: <ul style="list-style-type: none">• Program effectiveness• Program relevance to the GOI and GOA needs• Program strategies and collaborations with relevant stakeholders• Program incorporation of gender, inclusiveness and private sector• Program value for money	Annual report and final evaluation
Secondary	University of Indonesia	For accountability purposes, information on the following is required:	Annual report

¹⁰ At the time this MEL Plan is being finalised in March 2018, the Policy Manager position is currently vacant.

Audience	Who	Information needs	Timing
	J-PAL Global office	<ul style="list-style-type: none"> Program relevance to Gol needs Activities undertaken to date <p>To share knowledge of SEA to J-PAL Global and other regional offices.</p>	
Tertiary	Research partners	<p>To understand the work undertaken by J-PAL SEA to date (communication purpose), information on the following is required:</p> <ul style="list-style-type: none"> Activities undertaken Planned activities and work plan 	Ad-hoc
	Relevant Gol Ministries		
	Other donors		

3.6. Gender equality and social inclusion

Aligned with J-PAL's and DFAT's priority on gender equality, below are a few steps that J-PAL SEA will take to promote gender equality and social inclusion:

- J-PAL SEA will keep maintaining participation of women within J-PAL SEA organizational structure. Currently women comprise more than half of J-PAL SEA's staff – more than two-thirds of J-PAL SEA's middle management and executive management are female, this include a female Executive Director, Scientific Advisor, and Scientific Director. About half of the principal investigators on J-PAL SEA's studies are women. Similarly, among Indonesian principal investigators, 44 percent (four out of nine) are women.
- J-PAL SEA will consult DFAT guidance notes on twin track approach to gender equality and inclusion of marginalized groups. This will include integrating a memo from DFAT-funded programs related to approaches to promoting inclusion, resources and data into research project development documents such as through improved gender analysis at the development stage.
- J-PAL SEA will prioritize conducting research and policy outreach that has the potential to benefit the poor, women, and other marginalized groups. This will include increasing the number of studies investigating interventions targeting the poor, women, and other marginalized groups.
- Where relevant, J-PAL SEA will conduct desktop review on how research may benefit women and people with disability.
- J-PAL SEA will continue collecting gender-disaggregated data by counting participations of women and people with disability in all policy and training events including meetings and workshops. This will follow by conducting gender disaggregated analyses and reporting. It means that quality of key deliverables and adequacy of participation from women and people with disability are assessed thoroughly.
- J-PAL SEA have set some targets related to gender and social inclusion. For example J-PAL SEA will include minimum 30 percent of female participants in all activities. As this is only a starting point, J-PAL SEA will ensure that women and people with disability benefit from supported activities and proactive steps are taken to improve empowerment and social inclusion.

4. Key Evaluation Questions

The Key Evaluation Questions (KEQs) outline the overarching scope of the MEL framework. They aim to capture and comprehend five key elements of policy changes as previously described: attitudinal change; discursive commitments; procedural change; policy content; and behaviour change. The KEQs are based on the following criteria:

- Effectiveness of interventions (the extent to which short-term, intermediate, and EOPOs are met)
- Contribution to outcomes (the extent to which J-PAL SEA's actions contribute to an outcome).

The KEQs will be used to guide subsequent data collection, analyses and reporting for J-PAL SEA. The KEQs have been developed in a participatory manner with the J-PAL SEA team and they are tailored to meet their specific needs and context. The KEQs and sub-questions below are aligned with the Organisation for Economic Co-operation and Development - Development Assistance Committee (OECD-DAC) criteria¹¹ used by DFAT and refined for the scope of this MEL Plan.

These KEQs are defined for evaluation scoping purpose. Specifically, the overarching KEQs are:

KEQ 1: To what extent is J-PAL SEA **effectively** undertaking fit-for-purpose research? (*effectiveness in research / EOPO1*)

KEQ 2: To what extent is J-PAL SEA **effectively** engaging with development partners in the policy discourse? (*effectiveness in policy outreach / EOPO2*)

KEQ 3: To what extent is J-PAL SEA **effectively** improving the capability of partners and staff to understand how to use randomized evaluations in policy design and decision making? (*effectiveness in capacity building / EOPO3*)

KEQ 4: To what extent has J-PAL SEA **contributed** to evidence-informed decision making?

These KEQs will provide a basis for annual progress reporting and final evaluation reporting. Table 3 outlines the KEQs and sub-KEQs for J-PAL SEA. These KEQs are broken down into sub-questions and against these are mapped recommended data sources and methods, as well as who is responsible and timing for such methods.

In addition to these KEQs, J-PAL SEA developed reflective questions to capture organizational development, internal learning and improvement and questions related to foundational activities. These questions will not be monitored and evaluated through this MEL Plan but will guide the retreat workshop that J-PAL SEA is undertaking once a year, usually in the end of each year.

¹¹ OECD DAC criteria for evaluation development assistance program include: relevance, effectiveness, efficiency, impact and sustainability.

4.1. Key evaluation questions, sub-questions, and methods

Table 2. Key Evaluation Questions, Indicators, Targets and Methods

KEQ	Sub-question	Performance Expectation	Indicators	Yearly Targets	End of Phase 2 Target (2021)	Results from Phase 1 (2013 – 2017) ¹²	Method/s	Relevant PAF indicators ¹³
KEQ1. To what extent is J-PAL SEA effectively undertaking fit-for-purpose research? (effectiveness in research / EOPO1)	1.1. To what extent is J-PAL SEA able to identify fit for purpose topics to research?	Rubric: Fit for Purpose Research	<ul style="list-style-type: none"> # or % of research topics reach above expectation, meet expectation against fit for purpose topic rubric 	<ul style="list-style-type: none"> The hurdle targets are four and the stretch targets are five, full scale REs in partnership with policymakers in Indonesia, at least 1 full scale RE with a private sector partner¹⁴. Research targets per year: zero in 2018; one research in 2019; one research in 2020; two research in 2021. Collaboration with at least two new central government 		<ul style="list-style-type: none"> three completed randomized evaluations 10 on-going and 12 pilot research projects with policy makers Collaboration with 26 partners, which consists of: 6 central government, 4 local government, 13 NGOs, and 3 private 	Activity tracking Engagement log After action review	If there is additional financing co-invested in fit-for-purpose research, this is relevant to indicator #1 (Amount of additional financing co-invested in development)
	1.2. To what extent does J-PAL engage the right research partners in implementing the research?	Rubric: Right Research Partners	<ul style="list-style-type: none"> # or % of J-PAL engagement with the right research partners¹⁶. <i>The research partners (staff who are working in government, Government of Australia (GoA) supported program, NGO, private sector) are assessed based on their degree of influence and interest.</i> 					
	1.3. To what extent does J-PAL SEA maintain the	Rubric: Quality of Research	<ul style="list-style-type: none"> # or % of research reach minimum requirements fulfilled and / or higher 					

¹² Performance results from J-PAL Phase 1 could be used as baseline data for the phase 2 implementation.

¹³ Suggestion on the relevant PAF indicators for J-PAL SEA was developed based on PAF 2018 technical note 3.0 published on November 30th 2017.

¹⁴ For comparison, the randomized evaluation targets for J-PAL SEA phase I, was two to three randomized evaluations (REs). Noting that one RE could take a long time, from two to four years to finish as it depends on the outcome that we want to achieve and measure. Not all studies that are in development progress could become REs because it may not be logistically feasible, implementing partners may not be ready and there is a lack of funding to implement the studies. The yearly target is set based on the average timespan of conducting exploratory studies and piloting possible interventions before scaling up to REs.

¹⁶ There are two types of research partners. The first category includes implementing partners who implement the program (NGOs, government, etc). they are assessed using right research partner rubric. The second category include companies (subcontractors) who are hired by J-PAL SEA to implement the surveys, collect the data and facilitate educational sessions on randomized evaluations. For these companies, J-PAL SEA is not required to assess them using right research partner rubric.

	quality of its research?		quality level against quality of research rubric	partners and one GoA – supported program on research, policy or training ¹⁵		sector agencies		
KEQ2. To what extent is J-PAL SEA effectively engaging with development partners in the policy discourse? (effectiveness in policy outreach / EOPO2)	2.1. To what extent are the partners requesting and accessing evidence?	N/A ¹⁷	<ul style="list-style-type: none"> • # of requests from partners asking for J-PAL evidence or J-PAL SEA technical advice • # of instances sharing evidence with partners (meetings, conferences, seminars, workshops) • # of new policymakers who learn about J-PAL evidence (disaggregated by gender) 	<ul style="list-style-type: none"> • At least 125 meetings to share J-PAL evidence with policy makers including 25 meetings with GoA supported programs. There will be at least 25 meetings per year including five meetings with GoA supported programs. 	•	<ul style="list-style-type: none"> • 829 meetings with partners¹⁹ • Two conferences • 32 workshops and seminars²⁰ • 14 policy publications and 6 memos 	Activity tracking	Indicator #2 (number of improvement to development policy)
	2.2. To what extent are we tailoring evidence for our partners?	N/A ¹⁸	<ul style="list-style-type: none"> • # of tailored J-PAL evidence developed for development partners (memos, presentations) • # of tailored J-PAL evidence produced for formal events, published documents, meeting, interviews, email and media 	<ul style="list-style-type: none"> • Five project specific policy workshop (one project per year) which are co-hosted between J-PAL and partner. • Two policy conferences (one policy conference in 2018 and another one in 2020) 			Engagement log	
							Follow up survey	
							After action review	
							Significant policy change	

¹⁵ Noting that these targets will be modified based on the number of new studies we are developing.

