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Standard Operating Procedure

Monitoring and Evaluation for Disarmament, Demobilization and Reintegration

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DPKO/DFS STANDARD OPERATING PROCEDURE ON MONITORING AND EVALUATION FOR DISARMAMENT, DEMOBILIZATION AND REINTEGRATION

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A. PURPOSE

1. The Standard Operating Procedure (SOP) on Monitoring and Evaluation (M&E) for Disarmament, Demobilization and Reintegration (DDR) provides DPKO staff with guidance on how to plan and run a Monitoring and Evaluation System for DDR in the broader context of peace keeping. It provides a standardized, comprehensive and systematic approach to monitoring and evaluating both progress and results of DDR.
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B. SCOPE

2. The Standard Operating Procedure on Monitoring and Evaluation for DDR applies to DDR planners (Chapter 1 of 'Procedures', in particular), to DDR M&E staff (for whom Chapter 2 will be most significant).
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C. RATIONALE

3. Monitoring and Evaluation (M&E) is a crucial tool for effective DDR programme planning and implementation. It offers the means through which stakeholders¹:
 - can keep track on what has (or has not) been achieved to date;
 - can make immediate adjustments to the DDR programme if necessary;
 - can ensure accountability for the effective and efficient use of funds;
 - can credibly and timely report to stakeholders and donors;
 - can manage, communicate and discuss information on progress;
 - can objectively verify the outcomes and impact of the DDR programme;
 - can build an institutional memory, learn and share lessons that can be fed into future programmes and policies.

¹ A listing of definitions/explanations of technical terms is provided towards the end of this SOP, section E.

4. In crisis and post-conflict situations, where the most urgent priorities are to get implementation up and running, M&E may be overlooked or under-prioritised. M&E has been one of the weakest areas of DDR programme management. It has been recognised that, while DDR sections in peacekeeping operations have tried several approaches to M&E, there has been little guidance on this subject, nor has a single approach been developed across peacekeeping operations.

D. PROCEDURES

Overview

6. Programme managers and DDR M&E staff shall be **responsible** for key M&E activities:
- During the *planning phase*, the **DDR Section of the Office of the Rule of Law and Security Institutions** shall ensure that an adequate M&E strategy is included in the DDR programme plan and provide technical backstopping for defining indicators and a DDR M&E plan. During *implementation*, the section shall monitor performance and process indicators, provide technical backstopping for M&E and serve as a central repository for M&E information.
 - During the *planning phase*, the **Head of Component** shall establish a M&E mechanism and identify performance indicators. During *implementation*, the Head of Component shall oversee M&E of the DDR programme and clearly define rules, responsibilities and tasks for M&E staff.
 - **DDR M&E staff** shall run the DDR M&E system throughout programme implementation, adjusting it, as required, on a regular basis².

POSITION	KEY RESPONSIBILITIES	
	BEFORE IMPLEMENTATION	DURING IMPLEMENTATION
<ul style="list-style-type: none"> ■ DDR Section in the Office of the Rule of Law and Security Institutions 	<ul style="list-style-type: none"> ■ ensure that an adequate monitoring and evaluation strategy is included in the DDR programme plan ■ provide technical backstopping for defining indicators and a DDR Monitoring and Evaluation Plan 	<ul style="list-style-type: none"> ■ monitor performance and process indicators during implementation of the programme plan ■ provide technical backstopping for monitoring and evaluations ■ serve as central repository for all M&E information
<ul style="list-style-type: none"> ■ Head of DDR Component 	<ul style="list-style-type: none"> ■ establish mechanisms to monitor and evaluate the implementation of DDR programmes ■ identify performance and process indicators and targets 	<ul style="list-style-type: none"> ■ oversee monitoring and evaluations of the DDR programme ■ clearly define the roles, responsibilities and tasks for M&E units and M&E staff
<ul style="list-style-type: none"> ■ DDR M&E unit 	<ul style="list-style-type: none"> ■ <i>typically not yet established</i> 	<ul style="list-style-type: none"> ■ run the DDR Monitoring and Evaluation system ■ adjust the M&E system as and when required

² In addition, DDR M&E staff shall provide feedback to DDR programme managers in HQs in order to improve the standardized mechanisms for monitoring and evaluating DDR programmes.

7. When planning a DDR programme through an **Integrated Missions Planning Process (IMPP)** with a UN Country Team (UNCT) presence, the tasks related to M&E before the implementation shall be the responsibility of the Integrated Mission Task Force (IMTF) and the UNCT planning team.
8. **The steps entailed** in setting up and managing an effective M&E system in the DDR context will be considered in two groups:
 - **before** implementation, 7 steps (primarily the responsibility of the DDR planners in HQs and field operations)
 - **during implementation**, 5 steps (primarily the responsibility of DDR management and M&E staff in field operations)

Steps to be Taken Before Implementation

9. The design of a **Monitoring and Evaluation system for DDR** is an essential element in planning a DDR programme.
10. DDR planners in headquarters and field operations shall ensure that the DDR M&E system is **planned** in detail, **incorporated in the DDR planning document** and sufficiently **funded**.
11. The **DDR Section** in the Office of the Rule of Law and Security Institutions of DPKO shall provide technical backstopping to DDR planners to define indicators and draw up a DDR Monitoring and Evaluation Plan.
12. To do that, programme planners shall follow **seven steps**:



13. The planning process for M&E shall result in a **comprehensive 'DDR Monitoring & Evaluation (M&E) Plan'**, which shall be an **integral part** of the overall **DDR programme plan**.
14. Each of these steps are explained and discussed in more detail below, and together will form the **basis for effective M&E activities over the course of the DDR Programme Cycle**.

STEP ONE - Be clear about the DDR results chain

15. A logically connected **chain of results** is the **basis for monitoring and evaluating DDR programmes** in the peacekeeping context. All stakeholders should have a clear and shared understanding of the chain. To this end, planners shall ensure that the Results Chain is SMART³ and laid out clearly in the DDR programme plan.
16. A basic Results Chain is defined in the **Results-Based Budgeting (RBB) Framework** for the entire mission. The RBB Framework includes a number of specific, often numeric, planned **outputs** which should lead to the expected accomplishments. These outputs lead to an **expected accomplishment** (or 'outcome') for the DDR programme. Taken together, the expected accomplishments of a Mission contribute jointly to an **overall objective** (as defined by the Security Council).



17. In addition, more detailed **planning documents** for the DDR component may exist. These can take the form of a DDR programme document.
18. All expected accomplishments and outputs of the RBB framework and the DDR programme plan - including the respective indicators - shall form the **basis for DDR monitoring and evaluations**. If the results chain is not sufficiently detailed for effective monitoring, DDR planners (or M&E staff where planners failed to do this) shall **expand** it to a sufficient level of detail.

STEP TWO: Determine Performance Indicators

19. In order to effectively monitor and evaluate DDR, each output and every expected accomplishment shall have a set of **performance indicators**. Output indicators help to track whether a DDR programme delivers what was planned and on time. Indicators for expected accomplishments track medium-term progress, for example in the reintegration of ex-combatants.⁴
20. DDR planners should consider the following requirements when seeking to identify or refine meaningful performance indicators:

■ An indicator shall be a *single unit of information* measured over time that helps show changes in a specific condition (poorly defined indicator: 'Number and level of ex-combatants economically active' could be better expressed as two distinct indicators: 'No. of ex-combatants economically active' and '% of economically active ex-combatants').

³ SMART: Specific, Measurable, Achievable, Realistic and Time-bound; see 'Terms and Definitions' (section E).
⁴ The Result-Based Budgeting Framework for a Mission includes indicators on the level of expected accomplishments, but no indicators for the level of outputs (although it uses 'quantities'). Performance indicators for a DDR programme should include *a//*RBB indicators and additional, DDR-specific indicators for detailed monitoring and evaluations.

- A set of indicators for a specific output or an expected accomplishment should comprise a mix of **quantitative** aspects of DDR (directly observable, e.g. ‘% of ex-combatants who found employment’) with **qualitative** aspects of DDR (incorporating judgments or perceptions, e.g. ‘% of ex-combatants satisfied with the transition package’).
- Indicators should be **numeric** (e.g. a number, percentage, ratio, etc.). Numeric indicators tend to be more sensitive to change over time and are typically less subjective than yes/no indicators (e.g. ‘All ex-combatants successfully reintegrated’). Numeric indicators can capture quantitative (e.g. ‘% of ex-combatants who receive reintegration package’) as well as qualitative aspects of DDR (e.g. ‘% of ex-combatants who say their lives have improved after demobilization’).
- Each output or expected accomplishment should have a **set of three to five indicators**. Fewer than this, and it is difficult to capture all key dimensions of a result. To use more than five indicators is cumbersome, reduces the value of indicators, and increases the workload for monitoring.
- General indicators should be complemented by additional **disaggregated** indicators which show a specific subgroup. For example, the indicator ‘% of ex-combatants that are economically active’ may be complemented by an additional indicator on ‘% of disabled ex-combatants that are economically active’.
- Key **cross-cutting issues** should be reflected through additional, disaggregated performance indicators, to highlight and track a specific aspect of DDR.⁵
- To the extent possible, indicators should be disaggregated by **gender** to capture the different needs of female and male DDR programme participants.
- **Key partners** such as national authorities and civil society should be involved in the process of selecting indicators, as this will serve to foster broader national ownership and support for DDR, and can help clarify the expected accomplishments and outputs of the planned DDR programme.

21. Every indicator in a DDR programme should have an **indicator baseline** stating the pre-intervention status on a given date, and an **indicator target** specifying the result to be achieved by a certain date. Targets should be realistic, and should be agreed upon by key partners and national authorities. Intermediary targets (also called ‘milestones’), for specific dates within the programme period, are recommended, to facilitate ease of monitoring.⁶

STEP THREE - Determine the Process Indicators

22. Performance indicators capture what has been achieved by the DDR programme. However, the way **how a DDR programme operates** can materially affect the quality of its outputs and the likelihood of reaching its expected accomplishment.

⁵ Cross-cutting issues in the context of DDR in peacekeeping typically include children, youth, health, HIV/AIDS, human rights or cross-border population movements.

⁶ In the typically volatile and uncertain context of peacekeeping missions, it is possible that an indicator baseline can only be collected *after* the DDR programme starts operating. In such cases, clear plans to collect the missing baseline data shall be made at the planning stage. By the end of the first year of operations at the latest, all indicators shall have a complete baseline and a target.

23. It is through the use of **process indicators** that DDR programme managers can track key information on the way the programme is implemented.
24. At the planning stage, DDR planners shall identify a **limited set of process indicators** which are subsequently tracked by DDR M&E staff during implementation.
25. While process indicators largely depend on the local context and the type of DDR, they often relate to key aspects of the **budget** (e.g. ‘% of administrative overhead costs compared to overall expenditure’, ‘% of funds mobilized which are spent’), **human resources** (e.g. ‘% of human resource budget spent on international staff’, ‘% of DDR positions which are not filled’, ‘% of DDR programme staff that completed gender training’) or **public information** activities for DDR (e.g. ‘Hours of radio programmes on DDR per quarter’).

33. The **approach, timing and scope** of surveys, studies and evaluations will depend on the level of field access expected in the area where the DDR programme plans to operate.
34. A certain degree of **flexibility** should be accommodated in the plan, as changes in field access may trigger a revision of the planned mix of surveys, studies and evaluations to be carried out.

SAMPLE SURVEYS

A **survey** is a system for collecting information from, or about, people, to describe, compare, or explain their knowledge, attitudes, and behaviour. A **sample** survey enables a general conclusion to be reached on the basis of a (statistically significant) sample of a group, population or process. Such surveys can capture different kinds of information, for example, the level of satisfaction of ex-combatants with the DDR process, or assessing the success and sustainability of their reintegration. Even **small sample surveys** of DDR programme participants can yield **sound statistically valid data** for the entire group of programme participants at **reasonable cost**. Without the use of sample surveys by DDR programmes, it is difficult to credibly and objectively establish if planned accomplishments are met or not.¹

EVALUATIONS

Evaluations may be conducted internally by DDR or UN staff, or by external evaluators. An **internal evaluation** may be undertaken by the DDR programme or a sub-programme ('programme-led evaluation'), or by the DPKO/DFS evaluation team in the Policy, Evaluation and Training Division, or the Office of Internal Oversight Services ('evaluation-led evaluation'). An **external evaluation** is conducted by entities free from control or influence of those responsible for the design and implementation of the DDR programme. If the purpose of an evaluation is to assess accomplishments as credibly and as objectively as possible, DDR planners shall choose an external evaluation.

STUDIES

To the extent possible, DDR planners may consider specific studies to carry out in-depth investigations on certain **issues, problems** or **perspectives** which may arise during the implementation of a DDR programme. For example, DDR planners might include a study on the success of reintegration of ex-combatants with special needs in year 2 of DDR implementation in order to adjust the specific support to that group. While the need for most studies will only emerge during the implementation of a DDR programme, provision for studies shall be made prior to the programme's start.

35. The DDR Surveys, Studies and Evaluations Plan shall **summarize** the surveys, studies and evaluations to be carried out before, during and after the DDR implementation, including those that are carried out jointly with other organizations.
36. The Surveys, Studies and Evaluations Plan shall specify the following elements for each planned activity: a) the **focus** that surveys, studies and evaluations seek to address, b) the **type** of activity, c) the tentative **timing**, and d) the anticipated **costs** of conducting the activity.
37. **Template for DDR Survey, Studies and Evaluations Plan**⁸

	Focus	Type	Timing	Costs
SURVEYS				

⁸ For an example of a DDR Survey, Studies and Evaluation Plan see Annex 3

STUDIES				
EVALUATION				

STEP SIX - Define capacities required for M&E

38. As the DDR M&E Plan nears completion, programme planners shall define:

- the **human resources** needed to effectively carry out M&E
- the **budget** required for M&E

39. Given the variety of tasks and its central role in DDR management, a DDR programme shall have a dedicated **M&E unit**.

40. The head of the M&E unit shall **report directly** to DDR Head of Component. A direct reporting line is paramount for M&E staff to provide DDR managers with accurate and frank information on progress and challenges, and to avoid a conflict of interest.

41. A DDR M&E unit should consist of at least **four staff**: a **unit head** (preferably an internationally recruited expert to provide safeguards against potential bias) and **three M&E officers** (preferably nationally recruited, due to their local knowledge, and to encourage skills development locally in M&E). For large DDR programmes, the M&E unit should be staffed with three international staff⁹ and six (preferably nationally recruited) M&E officers.

42. To enhance efficiency and increase the chances for sustainable DDR, planners may consider a **combination of permanent DDR M&E staff with external, part-time M&E expertise**. This may be done through a retainer agreement with external consultancy firms or individuals which can be called upon at any time.