¹⁷ For KEQ 2.1 and 2.2, the performance expectation will be based on the number of request, instances of sharing evidence and number of tailored evidences, as opposed to the use of rubrics

¹⁹ From 829 meetings held with partners (Gol, implementing partner, donor, knowledge sector etc.), Out of the total meetings, 94 had involve evidence sharing with Gol.

²⁰ The workshops we've conducted in Phase 1 includes: 4 workshops held independently or co-hosted by J-PAL and 28 workshops that we were invited to.

				<ul style="list-style-type: none"> The hurdle target is five seminar and the stretch targets are 10 seminars by international faculty (1 – 2 seminars per year). The hurdle target is 12 policy publication and 5 memos, the stretch target is 16 policy publication and 8 memos.¹⁸ 				
KEQ3. To what extent is J-PAL SEA effectively improving the capability of partners and staff to understand how to use rigorous impact evaluations including randomized evaluations in policy design and decision making? (<i>effectiveness in capacity building / EOPO3</i>)	3.1. Who are the training participants that are being targeted for capacity building, and are they the right participants ?	Rubric: Right training participants	<ul style="list-style-type: none"> # or % of right training participants (disaggregated by gender) # of training participants who are engaged with J-PAL SEA in building capacity on RCT and other more rigorous research practices (disaggregated by gender) 	<ul style="list-style-type: none"> The hurdle targets are three and the stretch targets are four of Indonesian and regional co-investigators. By the end of 2019, J-PAL SEA will have two new local principal investigators (PIs) and another two new local PIs by the end of 2020²¹ One full-time post-doc hired and works with 	•	<ul style="list-style-type: none"> 11 Indonesian co-authors More than 508 training participants including practitioners and researchers Delivered 19 training courses 	Activity tracking Training application form - survey Training feedback survey Pre & post training test Follow up training survey	Indicator #3 (Number of women and men who apply improved skills for development)
	3.2. To what extent are participants or partners using knowledge from J-PAL trainings about what rigorous impact evaluation is, why it's useful,	Rubric: Capability of Key Partners	<ul style="list-style-type: none"> % of knowledge improvement experienced by the training participants (disaggregated by gender) and is assessed from the pre-post test) Instances of training participants using knowledge from J-PAL course or training 					

¹⁸ We plan to translate 3 policy publication every year over Phase 2 and create a policy memo for every seminar that we conduct.

²¹ The number of local investigators will depend on the number of new studies. Noting this number is very low because incentives to do randomized evaluations for university Professors are very small. There are no targets to publish REs in high calibre international journals and the cost to conduct REs is very high.

	and when it's appropriate or referring to rigorous evidence in their work?		materials in their work (disaggregated by gender) <ul style="list-style-type: none"> Instances of training participants who refer to evidence from RCTs in their work (disaggregated by gender) 	J-PAL affiliated professors on evaluation <ul style="list-style-type: none"> At least 50% of a minimum 250 participants experienced knowledge improvement. 			Engagement log Alumni tracking After action review	
	3.3. Do J-PAL alumni further develop their career pathways?	N/A ²²	<ul style="list-style-type: none"> # of J-PAL alumni who further develop their careers in graduate school programs or policy positions (disaggregated by gender) 	<ul style="list-style-type: none"> 10 training courses in five years with at least 25 participants from GoA supported organizations. There will be at least 2 training courses per year with at least 5 participants from GoA supported organizations.. 				
KEQ4. To what extent has J-PAL SEA contributed to evidence-informed decision making?	4.1. To what extent have the policy recommendations been translated into action?	N/A	<ul style="list-style-type: none"> # of instances of policy changes (laws, regulations, minister decree, funding, commitment, plan, strategy, institutional/program improvement reference/use of evidence in government reports, emails, meetings, speeches, internal government documents) --> instances of significant 	<ul style="list-style-type: none"> In 2018, policy influence target is similar to PAF reporting target that is one policy change related to Generasi research findings. 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none"> At least four national policy changes 	Activity tracking Engagement log Follow up survey	Indicator #2 (number of improvement to development policy)

²² We do not set a target on the number of Alumni who achieves to advance their careers, however through Alumni tracking we aim to evaluate how successful we are in developing the skills of our internal staff and maintain alumni as part of our network for future influence or collaboration.

			policy influence for DFAT PAF reporting				Alumni tracking	
	4.2. Are our partners championing the evidence informed approaches to other stakeholders?	N/A ²³	<ul style="list-style-type: none"> • Instances of partners referencing/sharing/using J-PAL evidence in formal events, published docs, meetings, interview, speeches, email, media citing/referencing/using J-PAL evidence • Instances of partners promoting evidence informed approaches • Instances of partners recommending J-PAL to other stakeholders • Instances of training participants who later collaborate with J-PAL on rigorous impact evaluation (disaggregated by gender) • Partners' perceptions and opinions about J-PAL SEA's work 				After action review Significant policy change Episode study – light touch	
Reflective questions for learning	5.1. How appropriate is the mix of research, policy and capacity building activities and results? 5.2. Is J-PAL SEA developing as a credible and reputable organization in the most	N/A					Internal management meetings After Action Reviews Annual Retreat Peer Review	

²³ As opposed to rubrics, KEQ 4.2 will be captured qualitatively to understand instances of partners referencing, sharing and promoting J-PAL through other stakeholders.

	appropriate manner? 5.3. What strategies have been used by J-PAL SEA to make policy change happen? What have worked best and what did not work?							
--	--	--	--	--	--	--	--	--

5. Performance Expectations

Performance expectations are used in monitoring and evaluation to provide standards to judge and track the success (or otherwise) of an activity overtime and the extent the expected results are achieved. It provides standards “what does success look like”. Performance expectations include metrics such as key performance indicators, targets, progress markers and rubrics that are used to describe a **benchmark**. This benchmark will determine whether some changes are sufficient value or quality within the expected timeframe. J-PAL SEA is using two types of performance benchmark to demonstrate progress: **targets** and **rubrics**.

5.1. Targets

Targets are an expression of performance expectations that specify what is to be accomplished over a time period. J-PAL SEA is pitching its targets at two different levels. **Stretch** targets are set at a point that allows J-PAL SEA only just feasibly reach and are designed to foster excellence and encourage programs to excel. **Hurdle** targets have to be met and there may be ramifications if the targets are not met. This target is set at a level where it is realistic for J-PAL SEA to reach the target. For each of the rubrics developed, below expectations does not meet the hurdle target; meeting expectations is the hurdle target; and above expectations is the stretch target.

5.2. Rubrics

Rubrics are scales to provide an evaluative description of what program performance will “look like”. It is an alternative way to establish performance expectations against some sub-questions. Rubric provides a broad-brush way of transparently defining what good, excellent, (etc.) quality, value or performance looks like in practice. It is enabling transparent judgements to be made against those expectations. They allow interpretation of qualitative, quantitative and mixed methods data as a set, and combination of professional judgement and evidence.

Five tables below present rubrics to assess J-PAL SEA’s performance. These rubrics were developed at the MEL workshop on 31 October – 1 November 2017.

Table 3 below articulates rubric for the **sub-question 1.1 on fit for purpose research** topics that J-PAL SEA is undertaking. Stakeholders are broadly defined as J-PAL principal investigators, and staff who are working for donors, governments, private sectors and NGOs. However, this rubric is only used to assess whether the research is fit-for-purpose for the major implementing partner (government, NGO, private sector) and/or donor on the study, as these are the institutions whose decisions the research is designed to inform. This rubric does not include firms that J-PAL SEA is hiring to implement surveys, data collection and facilitate educational sessions on the interventions for randomized evaluation.

Table 3. Fit for Purpose Research Rubric

Performance	Standard and criteria
Above expectations	Research topic is highly aligned with stakeholders’ priorities, as defined by their plans, strategies external communiques, or through discussions with J-PAL SEA. Research topic has the potential to impact stakeholder effectiveness and/or beneficiaries – either large number of participants and / or by a material amount on their wellbeing, or by having potential to impact women or marginalized groups.
Meets expectations	Research topic is somewhat aligned with stakeholders’ priorities, as defined by their plans, strategies and external communiques, or through discussions with J-PAL SEA.

	Research topic is has the potential to impact stakeholder effectiveness and/or participants – either significant number of participants or by a material amount on their wellbeing, or by having potential to impact women or marginalized groups—or stakeholder effectiveness.
Below expectations	Research topic does not align with stakeholders' priorities, as defined by their plans, strategies and external communiques Research topic does not have potential to impact participants or stakeholder effectiveness

Below is the rubric which refers to the **sub-question 1.2. on the right research partners** and **sub-question 3.1 on the right training participants rubric**. Both of these partners are assessed based on their degree of influence and interest. These partners/training participants are usually staff from the government, non-government organization, GoA supported programs and private sector.