43. To ensure that the DDR programme has sufficient capacities to carry out M&E activities, the DDR planning document shall contain **separate budget line(s)** for M&E activities and M&E staff.¹⁰

44. Typically, the costs for M&E staff and for carrying out the activities in a DDR M&E plan depends on **three factors**: a) the number and level of dedicated M&E staff, b) the number and type of evaluations and studies, c) the number and type of primary data collections, such as sample surveys.

45. An M&E budget of **no less than 3%** of overall DDR budget shall be allocated. Depending on the DDR operation and other local factors, the budget for M&E should normally be between 3% and 7% of the overall DDR budget.

46. DDR planners should **include funding provision** in the budget for surveys, evaluations or studies which cannot be foreseen at the time of planning, but where a need for such assessments may arise during the implementation stage.

⁹ The number of international staff should be reduced once nationally recruited M&E staff is able to take over more responsibilities. The head of the M&E unit, however, should remain an international staff to safeguard against potential bias and to ensure frank reporting.

¹⁰ If a DDR programme is planned through an Integrated Missions Planning Process (IMPP), separate budget lines for M&E should be included in the Mission Budget Report.

STEP SEVEN - Summarize it in a DDR Monitoring and Evaluation Plan

47. Based on steps one to six, DDR planners shall draw up a **DDR Monitoring and Evaluation Plan**, which shall be an **integral part of the DDR planning document**.
48. The DDR Monitoring and Evaluation Plan shall include an **appropriate mix** of activities to collect and analyze **quantitative and qualitative information** on DDR. While quantitative information (e.g. '% of ex-combatants who receive reintegration support') is important to objectively track progress and success of DDR, it is often insufficient to capture the complexity and progress towards the expected accomplishment of a DDR programme.

■ **Quantitative information** is usually procured from direct observation, assessment or measurement. Typically, it is less subjective and therefore more credible than qualitative information.

In DDR programmes, quantitative information typically refers to the output level of the result chain (e.g. 'No. of arms destroyed', '% of child soldiers supported').

■ **Qualitative information** typically describes people's opinions, knowledge, attitudes or behaviours. Qualitative tools are more effective in building up understanding on the 'why' and 'how' of aspects, perceptions, relationships and trends in the DDR process.

In DDR programmes, qualitative information is typically collected through studies, evaluations, reviews, field visits, focus groups, and the monitoring of implementing partners. Qualitative information can be text-based or - when collated - expressed as a number ('% of female members of armed groups who say that their economic situation has improved after demobilization').

49. If a DDR programme is planned through an **Integrated Missions Planning Process (IMPP)**, the DDR Monitoring and Evaluation Plan shall be part of the integrated Mission plan.
50. The DDR M&E Plan in the DDR planning document shall not exceed 2 pages and shall consist of **three components**:¹¹

■ The **narrative component** shall describe how the DDR Programme is to be monitored and evaluated. It shall address as a minimum, but not be limited to, all the issues (steps 1 to 6) discussed above. It shall specify who will take what action, and when. It should also outline how the DDR programme will engage with national partners to strengthen their M&E capacities. The narrative component shall describe how information on DDR progress and success is to be obtained, through a careful mix of quantitative and qualitative methods.

■ The **indicator framework** shall summarize the performance and process indicators, their baselines and their targets, the portfolio of evidence, and the frequency of data updates. The indicator framework shall take the form of a table as described in step four.

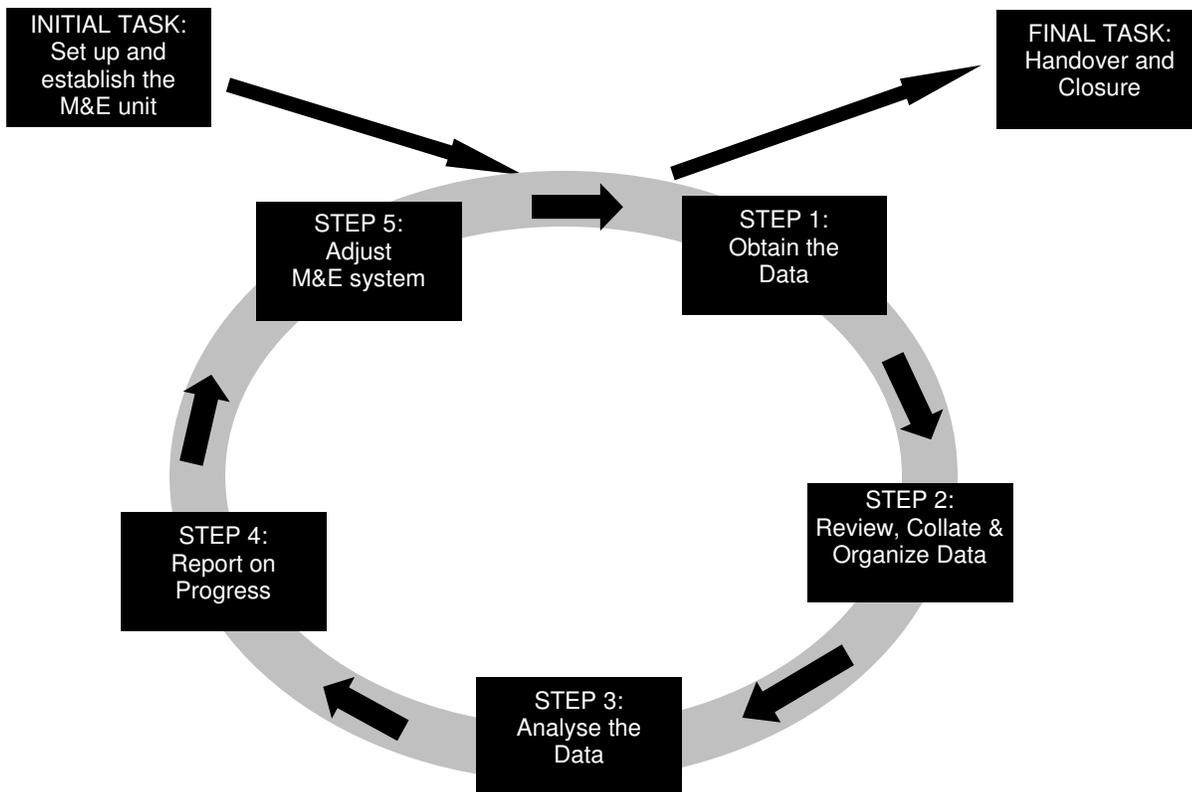
■ The **surveys, studies and evaluations plan** within the M&E Plan shall specify the name, focus, type, timing and cost for each planned activity. It shall take the form of a table as

¹¹ For an simplified example of a DDR M&E plan see annex 3

described in step five. The DPKO DDR programme manager shall assure its quality and approve the plan.

Steps to be Taken During Implementation

50. During the implementation of a DDR programme, monitoring and evaluation entails a **cyclical process** of seeking, obtaining, collating, organizing, analysing, interpreting, packaging and distributing data and information throughout the duration of the DDR programme period.
51. DDR M&E staff shall have overall responsibility for managing or carrying out all M&E activities planned in the **DDR Monitoring & Evaluation Plan**, including the DDR surveys, studies and evaluations plan.
52. In addition, M&E staff shall carry out **additional M&E activities**, obtain and store data and information in a **DDR Information System**, **analyze** the information, **report** on it and **adjust** the M&E system.
53. Running the Monitoring and Evaluation System for a DDR programme is a continuous process, in many aspects a cyclical one (of observe, assess, advise, adjust, observe, assess, advise, adjust), and for simplicity's sake can be broken down to an **initial task**, **five reiterating steps**, and a **final task**:



54. As a minimum, DDR M&E staff shall carry out steps 1 to 5 at least **quarterly**. This allows DDR M&E staff to provide updated information on quarterly reports. It also ensures that sufficient updated information and analysis is available for the Mission's annual performance report.