Table 4. Right Research Partners and Training Participants Rubric

Performance	Standard and criteria
Above expectations	<p>Partners/training participants have either high decision-making power, high potential to influence the policy/program, wide network (e.g. intra-ministerial or related organizations), access to data and other resources relevant to the research, high interest or high likelihood to advocate for policy change.</p> <p>Measuring Right Research Partner (fulfilment of one of these criteria):</p> <ul style="list-style-type: none"> • Partners have high level position in the organization. Usually they are senior level • Partners have a wide network (i.e. intra-ministerial, other organizations, etc.) • Partners have a large number of beneficiaries or a large amount of financial resources • Partners have high likelihood to advocate for policy change <p>Measuring Right Training Partners (More than half of the participants fulfil two of these criteria):</p> <ul style="list-style-type: none"> • Partners are engaged in program evaluation or research • Partners have a high likelihood to apply training materials for current and future work • Partners have a high interest to use evidence in decision making going forward
Meets expectations	<p>Partners have either moderate decision-making power, moderate potential to influence the policy/program, wide network (e.g. intra-ministerial or related organizations), access to data and other resources relevant to the research, moderate interests or moderate likelihood to advocate for policy change.</p> <p>Measuring Right Research Partner (fulfilment of one of these criteria):</p> <ul style="list-style-type: none"> • Partners have moderate position in the organization, somewhat in the middle. • Partners have a medium number of local partners • Partners have a moderate number of beneficiaries or financial resources • Partners have moderate likelihood to advocate for policy change <p>Measuring Right Training Partners (More than half of the participants fulfil one of these criteria):</p> <ul style="list-style-type: none"> • Partners are engaged in program evaluation or research • Partners have a high likelihood to apply training materials for current and future work • Partners have a high interest to use evidence in decision making going forward
Below expectations	<p>Partners have either low decision-making power, low potential to influence the policy/program, small network (e.g. intra-ministerial or related organizations), no access to data and other resources relevant to the research, low interests or low likelihood to advocate for policy change.</p> <p>Measuring Right Research Partner (fulfilment of one of these criteria):</p> <ul style="list-style-type: none"> • Partners hold a junior level in their organization • Partners have a small number of local partners • Partners have a small number of beneficiaries • Partners have low likelihood to advocate for policy change <p>Measuring Right Training Partners (More than half of the participants fulfil two of these criteria):</p> <ul style="list-style-type: none"> • Partners are not engaged in program evaluation or research • Partners have a low likelihood to apply training materials for current and future work • Partners have a low interest to use evidence in decision making going forward

Table 5 below shows rubric for **sub-question 1.3 on the quality of research**. This rubric is developed based on J-PAL SEA's guidance on protocol requirements for quality research. It guides all research process conducted by J-PAL SEA. J-PAL SEA assesses research quality according to the checklist in J-PAL SEA's minimum must-dos for research (see Annex 2.12 Research Protocol Checklist and Annex 2.13 Research Minimum Must Do Checklist for more details. J-PAL research managers assess whether each protocol is met.)

Table 5. Quality of Research Rubric

Performance	Standard and criteria
Above expectations	Projects are above expectation if it fulfills 90% of their Minimum Must Do-s (MMD) and show more than 30% effort of conducting Best Practice (BP), unless BP is unavailable.
Meet expectations	Projects meets expectation if they are only fulfilling 75-89 of MMDs and show minimum effort in fulfilling BP.
Below expectations	<p>Projects are below expectation if it fulfills less than 75% of their MMDs</p> <ul style="list-style-type: none"> • Human subject and Institutional Review Board (IRB) • Measurement and questionnaire design • Data collection • Data security – paper surveys • Data security – Digital Data Collection (DDC) surveys • Data management

Table 6 below shows rubric for **sub-question 3.2 on the training participants' capability**. This rubric aims to assess training participants' capability improvement after they attended J-PAL SEA's training, technical assistance or other capacity building programs. J-PAL SEA assess performance using pre- and post-training tests.

Table 6. Training Participants' Capability Rubric

Performance	Standard and criteria
Above expectations	<ul style="list-style-type: none"> - Participants have an above average understanding of rigorous evaluation or participants have an above average understanding on when to do or not to do a randomized evaluation (More than half of the participants scores 80% or above on the post evaluation tests) - 75% of training participants who completed pre-post evaluation experience an increase of knowledge
Meet expectations	<ul style="list-style-type: none"> - Participants have a basic understanding of rigorous evaluation or participants have a basic understanding of when to do or not to do a randomized evaluation (More than half of the participants scores above 60% on the post evaluation tests) - 50% of training participants who completed pre-post evaluation experience an increase of knowledge
Below expectations	<ul style="list-style-type: none"> - Participants have below than basic understanding of rigorous evaluation (More than half of the participants scores below 59% on the post evaluation tests) - Less than 50% of training participants who completed pre-post evaluation experience an increase of knowledge

6. Data Collection Methods and Tools

The key evaluation questions (KEQs) outlined in the Section 4 will be answered by collecting information and evidence using a number of different methods, then comparing results to the performance expectations and making evaluative assessments of performance. The data collection methods are described in this section. Selection of these methods was started by identifying existing MEL methods and gaps in the MEL data required in this MEL Plan. Clear Horizon presented a range of MEL methods that may relevant to fill the gaps. In the second workshop, J-PAL team improved the existing and selected new MEL methods based on what is most fit-for-purpose. Some of these methods are inter-related, for example engagement log will provide information to write a Significant Policy Change (SPC) story. Each method has its strengths and weaknesses, and the composition of the methods provides depth / breadth, experiential / observational, and expected / unexpected.

6.1. Monitoring Methods

Activity Tracking

Activity tracking is an internal monitoring tool and a defined coordination process to track the progress of workplans, activities, outputs and resourcing (see annex 2.1a). Currently J-PAL SEA policy team has implemented its own version of activity tracking. This tool is refined during the development of J-PAL SEA MEL plan. Activity tracking should include initially planned, status updates, and forecasts of program activities. It answers questions like, “Have activities been completed as initially planned?”, “What is the current progress of an activity?”, “Have deliverables been achieved as anticipated?”, “Is the work of the program progressing as projected?”. As a result, it tells J-PAL, J-PAL SEA director, managers and relevant staff members where the J-PAL SEA performance is in terms of resources (money, time, risk, quality and other areas of the J-PAL SEA progress).

Generally, activity tracking provides regular updates on the activities, their status, relevant outputs or deliverables, timeframes, resource allocated, accountability of funds, and any risks or comments that may be useful for internal coordination and management purposes. By using this method, J-PAL SEA team is able to track, compile and report program activities and progress during implementation. These program activity records will be maintained and stored in a database. Results of this method should be linked to the monthly coordination meeting and annual reflection workshop in which the full list of activities, sub-activities, and progress are discussed. This could be utilized by the J-PAL SEA team as part of internal J-PAL SEA and J-PAL coordination mechanism.

To operationalise activity log, managers are required to fill the activity log form²⁴ monthly (see annex 2.1b). Thus, MEL Specialist will collate all activity log information (such as main activities and sub-activities, and progress) prior to the staff monthly meeting. This information will be presented and shared in the monthly meeting and annual workshop.

Training Application Form - Survey

Training application form is an online survey to select and vet training participants to ensure J-PAL SEA are choosing right participants for each training (annex 2.2). Generally, J-PAL SEA aims to select participants who have high interest to the J-PAL SEA related issues and high power within their organisation to make sure that they have bigger opportunities to bring influence to the organisation. A set of questions were designed to match participants' background to the criteria of the training participant required by J-PAL SEA.

Pre- and Post-Training Test

Pre- and post training assessment is designed to capture the extent training participants have learned from J-PAL SEA training courses. It tests the participants' knowledge relevant to the training topic before and after the

²⁴ The form is in excel format and attached in this MEL plan.

training to get data on the extent of knowledge improvement after the training. To analyze the data, J-PAL SEA training team will compare the results before and after the training so they can measure knowledge changes to show the outcomes of the training. This tool aims to track short-term knowledge changes. These forms are provided in Annex 2.3. Information collected from this assessment will be stored in the centralized database and will be reported on the annual basis.

Training Feedback Survey

Training feedback survey is recorded after a training to capture information on participants' response to the training (annex 2.4). Currently J-PAL SEA has been implementing a digital training feedback survey. The current tool could be further developed to enable J-PAL SEA capturing information on the participants' reaction and feedback for the training. Training feedback survey is an important tool to track how many people have attended training and map the participation of key decision-makers and intermediaries identified in the J-PAL SEA strategy to influence targeted stakeholders, as well as new stakeholders who could be further engaged.

This tool has a feedback form which collates information related to the quality of the training. A centralized database would collate attendance lists and other demographic data. This information should be recorded to assess the coverage of the training program and presented on the annual reflection workshop and reporting.

Training Follow-up Survey

Participant follow up survey is an online data collection tool to track participants' learning improvement after J-PAL SEA training (annex 2.5). J-PAL SEA plans to send out the follow up survey to training participants three months after they completed the training. This survey will collect information on the skills generated from the training, the extent participants have used the knowledge gained from the training including their attitude towards RCT, knowledge of when and why they're useful, examples of times they've used evidence to inform their decision-making and examples of usefulness of the training.

Currently J-PAL and J-PAL SEA are working together to revise the follow up training survey. Once the second phase funding programs are implemented, J-PAL SEA will start using this tool. To operationalise it, the Training Officer will send the survey to training participants three months after they completed the training. Working together with MEL Specialist, Training Officer will collate and analyse the information every six months. This information will be presented and shared in the annual reflection workshop and reporting to DFAT.

Alumni Tracking

Alumni tracking aims to systematically analyse the lasting or significant changes – positive or negative – in J-PAL alumni's lives brought by working at J-PAL and continuing their education or pursuing a public-interest career (annex 2.6). Noting that this survey assesses J-PAL contribution to the alumni's lives as J-PAL does not sponsor alumni education programs but support them to reach their educational goals through other means. This method will be conducted by sending tracking survey to J-PAL alumni every year. This is a new monitoring method for J-PAL SEA which will be implemented in the second phase programs, acting in lieu of a longitudinal tracer study. To operationalise it, MEL Specialist will send the survey to J-PAL alumni every year. Prior to the progress report deadline, MEL Specialist will compile and analyse the data then present it in the annual reflection workshop and progress report to DFAT.

Engagement Log

Currently J-PAL SEA is using salesforce and Google Forms to log all engagement activities. The Policy Manager and M&E Specialist will refine these tools to ensure they are able to capture instances of influence to policy making and change. Thus, J-PAL SEA will be able to demonstrate evidence of contribution to policy debates and decisions in the progress and final reports. An engagement log is a quick and effective way of documenting numerous meetings, workshops, media, and other evidence of influence. The log could be completed by creating an email address through which J-PAL SEA team members send instances of influence – this could be after a meeting, an observation of an interesting media article or speech referencing the J-PAL SEA work, etc. All instances of influence should be sent to SEA_influence@povertyactionlab.org. Compilation of the data is

expected to be done on a monthly basis. This would then be used to synthesize and analyse through the reflection workshops prior to the annual report submission to DFAT.

A full template is expected to be developed to include prompts for staff to help structure their engagement logs (see annex 2.7a and 2.7b). This would be based on a performance-story narrative (beginning, middle, and end):

- What was the context? This should include an explanation about how the meeting came about, or the context of the speech, etc.
- What happened? For example, with regards to a meeting this would include who was in attendance, the discussion points of the agenda, etc. For a speech, this may include who provided the speech, to whom, the reason for the speech, etc. Any notable quotes should be included.
- What is the likely follow-up/influence from the meeting? For example, will there be a follow up meeting or will the information be shared with other stakeholders? Or is this likely to lead to the engagement of other/new stakeholders that were identified in the influence plan? Etc.

6.2. Evaluation Methods

After Action Review

After Action Reviews aim to increase the learning and reflection mainstreamed into the MEL and across the organization (annex 2.8). After Action Reviews are primarily for internal use for learning among J-PAL SEA staff and not reporting to DFAT. By using After Action Reviews as a structure for de-briefing sessions, this would improve the practice and create a greater learning environment. It is encouraged that this approach is used for activities or a series of activities that are either:

- new, project to scale, replicate and things to learn (for the learning purpose)
- pilot and high risk projects
- performance is significantly below or above expectations
- the activity will be likely be repeated on a frequent basis

The After Action Review could be undertaken to assess the performance of the activity and identify any learnings that can support continuous improvement, particularly at the completion of an event with significant learning. These reviews involve the activity team coming together as a group and reflecting on the activity. Questions that would be discussed within the group include what worked and what did not work and why, as well as what could be done differently next time. Additional data collection could be undertaken to delve more deeply into what worked and didn't work including semi-structured key informant interviews. Such a review would be particularly useful in the case of KEQ related to effectiveness and contribution of the intervention.

Significant Policy Change

The Significant Policy Change (SPC) is developed mainly for Performance Assessment Framework (PAF) reporting of DFAT in Indonesia. SPC is a technique and process developed by Jess Dart for Indonesia PAF reporting. This technique was specifically designed for capturing, measuring and reporting on instances of policy change and understanding the contribution of the J-PAL SEA to this change. This is particularly relevant for responding to KEQ related to **contribution** (To what extent has J-PAL SEA contributed to evidence-informed decision making?)

'Significant' refers to a policy change that will make or has potential to make a substantial difference to development in Indonesia. Policy change infers that the policy in question is improved in some manner, or a new policy has been taken up.

SPC requires some process for tracking and knowing about potentially significant changes in policy that you have influenced. This can be done as simply through an "eyes and ears" approach, where significant policy changes are identified through monitoring and evaluation methods, such as the engagement logs, media tracking or more informal processes such as discussions with the Government partners. Potential changes could then be discussed at monthly team meetings and checked with Clear Horizon in order to verify whether the change is

within the scope of the SPC. The analysis related to the contribution of J-PAL SEA or any other stakeholder is tested by experts to enable a level of rigour that justifies the stated contribution to the change. The policy change is then reported as a narrative. The narrative needs to include the following:

- Summary of the change
- Context in which the change has occurred
- A description of the outcome
- The significance of the outcome
- The contribution of J-PAL SEA, including an honest assessment of any other factors that may have contributed to the change
- Evidence to support the above, including references to evidence sources

SPC has been mainstreamed across the Australian Indonesia aid program and is used to report against Performance Assessment Framework (PAF) indicators. Instances of significant policy changes are difficult to predict precisely because these outcomes lie beyond J-PAL SEA's sphere of control. Other factors play a role in affecting the enabling environment for policy change including politics, timing, and our partners. For this reason, J-PAL SEA will use SPC for PAF reporting when SPCs occur. For more detailed information, please see annex 2.9.

Episode Study – Light Touch

Episode studies refer to a study that focuses on a clear policy change and tracks back to assess what impact research had among the variety of issues that led to the policy change²⁵. Episode study is taking a policy change as its starting point and then working back from this change to trace the influence that a particular organization or intervention made in bringing it about. An important part of the method is that it also looks at what other factors/actors influenced the change, while additionally seeking to rule out alternative explanations. An episode study is different from an SPC narrative, as the SPC is a specific process developed for PAF reporting, while the episode study is a study on a specific policy change. If an episode study is not properly managed, it could be resource- and time-intensive. Thus, it is suggested to use a “light-touch” approach episode study. More specifically, the scope of an episode study should be clearly defined through both key study questions, and a defined start-point for the study and boundaries on what other factors/actors will be included. J-PAL SEA could conduct one episode study in a year 3 or 4 of the program. For more detailed information on the episode study guidance and terms of reference to manage an episode study, please see annex 2.10a and 2.10b.

Such a “light-touch” episode study can be developed according to the following steps:

- The identification of an instance of policy change or influence and the development of key study questions
- The iterative development of a historical timeline of events, decisions, or processes that lead to the ultimate policy change
- The exploration of multiple perspectives on how and why those policy decisions and practices took place (focusing on the political, relational, and knowledge generation dimensions of the process)
- The remote review and validation of the narrative and identified factors

²⁵ Overseas Development Institute, accessed on 21 July 2017 from <https://www.odi.org/publications/5694-episode-guide>

7. Data Analysis and Synthesis

The various forms of information gathered through data collection need to be analysed and synthesised to provide evidence against the KEQs. This data will be brought together and used in Annual Reporting to DFAT and some degree of participatory analysis and synthesis will be conducted through annual reflection workshop.

Guidance on data analysis and synthesis is provided below.

7.1. Data analysis

Prior to data synthesis, all data generated through each of data collection method outlined in the Table 2 needs to be consolidated. Practically, the analysis of the data collection methods includes:

- **Activity tracking:** analysis will require summarising activity data for monthly staff meeting, annual reflection workshop and progress reporting.
- **Training application form – survey:** analysis will require summarising and matching survey results with the training participants' criteria. The data will be presented on the annual reflection workshop and reporting.
- **Training feedback survey:** analysis will require compiling training feedback results after each of the training. Compilation of all training feedback results data could be conducted six monthly or annually prior to the reflection workshop and progress reporting.
- **Pre-post training test:** analysis will require comparing participants' test results before and after the training to see the extent of knowledge improvement experienced by the training participants.
- **Follow up survey:** analysis will require compiling follow-up survey results. Compilation of all follow up survey data could be conducted six monthly or annually prior to the reflection workshop and progress reporting.
- **Alumni tracking:** analysis will require summarising alumni responses to the alumni tracking survey annually. The data will be presented on the annual reflection workshop and reporting.
- **Engagement log:** analysis will require selected instances of impact to be developed into narratives or vignettes which link program activities to impact.
- **After action review:** analysis will require qualitative techniques to summarise the information collected through after action review.
- **Significant policy change:** analysis will require selected significant instances of change to be developed into significant policy change or DFAT reporting. The frequency of these changes will depend on research timing (when research concludes) as well as factors beyond J-PAL SEA's control.
- **Episode study – light touch:** analysis will require selected significant instances of change to be developed into episode studies that link program/project activities to contributing to outcomes. This will occur in the third or fourth year of the program.

7.2. Data Synthesis

Once data is analysed for each of the methods, it is necessary to synthesis the data to draw out findings and recommendations against the KEQs and sub-KEQs. Data from the project/program level will be brought together in annual reflection workshop and then presented in the annual progress report to DFAT.

Data synthesis will include:

- Describing what is the changing context and how does it influence the J-PAL SEA?
- Assessing whether the program is behind, on track or ahead of the program plan and the justification behind it.
- Comparing the data before and after the interventions particularly training.
- Assessing whether the project/program is reaching its intended targets and lesson learned within the reporting period.
- Summarising and categorising data into key EOPOs across all analysis and against KEQs.