55. Throughout the DDR programme implementation, the DDR M&E unit shall provide **training** in basic M&E to programme staff and partners.
56. The **DDR Section** in the Office of the Rule of Law and Security Institutions of DPKO shall provide technical backstopping to the DDR M&E staff throughout the DDR programme cycle and serve as a central repository for all information related to monitoring and evaluating of DDR.
57. While the **management of risks** to the DDR programme is not part of monitoring and evaluation, the DDR M&E section shall provide information on changes in risks and assumptions to the Risk Management Officer or focal point of the Mission.¹²

INITIAL TASK – Set up and establish the M&E unit

58. At the beginning of DDR implementation, DDR management should **set up and establish an M&E unit**, based on the budget and the DDR M&E plan included in the DDR planning documents.
59. Most DDR programmes routinely use one or more databases when processing the disarmament and demobilization of combatants.¹³ DDR programmes may use DREAM¹⁴ or a purpose-made database to meet the needs of the DDR programme. When **selecting a database system**, attention should be given to its M&E capability. DDR managers and M&E staff shall ensure that the database contains a **reporting module** which is capable of producing continuous, meaningful reports.¹⁵
60. To systematically plan its activities during implementation, DDR M&E staff shall draft a **rolling two-year work plan**. The work plan shall include details about planned activities on a monthly basis for the first twelve-month period, and tentative activities for the subsequent twelve months. The work plan shall be based on the DDR Monitoring and Evaluation Plan drafted during the planning phase. DDR M&E staff shall update the work plan at least quarterly or when required by changed circumstances.

STEP 1 - Obtain Information and Data

61. Information is key to the M&E process, and there are two sources. **Existing data** is the information already available, ready for collection. Being readily available, it will be less expensive or even free to procure, but may be less relevant.
62. **New data** is the information actively obtained by DDR M&E staff or jointly with partners. New data collected for the DDR process is specifically tailored to the needs of the programme, but it will likely incur costs (time and/or funds) to procure.
63. Before investing significant funds in data collection, DDR M&E staff should **assess the use and quality** of the full range of data and information **already available**.

OBTAIN EXISTING DATA

¹² For details on risk management see the DPKO/DFS Policy and Guidelines on Risk Management

¹³ The database typically includes socio-economic information on the ex-combatants, their disarmament process and the weapons, the demobilization package and the reintegration support provided.

¹⁴ The DREAM database (Disarmament, Demobilization, Reintegration and SALW Control) database is a generic DDR software provided by UNDP.

¹⁵ If this is not done at the design stage, the reporting shall be customized once the database is already functional.

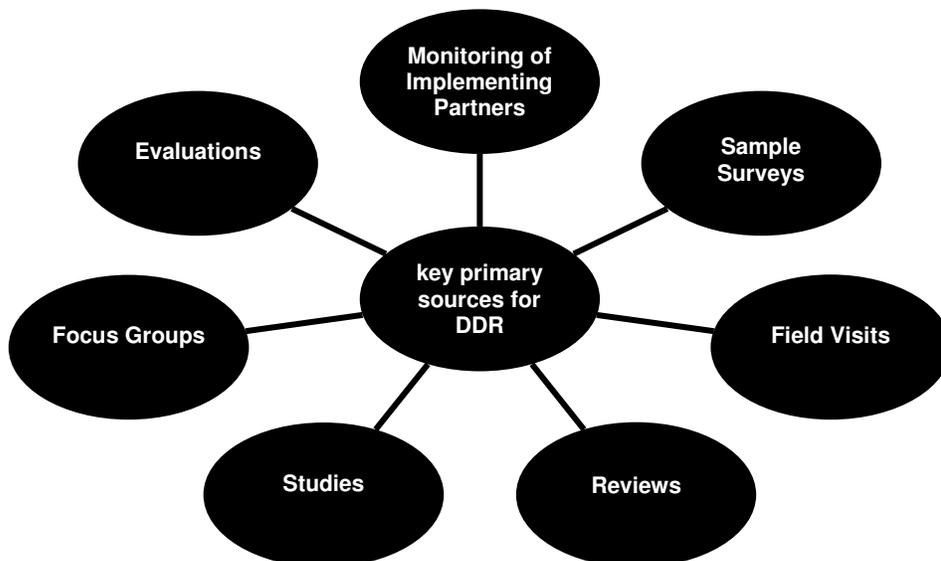
64. DDR M&E staff shall systematically and completely obtain existing ('secondary') data from a wide range of sources:
- DDR M&E staff shall obtain secondary data from the **reporting module of the DDR database** at least on a quarterly basis.¹⁶ In collated form, the DDR database typically provides ample data for a range of indicators at the output level.
 - M&E staff shall obtain, organize and store data and information produced by **implementing partners**. This may include detailed data on their operations, studies and surveys conducted by implementing partners, and reports over and above those contractually required of them by the DDR programme.
 - M&E staff shall make full use of the information, including performance data, readily available from colleagues within the DDR office. Typically, **operational data** can be obtained from DDR Human Resource staff, Finance staff, Public Information staff and Programme staff who work directly with implementing partners.
 - Further, M&E staff shall seek to obtain relevant data and information from **outside the DDR programme**. Useful sources will include studies, surveys, articles, statistics, or indices published by other UN agencies, the government, by other national or international development or humanitarian organizations, by universities, research organizations, and national and international media. M&E staff shall seek not only text information, but also relevant visual information (pictures, maps and videos).
 - If the DDR programme is implemented through an **Integrated Mission**, M&E staff shall ensure to cooperate and coordinate, to obtain and make full use of data collections carried out by the UN Country Team, UN agencies and other partners.

ACQUIRE NEW DATA

65. In the volatile environment typically encountered in DDR, relevant or reliable data is often not readily available. To acquire new ('primary') data, DDR M&E staff shall **carry out or manage a mix of data collection activities** as suited to the specific DDR programme. This mix may include a) monitoring of implementing partners, b) sample surveys, c) field visits, d) programme reviews, e) studies, f) focus groups and g) evaluations. Each element of this mix is discussed in more detail over the following pages.

M&E activities suitable for collecting primary data on DDR

¹⁶ If the need arises for new information based on raw data in the DDR database, DDR M&E staff shall work closely with the technical staff responsible for operating the database to make the changes needed in the reporting module.



66. If the DDR programme is implemented through an **Integrated Mission**, DDR M&E staff shall – to the extent possible – collect new data jointly or in close collaboration with the UNCT or UN agencies.

Monitor the Implementing Partners

67. Typically, social and economic reintegration support to ex-combatants is provided through partner organizations. **Implementing partners** are normally local or international NGOs, bilateral or multilateral organizations, the private sector or community organizations.
68. As part of overall DDR monitoring, DDR M&E staff shall closely **track the work** of implementing partners primarily based on their reporting and field visits. As a minimum, the DDR M&E staff shall monitor compliance of implementing partners making sure their **contractual reporting obligations** are on time and of good quality.
69. To keep track of submission compliance, DDR M&E staff should use a **spreadsheet** with at least the following fields:
- date the implementation report is due
 - status of the report (not due, received, delayed)
 - date the report is received, delay in days
 - hyperlink to the report stored on the DDR Information System (see step two)
70. DDR M&E staff shall **aggregate** data from tracking reports of implementing partners to obtain an overall picture of progress. Aggregated data may also be used to calculate key output indicators and to track their overall reporting compliance over time. The following indicators may be used for that purpose:
- % of reports from implementing partners received on time (before the deadline stipulated in the contractual agreements)
 - % of reports delayed (disaggregated by regions and implementing partners)

■ average no. of days that reports are delayed

71. In addition to tracking reporting compliance, the DDR programme shall, on a regular basis (minimum quarterly), **analyze and summarize** the information and findings from implementing partners. Using a qualitative approach, the DDR unit shall identify frequent or serious concerns or challenges, collect lessons learned and look for opportunities where the experience and expertise of an implementing partner can help another partner.

Manage or Conduct Sample Surveys

72. Due to the need for rapid information in a fast-changing environment, DDR programmes should make extensive use of **rapid, small-scale sample surveys with random sampling**. Typically, these surveys will operate on random sampling (also called ‘probability sampling’), and will entail asking a few key questions to a small random sample of target respondents, e.g. ex-combatants, their dependents or community leaders. Such small-scale surveys are significantly more cost-effective than large-scale, technically complex and time-consuming surveys that may be more appropriate for academic research or special studies.¹⁷
73. If random sampling is impractical, DDR programmes may rely instead on small-scale surveys (also called ‘mini-surveys’) based on **non-random sampling** (also called ‘purposive sampling’) to produce relevant numeric data.
74. The socioeconomic information entered in the **DDR database** should provide the information required in the identification of random and non-random samples for surveys.
75. Since DDR programmes may not have the technical expertise and experience to design a credible sample survey and to calculate the sample size, **external survey specialists** should be hired to advise on the design of the survey during the planning stage of sample surveys.
76. Ideally, DDR field staff or other individuals linked to the DDR programme should not **collect survey data** themselves.¹⁸ However, using outside staff for data collection might not be feasible due to limited national capacity or security concerns. In these cases, DDR programmes may make use of DDR programme or M&E staff as long as they do not collect data from individuals they previously had contact with or in geographic areas they previously worked in.

Conduct Field Visits

77. Field visits serve to **validate reported progress and results** through **observation and interviews**. DDR staff and partners shall conduct frequent visits to observe DDR implementation, to meet with implementation partners at their work site, and to interview and observe communities involved in reintegration and regional DDR offices.
78. DDR staff should conduct **routine field visits** (conducted systematically based on a planned schedule) and **ad-hoc field visits** (conducted to investigate a specific problem or a conflict).

¹⁷ DDR programmes may consider three instruments for sample surveys: i) interviews, ii) structured record reviews, and iii) structured observations. A fourth instrument for sample surveys, self-administered questionnaires, should not be used, as bias may arise if any ex-combatants are illiterate.

¹⁸ Enumerators should have no vested interest in the results of a sample survey, since this might compromise its credibility. In some cases, DDR programmes might be able to outsource sample surveys to local private companies, NGOs or research institutions with experience in sample surveys

79. **Overall coordination** for field visits shall be the responsibility of the DDR M&E staff. It is usually more effective to have a team of two or three people conducting a field visit. Joint field visits that include government and donor representatives are especially useful, since they can capture different perspectives of DDR stakeholders.
80. The results of a field visit shall be documented in **After Action Reviews**¹⁹ and shared with relevant DDR management, staff and other stakeholders.

Conduct Reviews

81. Reviews are **internal, informal assessments** of the implementation and progress of a programme or sub-programme. They are normally conducted by DDR staff, M&E staff or a combination of both.
82. Reviews are conducted to assist programme management in **improving** the DDR programme. DDR programme managers may initiate an ad-hoc review for the following reasons:
- to identify and explore key issues or problems in the DDR programme
 - when lessons learned need to be analyzed to help formulate changes in the DDR programme's plan
 - to ensure the DDR programme is progressing in the intended direction²⁰
83. If the DDR programme is part of an **integrated mission**, reviews should be conducted, jointly by the mission, DPKO, and UNCT and relevant agencies, depending on the requirement.

Conduct or Manage Studies

84. To conduct **studies on specific issues** related to DDR, DDR M&E staff shall follow the steps involved in commissioning an external evaluation (if the study is to be conducted by external specialists) or the steps for conducting an internal evaluation (if the study is to be conducted by DDR or UN staff).²¹
85. A particularly appropriate tool for DDR programmes are **case studies**. M&E staff may use a case study approach to gather comprehensive, in-depth information about a particular case. They are useful for DDR M&E to better understand (i) a particular group (e.g. female ex-combatants, child soldiers, community leaders), (ii) a particular problem related to the DDR process, or (iii) mechanisms at work in a particular aspect of DDR activities (e.g. the processes and challenges involved in reintegrating ex-combatants). Case studies are a valid tool to complement quantitative DDR monitoring or as part of an evaluation or a study.

Conduct or Manage Focus Groups

86. DDR M&E staff may use focus groups to solicit **views, perceptions, experiences, insights and recommendations** of DDR programme participants and communities on the DDR process. A focus group is rapid and low-cost, and is usually moderated by an expert, using carefully structured but open-ended discussions in small groups. Focus group discussions complement quantitative monitoring, and are a valued tool for field visits, internal reviews, studies, or for DDR evaluations.

¹⁹ For details on After Action Reviews see Programme Management Guidelines, DPKO/DFS

²⁰ For details on how to conduct a review see Programme Management Guidelines, DPKO/DFS

²¹ For detailed steps on how to conduct evaluation see DPKO/DFS Programme Management Guidelines

Conduct or Manage Evaluations

87. **Commissioning external evaluations** and **conducting internal evaluations** require fundamentally different approaches. To conduct an internal evaluation, DDR M&E staff need to have the expertise required to yield judgements based on solid evidence. To commission an external evaluation, DDR M&E staff need to properly plan, support and monitor the quality of the evaluation.²²
88. In some cases, DDR planners, management or M&E staff may consider a **mixed evaluation**, where DDR staff or UN staff work together with external evaluators. The advantage of a mixed team is that it combines UN-specific knowledge with an external, objective analysis of progress. The disadvantage of using a mixed team is that objectivity can be reduced, and subsequently credibility may be compromised.

²² For detailed steps on how to conduct an internal evaluation see DPKO/DFS Programme Management Guidelines

STEP 2 – Review, Collate, and Organize Data and Information

89. M&E staff shall review, collate and organize relevant data and information obtained in a **DDR Information System**, and shall track progress in respect of DDR outputs and expected accomplishments, through the use of an '**Indicator Tracking Sheet**'.

MAINTAIN A DDR INFORMATION SYSTEM

90. DDR M&E staff shall **review, organize, collate and store**, as required, all information relevant from different data sources in a DDR Information System regularly, diligently and on an ongoing basis. Given the wealth of material that will accumulate during the course of the programme, it is essential that careful consideration is given as to how and where information is to be filed, who is to have access to it (or to parts of it), and how it is to be accessed.
91. DDR management may consider co-hosting the DDR Information System – or parts of it, if DDR data is sensitive - together with national DDR authorities (for example the National commission for DDR). This approach will enhance ownership and facilitate the hand-over of the DDR M&E system after the programme has closed.
92. The DDR Information System shall serve as a **one-stop shop** for key information on the DDR process and for preparing reports and public relations work, and shall serve as the **institutional memory** of the DDR programme, a key resource for new or temporary personnel in the event of staff absence or turnover.
93. The DDR Information System shall be responsive, reliable, accountable and accessible. M&E staff shall determine the most appropriate form and format of the Information System, taking into account the location, number and computer-competency of those expected to access the system, as well as security and back-up concerns. Amongst options to be considered are a common **computer directory**, a simple **intranet** (for limited access) and/or an **internet website** (for public access).
94. All M&E related data and information shall also be stored and available in a **hard-copy filing system** for easy reference and as a back-up for the electronic system.