- Identifying and evaluating key EOPOs (relationships between variables, improvements, most common changes, least common changes, etc.) and key trends (by sectors, type of the program activity, research topic, activity schedule, etc.).
- Assessing relevancy, sustainability and contribution of the changes and providing supporting justification.

8. Operationalising, Reporting and Utilization

This section describes information on operational plan of the MEL plan and how the collected MEL data will be organised and utilised for reporting and improvement.

8.1. Operationalising MEL Plan

Table 7. J-PAL SEA MEL Operational Plan

MEL Method / Product	Responsible person	Required inputs	Frequency of the review and analysis	Reporting
Activity tracking	MEL Specialist	<ul style="list-style-type: none"> - Training officer is responsible to update activity tracking for training team - Policy manager is responsible to update activity tracking for policy - Research Managers are responsible for updating activity tracking for research - MEL Specialist to combine data from both team 	Monthly	<p>Quarterly to J-PAL Global Office</p> <p>Summarize annually to DFAT (progress reporting)</p>
Training feedback survey	Senior Training Associate	Feedback from training participants	<p>Ad hoc, after/in the end of a training</p> <p>Annual review to see compilation of the data</p>	Annually to DFAT (progress reporting)
Participant follow up survey	Senior Training Associate	Feedback from training participants. The survey will be sent to participants three months after the training completed.	<p>Ad hoc, three months after the training completed.</p> <p>Annual review to see compilation of the data</p>	<p>Annually to DFAT (activities reporting)</p> <p>Annually to DFAT (progress reporting)</p>
Alumni tracking survey	MEL Specialist	J-PAL alumni	Annually	Annually to DFAT (progress reporting)
Engagement log	MEL Specialist	Relevant team members such as J-PAL SEA management, Research Associates, Policy and Training Associates	Monthly	Annually to DFAT (progress reporting)
After action review	Relevant Manager	Relevant program team	Ad hoc, after an important event	Directly after the AAR to the team, and some information may be captured in the annual report to DFAT.
Significant policy change	MEL Specialist	J-PAL SEA policy team and management	Annually	Annually to DFAT (PAF reporting)
Episode study (light touch)	Policy Manager	External consultant	Ad hoc, ideally it could be done a year before final evaluation	Before the final evaluation report (at least six months before the final report)
Annual progress report	Policy Manager	Managers, team members and MEL Officer	Annually	Annually to DFAT (progress reporting)

				<p>Deadline is in late January every year.</p> <p>Reporting process will be started two months before the deadline</p>
Mid-term review or partner led review / final evaluation	Mid-term review will be commissioned by DFAT	DFAT will conduct and commission mid-term review in 2019/2020. However if DFAT does not implement this review, J-PAL SEA will work with the other J-PAL regional offices to conduct and manage partner-led review	Mid term review: 2019/2020 or partner-led review in 2021	

8.2. Reporting

The results of data analysis and synthesis are to inform reporting. Reporting products that are developed for J-PAL SEA are outlined in Table 8, below.

Table 8. J-PAL SEA Reporting and Timeframes

Reporting to	Reporting Product	Reporting Process	When
J-PAL SEA and J-PAL	Compilation of activity tracking and engagement log	<ul style="list-style-type: none"> - This report helps to track the progress of J-PAL SEA activities against the planned activities. - Clear Horizon provides a review to the current J-PAL SEA activity log template. - Training Officer and Policy Manager will review and update the activity log monthly. - MEL Officer compiles data from both team and report it to J-PAL SEA management verbally on monthly basis. - On semi-annual basis, J-PAL SEA will send updates on the activity tracking and engagement log results to DFAT Activity Manager. 	Monthly staff meeting
		<ul style="list-style-type: none"> - In the annual reflection workshop, the compilation of the activity tracking and engagement log results is assessed and reviewed to demonstrate progress of J-PAL SEA and to provide justifications of the progress. 	Annual reflection workshop
DFAT	Annual progress report	<p>The main objectives of this progress report are to (i) demonstrate achievements, (ii) provide evidence to support the claims of achievement and (iii) show how information generated from the MEL system is informing learning, decision making and action within the reporting period.</p> <ul style="list-style-type: none"> - To support this process, Clear Horizon has provided a suggested structure for J-PAL SEA progress report to guide the report writing process. - Annual reflection workshop will be conducted at least one month prior to the reporting deadline to collect information related to J-PAL SEA achievements and progress for the next reporting requirement. 	Annual report for January – December reporting. This report will be submitted in January each year

		- The results from the annual reflection workshop will assist the J-PAL SEA in developing the annual report accordingly. DFAT progress reporting standards will guide the annual reflection workshop and structure of the progress report.	
DFAT – Performance Assessment Framework (PAF)	PAF indicator reporting	PAF report is submitted as SPCs occur in the end of May each year to DFAT Indonesia to provide information on overall results and performance from across Australia’s aid investments in Indonesia. The PAF reporting product consists of PAF quantitative indicators and SPC stories.	As SPCs occur or prior to the annual deadline (the next deadline is on 31 May 2018)
DFAT	Mid-term review report	An independent mid-term review will be conducted and commissioned by DFAT in financial year of 2019/2020. As a result, J-PAL SEA will not be required to conduct a final evaluation or a partner-led evaluation in the end of 2021.	2019/2020

8.3. Utilization: Learning and Improvement

Staff Meeting

Every month, J-PAL SEA team members will have a meeting to map current activities against the work plan, all monitoring data and any relevant evaluation data. This includes progress based on the activities and indicators, any targets achieved, and the quality of the current activities and how to improve future activity implementation. MEL data discussed in this meeting is mainly collected from activity tracking; engagement log and if available is data from feedback training, and follow up survey. This meeting provides an opportunity to review work plan and verify the collated evidence and identify any evidence that is missing.

Annual Reflection Workshop

As a precursor to the annual progress reports, reflection workshops will be held to develop the content of the reports as well as emphasise the learning and utilization aspect associated with MEL. More details on the questions asked during the reflection workshop can be seen in Table 9 below. The process for this includes:

- Synthesize data from monitoring and evaluation methods into evidence matrix and develop preliminary progress statements. An evidence matrix is a tool used to compile evidence against key evaluation questions and sub-questions. This evidence is then summarized as a statement of progress against each question. They can be updated on an ongoing basis as new data comes to hand and can therefore be used to provide a snapshot of progress at any time during implementation. See Annex 3 for the evidence matrix developed for J-PAL SEA to align with the DFAT reporting standards and AQC performance matrix.
- Either an external facilitator or a facilitator from another J-PAL office will facilitate the workshop, in order to review the evidence matrix and co-develop the key findings to be included in the progress report, including progress against EOPOs and work plan, as well as recommendations. This process provides an opportunity to verify the evidence collected and identify any evidence that is missing.
- Based on the agreed findings and recommendations arising from the summit workshop, J-PAL SEA will develop the progress report for review by Clear Horizon prior to submission to DFAT.

Table 9. Suggested Questions Asked During Reflection Workshop

Step	Thinking process	Key questions	Sub-questions
------	------------------	---------------	---------------

Summarising and assembling the data / evidence	Objective	What happened?	<ul style="list-style-type: none"> What facts are known by the group? What is the context of the program or project, and how has this changed? What are the key activities and outputs that were delivered during this period? What evidence of outcomes or change in behaviours, practices, etc. have been observed? What risks have been monitored or identified?
Interpreting and judging the results	Reflective & Interpretive	So what?	<ul style="list-style-type: none"> What does the objective data mean? What were the issues or challenges? Are there any gaps in the evidence? Which of the results do (or do not) reflect your own view of the key outcomes of the program so far and why? To what extent is the program on track with the original TOC and were the assumptions about how change would occur accurate? What are the key areas of success and what are the key issues discussed? What are the key messages for communication and reporting purposes?
Reflection and action recommendations	Decision	What now?	<ul style="list-style-type: none"> What decisions need to be made as a result of the evidence? What are the key lessons or management responses? Is there anything in the theory of change that needs to be dropped, changed or added?

Independent Mid-Term Review or Partner Led Evaluation

In 2019/2020, DFAT will commission an independent mid-term review to assess the outcomes and impacts of the program implementation. In 2019, a more detailed scoping of this evaluation will be undertaken and terms of reference developed. This will be based on the existing peer-review approach of J-PAL, which has already been undertaken for J-PAL SEA. It is expected to include:

- Purpose: To understand the effectiveness, strategy, partnership and contribution of J-PAL SEA to policy changes; and identify lessons for future designs.
- Timeframe: In 2019/2020 prior to completion of project, and to inform any future program implementation / funding / redesign decision by J-PAL SEA and DFAT.
- MEL types: Summary of the information collected through the results charts and progress reports. Additional data collection activities may be undertaken depending on the resources available and could include key informant interviews, focus group discussions and additional SPC narratives.
- Audiences: J-PAL SEA, J-PAL Global Office, DFAT and relevant development partners.
- KEQs: Summation of evidence against KEQs outlined in the MEL framework. This would feature in the development of the final report.

However, if DFAT does not commission the mid-term review in 2019/2020, J-PAL SEA will conduct and manage a partner-led evaluation in the end of the program implementation in 2021. J-PAL SEA will hire external evaluator/s or work with the other J-PAL regional offices to implement the evaluation.