UPDATE INDICATOR TRACKING SHEET

95. The **Indicator Tracking Sheet** is an effective means by which progress with respect to planned outputs and expected accomplishments can be recorded and monitored. In essence, it is nothing more than a list of all planned outputs and expected accomplishments, the indicators being used to indicate progress, the (pre-programme) baseline status, the (end-of-programme) target, and, to be updated regularly, the current status against each of these indicators.
96. The Indicator Tracking Sheet for DDR shall contain the information defined in the **indicator framework** at the planning stage: outputs and expected accomplishment, the indicators for each output and for each expected accomplishment, and the baseline and target for each indicator. To track progress on indicators over time, the Indicator Tracking Sheet shall include – as a minimum - **columns for every quarter** of the DDR programme cycle. If more frequent entries are required, the Indicator Tracking Sheet may include columns for every month of the duration of the DDR programme.

- 97. DDR M&E staff shall update the Indicator Tracking Sheet at least **quarterly**. If DDR management requires more frequent updates, DDR M&E staff may update the sheet every month.²³
- 98. Because indicators should only capture the most relevant perspectives on DDR, M&E staff should keep the indicators tracking sheet simple. A standard **text-processing** or **spreadsheet software** is usually sufficient to design and update the Indicator Tracking Sheet.
- 99. The Indicator Tracking Sheet shall have the following **format**:

Template for DDR Indicator Tracking Sheet²⁴

DDR results chain	Indicators	Baseline (month/year)	1st Quarter 1st year	2nd Quarter 1st year	3rd Quarter 1st year	etc.	Target (month/year)
Expected accomplishment 1							
Output 1.1							
Output 1.2							
Process indicators							

STEP 3 – Analyze data and information

- 100. DDR M&E staff shall analyze and interpret existing data on DDR **systematically** and on a **regular basis**. To do this, M&E staff shall draw on data and information collected in the **DDR Information System** and in the **Indicator Tracking Sheet**.
- 101. For a credible analysis of DDR monitoring data, DDR M&E staff shall carry out a **combination of quantitative and qualitative analyses**²⁵. The two approaches are complementary and provide a more credible interpretation of information on progress and success of DDR.
- 102. Where possible, DDR M&E staff should use **triangulation** to enhance the credibility and accuracy of data analysis. Triangulation reduces bias that can arise from relying on a single source or type of information, a major risk in volatile and complex environments typical for DDR. For example, DDR M&E staff can use information from focus groups and anecdotal findings from field visits to verify data from a satisfaction survey of ex-combatants.
- 103. Where possible, DDR M&E staff should **engage relevant staff or stakeholders** in the process of analysis. This has the advantage of enhancing the sense of ownership for the findings that

²³ To update indicators more often may be inefficient, as changes within a typical month are likely to be trivial. To update indicators less frequently may result in outdated information being used in the making of key decisions, a constant risk in the volatile and fast-changing environments faced by many DDR programmes.

²⁴ Find an example of a DDR Indicator Tracking Sheet in Annex 2

²⁵ Quantitative data analysis is objective and robust, and requires a sound understanding of statistical methods. Qualitative data analysis is based on subjective, rich and in-depth information, typically including the interpretation of narrative reports, field visit reports, focal groups, case studies, anecdotal evidence, etc.

emerge from the analysis, and may also serve to enhance the capacities of non-M&E staff in the processes involved in M&E.

STEP 4 - Report on progress

104. DDR M&E staff shall report their summary findings from data collection and analysis **systematically** and **frequently**.
105. M&E staff should get the **right information to the right user in time**. For effective reporting on progress, M&E staff shall take into consideration the information needs of each target group, and in what form they require the information. Reports based on M&E shall be tailored in length, presentation, frequency, etc. to the information needs of its users.
106. DDR M&E staff shall produce a **quarterly progress report** for the head of the DDR component.
107. If the DDR programme is part of an **Integrated Mission**, DDR M&E staff shall also report quarterly to the Integrated Mission Planning Team and the UNCT.
108. DDR M&E staff may also produce, or collaborate in publishing, **additional** reports to support DDR management and staff in improving the performance of the DDR programme.
109. DDR M&E staff shall provide the head of the DDR component with **data and information** for all **mandatory** reports of the DDR programme. For DDR programmes, the following reports are mandatory: reporting on the peacekeeping support account budget, regular budget, voluntary contributions, programme/sub-programme plans, performance assessments against the USG/ASG Compacts at headquarters, and HOM/DHOM compacts in field operations.
110. If the DDR programme has dedicated **staff for reporting**, M&E staff shall provide substantive data and information on progress to the reporting staff and work closely with them.
111. M&E staff shall base the **narrative part** of reports on key DDR indicators tracked through the Indicator Tracking Sheet, interpreting, and making frequent reference to them.
112. DDR M&E and reporting staff shall be careful in reports to distinguish between attribution and contribution. A claim of **attribution** is a claim that progress towards an expected accomplishment of DDR is *caused* by DDR outputs and activities, and shall be supported with solid, credible evidence. To claim **contribution** is to claim nothing more than that DDR outputs or activities were contributory, amongst others, to an observed change with respect to the expected accomplishment.

STEP 5 - Adjust the DDR M&E system and the DDR programme

113. Because the need for information may change over the course of the DDR programme cycle, the **DDR M&E system** and the set of tools used for M&E shall be **adjusted** to accommodate the changing needs of DDR M&E staff, DDR management and DDR stakeholders.
114. DDR M&E staff shall review the effectiveness of the DDR M&E system and make adjustments at least **every six months**. More frequent ad-hoc adjustments may be done if required, for example where field access for monitoring has improved or deteriorated.

115. The DDR Head of Component and DDR managers shall use the information provided through the DDR monitoring and evaluation system as a basis for making decisions on **revising and adjusting the DDR programme**.

FINAL TASK – Closure and Hand Over of the M&E system

116. When a DDR programme is nearing completion and closure, M&E staff shall liaise with DDR management to prepare for **closing and handing over** the M&E system, and to plan for evaluations after programme operations have stopped (**‘ex-post evaluations’**).

CLOSING THE M&E SYSTEM

117. Twelve months before the anticipated closing of a DDR programme, DDR M&E staff should plan for a **final evaluation**. The final DDR evaluation should take place in the **last half year** of full operations.
118. Second, DDR M&E staff shall **plan** for an orderly and systematic closing of the M&E system **six months before** the ceasing of operations, and reflect these activities in the DDR M&E work plans.
119. Third, DDR M&E staff shall ensure that the DDR M&E system is **complete** and all relevant data and information is **updated**.
120. Fourth, during the last six months of DDR operations, M&E staff shall focus on **documenting lessons learned** before and during the implementation of the programme. Lessons learned should be based on the information produced by the DDR M&E system over the course of the programme. In addition, DDR M&E staff may consider conducting ‘End of Assignment Reports’²⁶ with key staff.
121. Fifth, DDR M&E staff shall hand over all documentation of the M&E system to the **Disarmament, Demobilization and Reintegration Section** of the Department of Peacekeeping Operations, which serves as central repository for all DDR M&E data.

HANDING OVER THE M&E SYSTEM

122. If DDR or components of it are to continue in some form under the authority of **national institutions** or as part of subsequent **UN recovery, reintegration or development programmes**, the M&E unit shall hand over relevant and non-confidential data and information to these units.

PLAN FOR EX-POST EVALUATIONS

123. In a typical DDR programme, the **expected accomplishment** will only be achieved *after* the programme has stopped operating. For example, credible judgements about the sustainability of the reintegration of all programme participants can only be made after the reintegration support has stopped.

²⁶ For details on End of Assignment Reports see Programme Management Guidelines, DPKO/DFS

124. In the last six months of operations, the DDR Head of Component shall – with the technical expertise of the M&E unit – plan for **at least one ex-post evaluation**.
125. The DDR Head of Component should, in close coordination with DPKO's DDR Section, determine the **timing** and **funding** for the ex-post evaluation.
126. Ex-post evaluations should focus on the success and sustainability of the **reintegration** aspect of DDR, be **external** and carried out **between 12 and 24 months after** the DDR programme has stopped operating.

E. TERMS AND DEFINITIONS

The following Monitoring and Evaluation terms and definitions are referred to in these guidelines. The terms are, whenever available, in line with the DPKO/DFS Guidelines on Programme Management and the official terms and definitions of the Secretariat, DPKO and DFS (indicated by an asterisk (*)).

Accountability*: Accountability is the process whereby public service organizations and individuals within them are held responsible for their decisions and actions, through a clearly specified and enforced system of rewards and sanction.²⁷

Activity*: Action taken to transform inputs into outputs.²⁸

Attribution: A claim that progress towards an expected accomplishment of DDR is caused by DDR outputs.

Baseline*: Data that describe the situation to be addressed by a programme, sub-programme, or project and that serve as the starting point for measuring performance.²⁹

Baseline study: An analysis describing the situation prior to the commencement of the programme or project or the situation following initial commencement of the DDR programme, to determine baselines, and to serve as a basis for future analyses.

Budget*: The collective cost of programme or sub-programme resources needed to perform the specific activities through a defined time cycle.

Contribution: A claim that DDR outputs were contributory, amongst others, to an observed change with respect to the expected accomplishment.

Deliverables*: Products produced by the programme/sub-programme.

Disaggregation: The separation of aggregate data into its component parts.

Effectiveness: The extent to which expected accomplishments are achieved.

Efficiency*: Measure of how well inputs (funds, expertise, time, etc.) are converted to outputs.³⁰

²⁷ Department of Management

²⁸ ST/SGB/2000/8 (PPBME)

²⁹ Ibid

³⁰ Ibid

Evaluation*: A systematic and objective process seeking to determine the relevance, effectiveness, and impact of a programme/sub-programme related to its goals and objectives. Evaluation is often undertaken selectively to answer specific questions to guide decision-makers and/or programme managers, and to provide information on whether underlying theories and assumptions used in programme development were valid, what worked and what did not work and why.³¹

Expected accomplishments*: A desired outcome or result of the DDR programme/sub-programme, involving benefits to end-users. Accomplishments are the direct consequence or effect of the delivery of outputs and lead to the fulfilment of the envisaged objective.³²

External evaluation: An evaluation that is conducted by entities free from control or influence of those responsible for the design and implementation of the DDR programme.

Evaluation-led evaluation*: Evaluation undertaken directly by the DPKO/DFS Evaluation Unit (Policy, Evaluation and Training Division (DPET)).³³

Impact*: An expression of the changes produced in a situation as the result of an activity that has been undertaken.³⁴ Impact is the longer-term or ultimate effect attributable to a programme, sub-programme or project, in contrast to an expected accomplishment and output, which are geared to the timeframe of a plan.³⁵

Implement*: To carry out or put into effect – according to, or by means of – a definite work plan or procedure.

Implementing partner: In the context of DDR, a partner organization which is contracted by the DDR programme to carry out specific reintegration activities.

Indicator*: A measure, preferably numeric, of a variable that provides a reasonably simple and reliable basis for assessing accomplishment, change or performance. It is a unit of information measured over time that can help show changes in a specific condition.³⁶

Indicator baseline: The measurement of an indicator before a DDR programme starts operating, expressed as a single number or word.

Indicator target: The expected measurement of an indicator at the end of a DDR programme, expressed as a single number or word.

Indicator framework: A summary in a single table of the indicators for outputs, for the expected accomplishment and for the overall objectives, along with indicator baselines and targets, the portfolio of evidence, the frequency of data collection and the estimated costs.

Indicator Tracking Sheet: A table which is updated frequently with the current status with respect to each indicator defined in the Indicator Framework.

Input*: Funds, personnel and other resources necessary for producing outputs.³⁷

³¹ Ibid

³² ST/SGB/2000/8 (PPBME)

³³ Policy Directive on DPKO/DFS Headquarters Self-Evaluation

³⁴ ST/SGB/2000/8 Secretary-General's bulletin: Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (PPBME)

³⁵ UN OIOS Glossary of Monitoring and Evaluation Terms

³⁶ Ibid

³⁷ Ibid

Internal evaluation: An internal evaluation is conducted by staff within the DDR programme or by related UN staff. It may be undertaken by the DDR programme or a sub-programme (*programme-led evaluation*), or by the DPKO/DFS evaluation team in the Policy, Evaluation and Training Division or the Office of Internal Oversight Services (*evaluation-led evaluation*).³⁸

Lessons learned*: The knowledge gained from the process of planning and executing a programme/sub-programme. A lessons learned is a generalization derived from evaluation experiences with programmes, sub-programmes or policies that is applicable to a generic situation rather than to a specific circumstance and has the potential to improve future actions.³⁹

Logical framework (Logframe)*: Management tool used to identify strategic elements of a programme or sub-programme (objective, expected accomplishments, indicators of accomplishment, outputs and inputs) and their causal relationships, as well as the assumptions and external factors that may influence success and failure. It facilitates planning, implementation, monitoring and evaluation of a programme or sub-programme.⁴⁰

Mission concept*: Provides political and operational direction, timelines and lead/supporting roles for priority activities to achieve the mission's mandate as provided by the Security Council, including the mission's priority tasks and related organizational and deployment structure.⁴¹

Monitoring*: An assessment by programme managers, team members, M&E staff and audit bodies, of the progress in achieving the expected accomplishments and delivering the final outputs in comparison with the commitments set out in the programme/sub-programme budget as approved by the General Assembly. It provides assurance that the implementation of a programme/sub-programme is proceeding as planned.⁴²

Monitoring and evaluation*: The combination of monitoring and evaluation together provide the knowledge required for effective programme management as well as for reporting and accountability responsibilities.⁴³

Objective*: An objective refers to an overall desired achievement involving a process of change that is aimed at meeting certain needs of identified end-users within a given period of time.⁴⁴ A good objective supports the accomplishment of a goal and meets the criteria of being impact-oriented, measurable, time-limited, specific and practical.

Outcome*: In the United Nations Secretariat, "outcome" is used as a synonym of an accomplishment or a result.⁴⁵

Output*: The final product or deliverables by a programme/sub-programme to stakeholders, which an activity is expected to produce in order to achieve its objectives. Outputs may include reports, publications, training, meetings, security services, etc.⁴⁶

Output indicator: An indicator which tracks the extent to which a planned DDR output has been delivered.

³⁸ Programme Management Guidelines, DPKO/DFS

³⁹ UN OIOS Glossary of Monitoring and Evaluation Terms

⁴⁰ Ibid

⁴¹ IMPP Guidelines: Role of the Headquarters Integrated Planning for UN Field Presences

⁴² Ibid

⁴³ Ibid

⁴⁴ ST/SGB/2000/8 (PPBME)

⁴⁵ UN OIOS Glossary of Monitoring and Evaluation Terms

⁴⁶ ST/SGB/2000/8

Peacekeeping support account budget*: Established to provide a flexible mechanism to fund headquarters capacity to plan, establish and direct field operations.