Annex 1: Stakeholder Maps

Figure 3 Stakeholder Map – Research Stream – EOPO 1

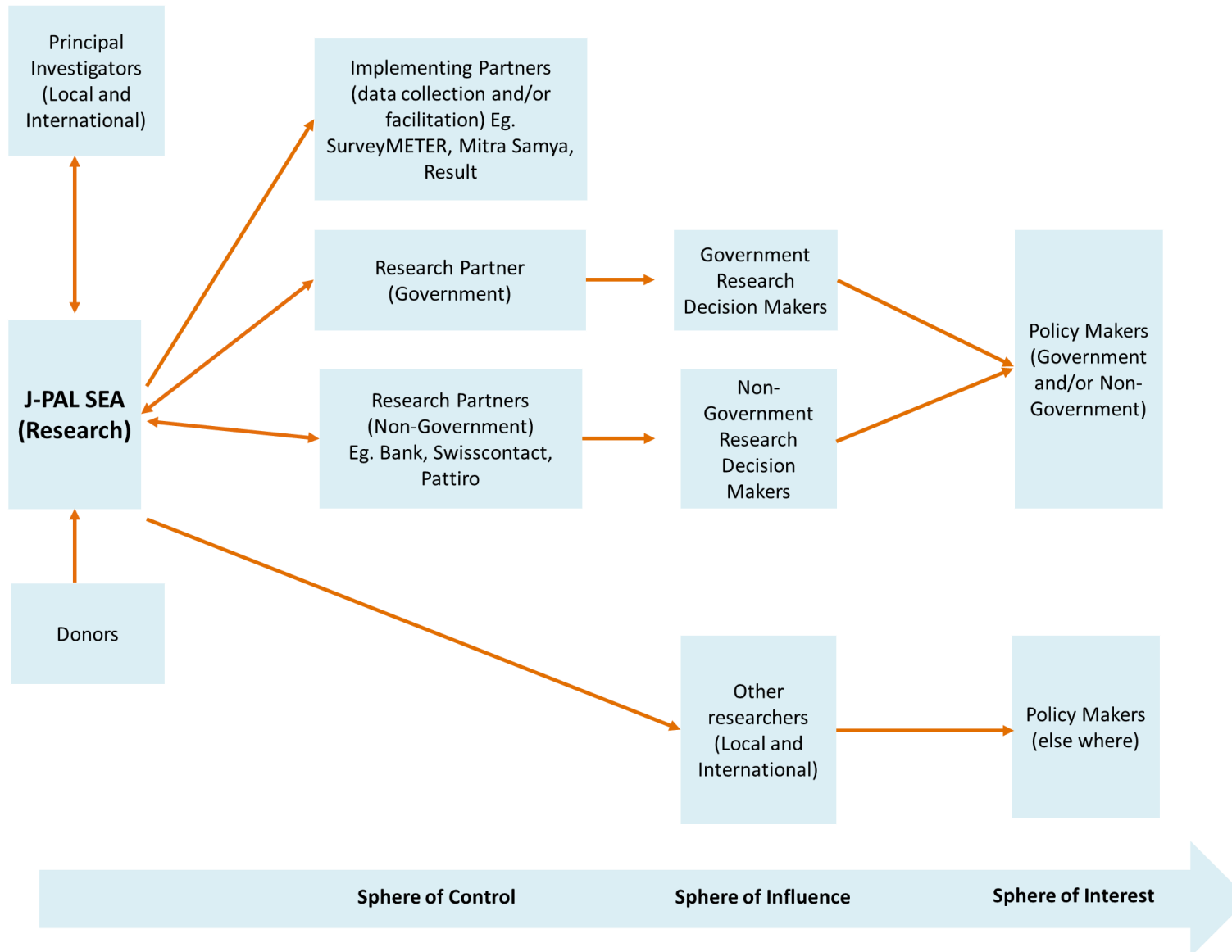


Figure 4 Stakeholder Map – Policy Outreach Stream – EOPO 2

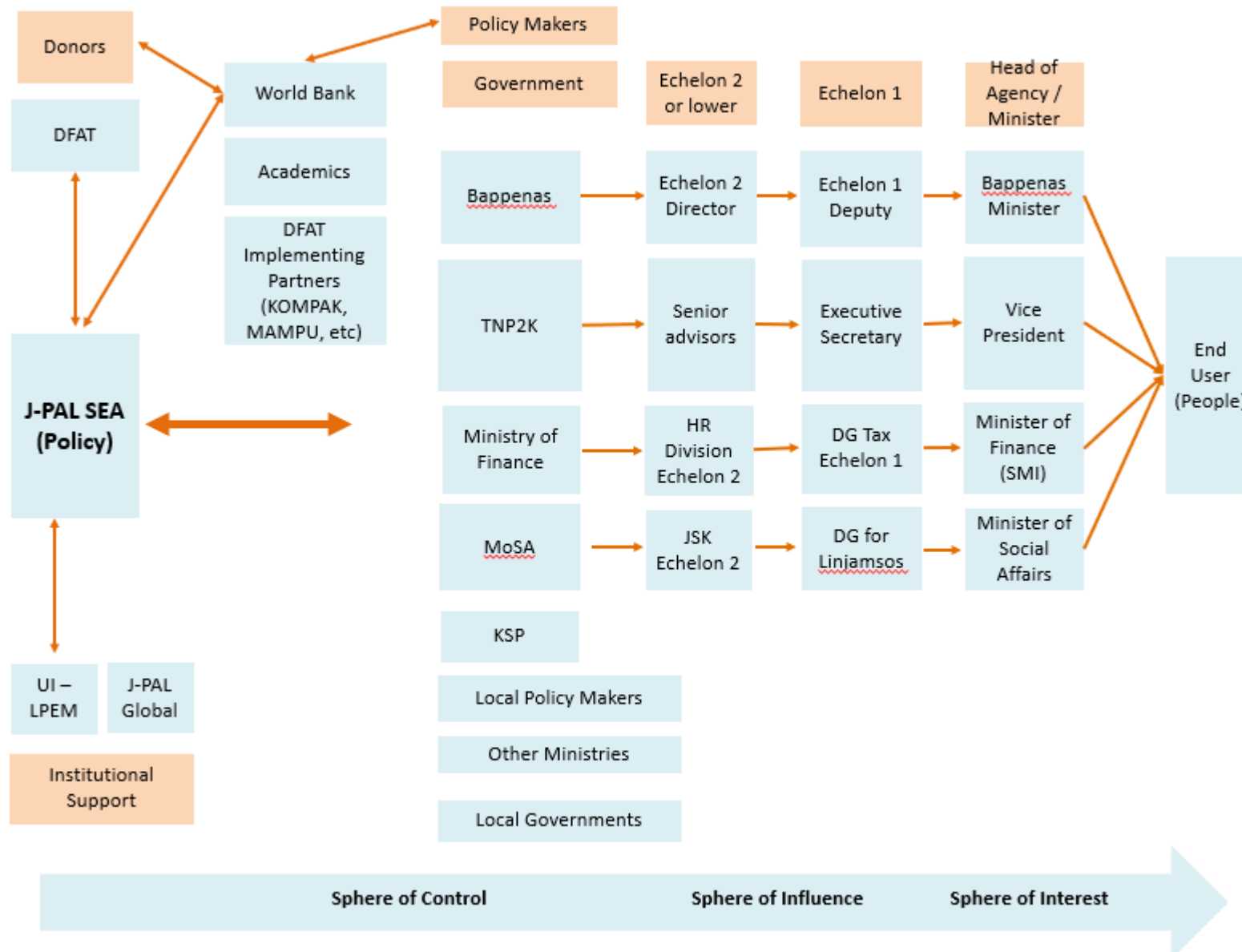
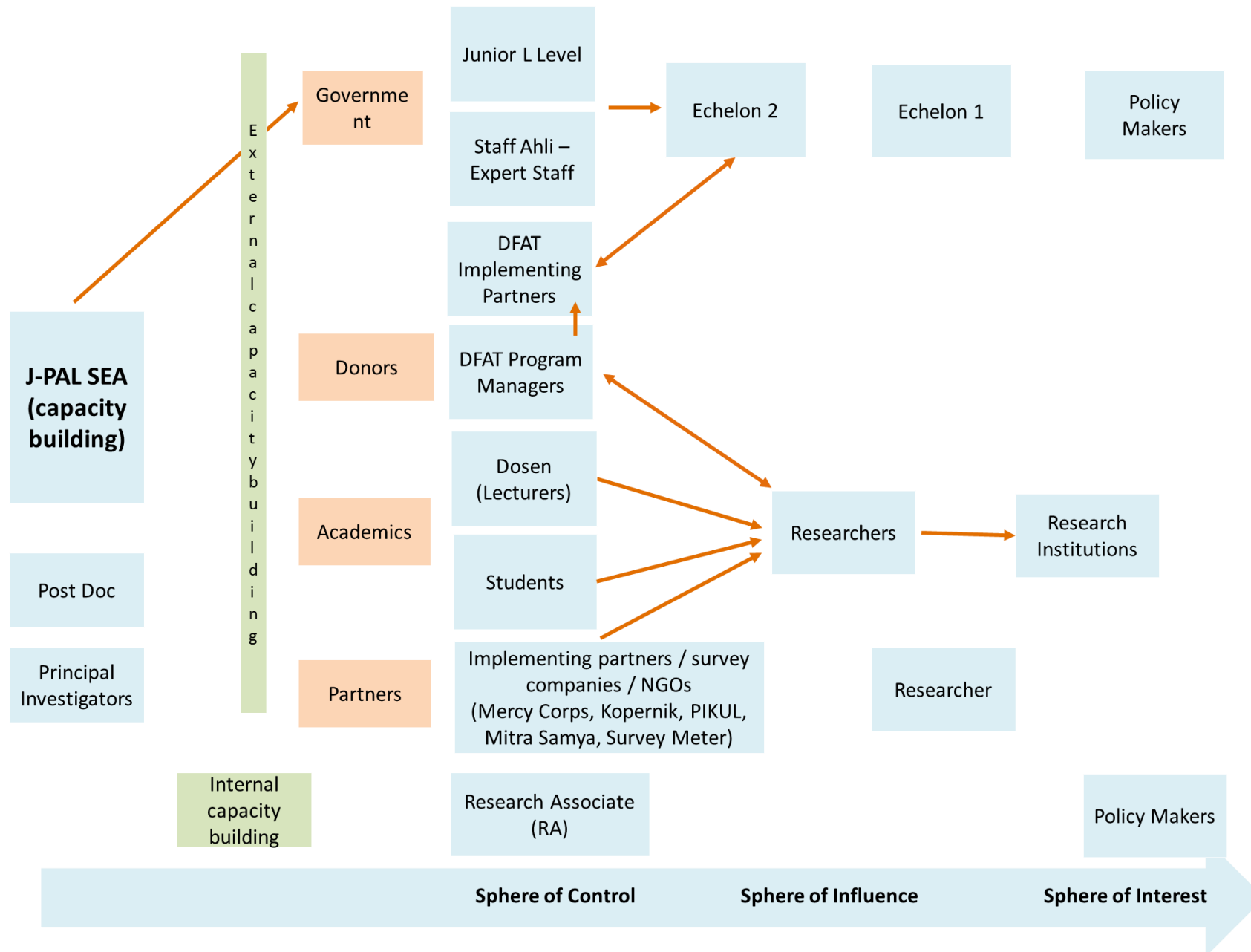


Figure 5 Stakeholder Map – Capacity Building Stream – EOPO 3



Annex 2: Monitoring & Evaluation Tools AND Rubrics

Monitoring and Evaluation Tools

Annex 2.1a Activity tracking guidance

Annex 2.1b Activity tracking template

Annex 2.2 Training application form – survey

Annex 2.3 Pre-post training test

Annex 2.4 Training feedback survey

Annex 2.5 Training follow-up survey

Annex 2.6 Alumni tracking survey

Annex 2.7a Engagement log guidance

Annex 2.7b Engagement log database

Annex 2.8 After action review guidance

Annex 2.9 Significant policy change guidance

Annex 2.10a Episode study (light touch) guidance

Annex 2.10b Terms of reference for an episode study

Annex 2.11 Reflection workshop guidance

Attachments to Performance Expectations (Rubrics)

Annex 2.12 Research protocol checklist

Annex 2.13 Minimum must do checklist

Annex 3: Evidence Matrix

KEQ	Sub-question	Evidence to support ²⁶	Finding ²⁷	Preliminary Recommendations	Other points that are important to note, including strength of evidence ²⁸
EOPO 1: Researchers, partners and academics are increasingly generating data and evidence to inform decision making					
KEQ1. To what extent is J-PAL SEA effectively undertaking fit-for-purpose research? (<i>effectiveness in research / EOPO1</i>)	1.1. To what extent is J-PAL SEA able to identify fit for purpose topics to research?				
	1.2. To what extent does J-PAL engage the right research partners in implementing the research?				
	1.3. To what extent does J-PAL SEA maintain the quality of its research?				
EOPO 2: Government, donor, and private sector partners are increasingly using data and evidence to inform decision making (Policy)					
KEQ2. To what extent is J-PAL SEA effectively engaging with development partners in the policy discourse? (<i>effectiveness in policy outreach / EOPO2</i>)	2.1. To what extent are the partners requesting, referencing and/or using the evidence in the policy discourse and decision making?				
	2.2. To what extent are we tailoring evidence for our partners?				
EOPO 3: Governments, academics, donors and partners have capability to understand what RCT are, when it is appropriate and why it is useful (Capacity Building)					
KEQ3. To what extent is J-PAL SEA effectively improving the capability of partners and staff to understand what rigorous impact evaluations including randomized evaluations are and why they are useful in policy design and decision making? (<i>effectiveness in capacity building / EOPO3</i>) what randomized evaluations are and why they are useful in	3.1. Who are the training participants that are being targeted for capacity building, and are they the right participants?				
	3.2. How significant is the change of key partners' awareness and knowledge (capability) to use more rigorous research practices?				
	3.3. To what extent are participants or partners using knowledge from J-PAL trainings about what rigorous impact evaluation is, why it's useful, and when it's appropriate or referring to rigorous evidence in their work?				

²⁶ Evidence can be provided with different levels of rigour, and thus have differing implications on the findings. For example, anecdotal evidence or key informant interviews can be included as opinions; expert panels can be included with a higher level of rigour to validate information; randomised control trials may have the highest level of rigour. The evidence provided should be a composite of all available and relevant information.

²⁷ Findings are a consolidated analysis of the evidence to draw conclusions. This can be cross-referenced through expert panels, advisory groups and or technical reference groups as required.

²⁸ Strength of evidence can be categorised into: high strength of evidence, medium strength of evidence and low strength of evidence

KEQ	Sub-question	Evidence to support ²⁶	Finding ²⁷	Preliminary Recommendations	Other points that are important to note, including strength of evidence ²⁸
	3.4. Do J-PAL alumni further develop their career pathways?				
All of EOPOs – J-PAL SEA					
KEQ4. To what extent has J-PAL SEA contributed to evidence-informed decision making?	4.1. To what extent have the policy recommendations been translated into action?				
	4.2. Are our partners championing the evidence informed approaches to other stakeholders?				
Context update					
Relevance					
Gender					
Disability rights and Social Inclusion					
Innovation					
Private sector engagement					
Risk management					
Sustainability					
Challenges					
Foundational activities (political engagement)					
Foundational activities (research)					

Annex 4: Suggested Structure for the J-PAL SEA Annual Report

The annual progress report presents in no more than 25 pages and should contain the following sections:

- Executive summary (1 page)
- Introduction (1 page)
- Context update (up to 2 pages)
 - Political economy update (including update of the relevance of the program to GOI and GOA interests)
 - Economic, environmental, social, technological, demographic, legal and or ethical issues
- Progress towards End of Program Outcomes (approximately 10 pages)
 - EOPO 1: Researchers, partners and academics are increasingly generating data and evidence to inform decision making (research)
 - EOPO 2: Government, donor, and private sector partners are increasingly using data and evidence to inform decision making (policy)
 - EOPO 3: Governments, academics, donors and partners have capability to understand what RCT are, when it is appropriate and why it is useful (capacity building)
- Cross-Cutting Issues (approximately 3 pages in total)
 - Sustainability
 - Gender
 - Disability rights
 - Innovation
 - Private sector engagement
 - MEL
- Risk management (1 page)
 - Updates on prioritised risks: Political engagement; access to talent; buy-in from the government; access to data; timing (right time, sufficient time); and changing personnel.
 - Risk matrix
- Challenges, lesson learned and future priorities (at least 1 page)
- Management responses (at least 1 page)
 - Update on previous recommendations
 - New management responses from current reporting period
- Annexes
 - Updated activity tracking
 - Summary of the financial reports
 - Policy publications released during the reporting period
 - Table of rigorous impact/randomized evaluations ongoing and completed during the reporting period
 - Examples of training agenda, or other 'flagship' materials

Annex 5: DFAT MEL Standards Related to Investment Progress Reporting²⁹

STANDARD 3: INVESTMENT PROGRESS REPORTING

No.	Element
	Feature of Progress Report
3.1	There is an executive summary that communicates the key information required for routine DFAT reporting and oversight.
3.2	The relevant aspects of the context and any risks are adequately described
3.3	There is a reflection on the continuing relevance of the investment
3.4	An assessment of the adequacy of progress toward sustained end-of-program outcomes is described
3.5	The reach/coverage, quality and exposure of investment participants to relevant key outputs or deliverables for the reporting period are described
3.6	The adequacy of progress implementing the annual plan is described
3.7	An assessment of the likely adequacy of planned inputs to meet the expected end-of-program outcomes is provided
3.8	The adequacy of progress against the budget is assessed
3.9	Key management or implementation systems are described and their performance assessed
3.10	The report provides balanced and fair reporting of positive and negative issues, achievements and challenges
3.11	For claims of achievement or barriers to achievement, credible supportive evidence is provided
3.12	Data or findings are presented in formats that effectively and efficiently communicate important information
3.13	The frequency of reporting is suitable for effective investment management
3.14	The report includes lessons learned from implementation that have potentially important implications more broadly
3.15	Previous and/or proposed management responses or recommendations are summarized

²⁹ Note: This was updated in September 2017

Detailed Description of Standards for Investment Progress Reporting³⁰

3.1. There is an executive summary that communicates the key information required for routine DFAT reporting and oversight

An executive summary provides easy access to information to inform the Quality at Implementation assessment, and meets DFAT's information needs. The main focus for this information is summary information on: the continued relevance of the expected end-of-program outcomes; progress toward achievement of sustained end-of-program outcomes (including any relevant cross-cutting themes, and gender equality and social inclusion outcomes); any differences in outcomes for special sub-groups; quality, reach and coverage of key outputs or deliverables; important factors (including contextual factors) impacting on adequacy of outcomes and outputs; implications of key issues to the achievement of outcomes and outputs, implementation of the annual plan and meeting the budget; and any key management responses proposed. Make special note of any information that provides insight into the achievement or challenges for gender equality and social inclusion aspects of the investment. Any issues with the management or implementation systems are summarised. The DFAT investment manager will explain any updated information requirements for DFAT Program or corporate purposes.

3.2. The relevant aspects of the context and any risks are adequately described

The relevant aspects of the context are described. Information is provided on: the progress of the broader sector or sub-sector in relation to the investment's area of work; any relevant areas in the context which impact on the relevant needs and priorities of the investment actors, especially women and any other relevant special groups; any factors which are impacting on the achievement of sustained outcomes or quality, reach and coverage of the investment deliverables (discussed above under factors) noting how contextual factors may account for any differential outcomes for, or participation in, the investment by relevant special groups; and extent to which the investment may be contributing to changes in the sector. Findings on key risks being monitored are presented and continuing risk assessed. Context does not have to be presented as a stand-alone section, but can be woven into discussions throughout the progress report, commonly as explanations for achievements, or barriers to progress. It can be helpful for risks to be addressed as a standalone section so that senior managers can quickly identify issues that need to be monitored (see element 3.9 below).

3.3. There is a reflection on the continuing relevance of the investment

The end-of-program outcomes from the original design document are listed. Any revisions to these end-of-program outcomes that had previously been agreed are explained. There is a reflection on the extent to which the problem the investment is addressing is improving, worsening or continues the same and the continuing relevance of the current expected end-of-program outcomes in relation to the needs of the target population, including any relevant special sub-groups. Continuing relevance of the choice of interventions and program logic are also discussed where necessary. Any proposed changes are identified and justified.

3.4. An assessment of the adequacy of progress toward sustained end-of-program outcomes is described

Where relevant, a distinction is made between end-of-program outcomes and those outcomes that are expected to be sustained beyond the life of the investment. A firm judgement of the **adequacy of progress toward these outcomes is described**. This also includes outcomes relating to cross-cutting issues such as gender equality, disability and social inclusion (see DFAT policies on the full range of issues). A simple list of immediate and/or intermediate outcomes or achievements is not sufficient. A judgement of the *adequacy* of this progress must be explicit, and explained with reference to appropriate criteria, standards and evidence.

Where progress has been particularly good, or particularly poor, a full **exploration of the supportive and inhibiting factors** that account for this situation is provided.

Particularly where problems or challenges have been identified, there is a full analysis of **the implications of the situation** on the likely achievement of end-of-program outcomes. It is clear from the report the extent to which DFAT and other stakeholders will need to track the relevant issues, including whether there is a need to reassess the suitability of end-of-program outcomes.

If previous **management responses** have been taken, then their success or failure is described. Any options for future management responses are fully elaborated. This includes the identification of what concrete actions stakeholders are required to take. The cost implications of these responses are discussed.

3.5. The reach/coverage, quality and exposure of investment participants to relevant key outputs or deliverables for the reporting period are described

³⁰Further guidance is available from participating DFAT ECB programs entitled: "Suggested Report Content for Implementation Partners"

Only the key outputs are described. Key outputs are defined as those outputs that are important to the achievement of expected end-of-program outcomes, or those accounting for a reasonable proportion of the budget or effort. Long lists of minor outputs are not required. The adequacy of the geographical or any relevant special sub-groups coverage of outputs is provided, the adequacy of the reach or number of outputs or beneficiaries of those outputs enumerated, the adequacy of the exposure of investment participants to key relevant outputs, and the quality of key outputs is assessed. An assessment of the quality of minor outputs is not necessarily required.

3.6. The adequacy of progress implementing the annual plan is described

Progress implementing the annual plan on time is described. A firm judgement is made on the adequacy of this progress. Where there are significant delays, the factors leading to this have been identified, and the implications for completing the investment on time are outlined. Management responses are proposed. Where extensions are requested these are adequately justified, and other alternatives have been considered.

3.7. An assessment of the likely adequacy of planned inputs to meet the expected end-of-program outcomes is provided

A firm judgement on the adequacy of the planned inputs to meet the expected end-of-program outcomes is made. The assessment makes clear the assumptions on which this judgement has been made, particularly regarding potential changes in implementation. Where there are anticipated shortfalls, the report provides a well-supported argument for any proposals for additional inputs.

3.8. The adequacy of progress against the budget is assessed

The amount of budget actually expended to date is presented against the planned budget. The proportion of variation is provided. For any issues identified, a full exploration of the supportive and inhibiting factors that account for this situation is provided. Particularly where problems or challenges have been identified, there is a full analysis of the implications the situation will have on the likelihood of delivering on the annual plan and budget. It is clear from the report the extent to which DFAT and other stakeholders will need to track the relevant issues. If previous management responses have been taken, then their success or failure is described. Any options for future management responses are fully elaborated. This includes the identification of which stakeholders are required to take what actions. The cost implications of these responses are discussed.

3.9. Key management or implementation systems are described and their performance assessed

Key management or implementation systems are described where there are issues to consider. This could include: a) strategic and annual planning; b) governance and oversight c) monitoring, evaluation and risk management (including knowledge management systems); d) financial management and value for money; and e) staffing or human resource systems. Other relevant management systems are included. For any issues identified, a full exploration of the supportive and inhibiting factors that account for the situation is provided.

Particularly where problems or challenges have been identified, there is a full analysis of the implications the situations may have on the successful management of the investment. It is clear from the report the extent to which DFAT and other stakeholders will need to track the relevant issues.

If previous management responses have been taken, then their success or failure is described. Any options for future management responses are fully elaborated. This includes the identification of which stakeholders are required to take what actions. The cost implications of these responses are discussed.

3.10. The report provides balanced and fair reporting of positive and negative issues, achievements and challenges

The report provides a balance between statements of achievement and challenges and issues. Statements of limited achievements would be supported by a reasonable discussion of challenges. The report reflects the challenging nature of human development.

3.11. For claims of achievement or barriers to achievement, credible supportive information is provided

For claims of achievement (both in terms of achievement of outcomes, and quality of outputs or deliverables), or the explanation of barriers to achievement, credible supportive evidence is provided. The basis by which the claim is made is articulated. There is not an overemphasis on using examples to demonstrate achievement, rather the emphasis is on *how we know* that these examples have been achieved or outputs are of sufficient quality (the basis of the claim).

3.12. Data or findings are presented in formats that effectively and efficiently communicate important information

Data or findings are presented in a way that allows the general reader to interpret the information appropriately and efficiently. A range of presentation formats have been considered and the report is not presented as text only. The presentation of information is easy to access, and is presented in formats suitable for the primary users.

3.13. The frequency of reporting is suitable for effective investment management

Progress reports are submitted at suitable intervals to enable effective investment management. For example, activity implementation and budgetary information could be provided quarterly, where reports on the reach/coverage, quality and exposure of investment participants to the deliverables and the progress toward achievement of outcomes could be provided annually. The submission of reports is timed to allow DFAT to meet its own internal reporting requirements and quality processes.

3.14. The report includes lessons learned from implementation that have potentially important implications more broadly

The report includes lessons learned or insights that have been generated from the monitoring and evaluation activities that may have important implications for the investment, local partner development strategies, the DFAT delivery strategy, the DFAT Program, or DFAT corporately. Minor, well established or generic development lessons are not included.

3.15 Previous and/or proposed management responses or recommendations are summarized

The report provides a summary of the important recommendations or management responses proposed. Any recommendations or management responses from previous progress reports are discussed in terms of their implementation and effectiveness.

Annex 6: DFAT Performance Assessment Framework Indicators³¹

Table 10. PAF Summary – Suggested Indicators Relevant to J-PAL SEA

Indicators	Relevancy to J-PAL SEA outcomes
Indicator #1: Amount of additional financing co-invested in development	Maybe , if there are additional funding to develop REs provided by other donors.
Indicator #2: Number of improvements to development policy	Yes . One Significant Policy Change story for 2018 PAF reporting on Generasi findings
Indicator #3: Number of women and men who apply improved skills for development	Maybe , the number of women and men who apply improved skills in rigorous impact evaluations including randomized evaluations.
Indicator #4: Number of smallholder farmers, in particular women, with increased incomes through private sector investment	Not Relevant
Indicator #5: Number (and type) of engagements with business for pro-poor development	Not Relevant
Indicator #6: Number of women and men with improved access to safe water and basic sanitation	Not Relevant
Indicator #7: Number of women and men with access to legal identity	Not Relevant
Indicator #8: Number of women survivors of violence receiving services	Not Relevant
Indicator #9: Number of districts with improved service delivery practices and policies	Not Relevant
Indicator #10: Number of women and men who participate in policy making activities	Not Relevant
Indicator #11: Number of Information and Communications Technologies (ICT) that support development	Not Relevant
Indicator #12: Reduce the number of individual investments to focus efforts and reduce transaction costs (corporate)	Not Relevant
Indicator #13: Percentage of investments assessed as effectively addressing gender equality in implementation (corporate)	Not Relevant

³¹ This was developed based on PAF 3.0 technical note for 2018. This is just a suggestion for J-PAL SEA PAF reporting in 2018.