Performance indicator*: A measure that provides a reliable basis for assessing performance within a programme/sub-programme.

Primary data: Data which is collected by DDR M&E staff, or where the data collection is funded and managed by the DDR M&E staff.

Planning*: The process of developing strategies, objectives and work plans to achieve programme/sub-programme success.

Process indicator: A measure that tracks key aspects of how a DDR programme operates. While a performance indicator tracks outputs and outcomes, a process indicator typically refers to crucial issues of the budget, human resources or public information activities of a DDR programme.

Programme*: A programme consists of the activities undertaken by a department or office together with a coherent set of objectives, expected accomplishments and outputs intended to contribute to one or more organizational goals established by Member States. The programme is guided by the mandates entrusted to a department/office by the General Assembly or the Security Council.⁴⁷

Programme-led evaluation*: Evaluation undertaken by the programme/sub-programme with the support of the DPKO Evaluation Unit in the Policy, Evaluation and Training Division (DPET).⁴⁸

Programme manager*: A programme manager is the official responsible for the formulation and implementation of a programme/sub-programme.⁴⁹

Programme management*: The centralized and coordinated management of a specific programme to achieve its strategic goals, objectives and expected accomplishments.

Programme performance report*: The mandated report of the Secretary-General submitted to the General Assembly biennially reflecting implementation and results for programmes in the Secretariat.⁵⁰

Programme/sub-programme plan*: A detailed document stating objectives, expected accomplishments, activities/outputs, performance indicators, responsibilities, and time frames. It is used as a monitoring and accountability tool to ensure the effective implementation of the programme/sub-programme plan. The plan is designed according to the logical framework.⁵¹

Project*: Planned activity or a set of planned, interrelated activities designed to achieve certain specific objectives within a given budget, organizational structure and specified time period. Within the Secretariat, projects are used in technical cooperation activities.⁵² Individual projects within the programme are managed by project managers. The programme manager is responsible for overseeing overlap among the programme/sub-programme projects.

Qualitative data: Information concerned with people's opinions, knowledge, attitudes or behaviours. Qualitative information can consist of numbers or a text .

⁴⁷ UN OIOS Glossary of Monitoring and Evaluation Terms

⁴⁸ Policy Directive on DPKO/DFS Headquarters Self-Evaluation

⁴⁹ ST/SGB/2000/8 (PPBME)

⁵⁰ UN OIOS Glossary of Monitoring and Evaluation Terms

⁵¹ Ibid

⁵² Ibid

Quantitative data: Information measured or measurable by, or concerned with, quantity. Quantitative data typically consists of numbers.

Result*: The measurable accomplishment/outcome (intended or unintended, positive or negative) of a programme/sub-programme. In the Secretariat practice, “result” is synonymous with accomplishment and outcome.⁵³

Results chain: A logically connected hierarchy of expected results from a DDR programme. In a DDR results chain, a set of activities leads to the delivery of an output. A set of outputs should cause the expected accomplishment for DDR. The expected accomplishment contributes, among other achievements, to the overall objective of a peacekeeping mission.

Results-based budgeting*: A programme budget process in which: (a) programme formulation revolves around a set of predefined objectives and expected results; (b) expected results would justify resource requirements which are derived from and linked to the outputs required to achieve such results; and, (c) actual performance in achieving results is measured by objective performance indicators.⁵⁴

Results-based management*: A management strategy by which the Secretariat ensures that its processes, outputs and services contribute to the achievement of clearly stated expected accomplishments and objectives. It is focused on achieving results and improving performance, integrating lessons learned into management decisions and monitoring of and reporting on performance.⁵⁵

Sample: A sub-set of a larger population deemed large enough to provide a meaningful representation of the whole population.

Sample survey: a survey carried out on a sample (subset) of a population. The sample should be large enough to ensure that findings from the sample survey will almost certainly match those that would have been obtained if the whole population had been surveyed.

Secondary data: Data which is not collected by DDR M&E staff, and which is readily available.

Self-evaluation*: Self-evaluation is an integral part of the management process and is undertaken by managers primarily for their own use. The programme manager applies the findings from the self-evaluation to make necessary adjustments to implementation of the programme/sub-programme, or they are fed back into the planning and programming process as proposed changes in the design and/or orientation of the programme/sub-programme.⁵⁶

SMART*: An acronym often used when creating programme and sub-programme planning elements. It stands for specific, measurable, achievable, realistic and time-bound⁵⁷.

⁵³ UN OIOS Glossary of Monitoring and Evaluation Terms

⁵⁴ Results-Based Budgeting, Secretary General's Report (A/53/500)

⁵⁵ UN OIOS Glossary of Monitoring and Evaluation Terms

⁵⁶ ST/SGB/2000/8 (PPBME)

⁵⁷ Specific: planning elements that are related to the mandate; Measurable: quantifiable planning elements that are easily monitored and evaluated for programme/sub-programme success and progress, making it easier to report to stakeholders on progress; Achievable: indicated by planning elements that can happen in the specific period; Realistic: although being ambitious in creating programme/sub-programme goals and objectives is encouraged, managers must ensure that planning elements remain both realistic and achievable, Time-bound: managers must ensure that the objectives they have created are achievable within the necessary time frame

Stakeholder*: An agency, organization, group or individual interested in a programme/sub-programme's end results. Not all stakeholders are involved in completing the actual work of a programme/sub-programme. Common stakeholders include Member States, DPKO/DFS operations, host countries, UN system partners, regional organizations and other external partners.⁵⁸

Survey: A system for collecting information from or about people, to describe, compare, or explain their knowledge, attitudes, and behaviour.

⁵⁸ Ibid

F. REFERENCES

Normative or superior references

- Guidelines - Programme Management, DPKO/DFS [draft version: to be finalized in 2010]
- Guidelines - Integrated Planning for UN Field Presence, Role of the Headquarters, DPKO, May 2009
- Integrated Disarmament, Demobilization and Reintegration Standards IDDRS, UN 2006
- Integrated Missions Planning Process – Guidelines Endorsed by the Secretary-General in 2006, UN, 2006
- Norms and Standards for Evaluation in the UN System, UNEG, 2005
- Policy - Programme Management Policy, DPKO/DFS [draft version: to be finalized in 2010]
- Policy Directive – DPKO/DFS Mission Evaluation Policy, DPKO/DFS 2008
- Secretary-General's bulletin, Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (PPBME) (ST/SGB/2000)

Related procedures or guidelines

- Fragile States and Peacebuilding Programs – Practical Tools for Improving Performance and Results, Social Impact, 2009
- Glossary of Monitoring and Evaluation Terms, UN OIOS, Monitoring, Evaluation and Consulting Division
- How to Guide: Monitoring and Evaluation for Disarmament, Demobilization and Reintegration (DDR) Programmes, BCPR, UNDP, 2009
- Monitoring Peace Consolidation: UN Practitioners Guide to Benchmarking, Peacebuilding Support Office, forthcoming
- Operational Guide to the Integrated Disarmament, Demobilization and Reintegration Standards, UN 2006
- Thematic Evaluation of DDR in peacekeeping operations, OIOS, 2009

G. MONITORING AND COMPLIANCE

All DPKO staff must comply with this SOP. DPKO programme managers at headquarters will monitor this SOP to ensure consistency and compliance.

I. CONTACT

The Disarmament, Demobilization and Reintegration Section of the Office of the Rule of Law and Security Institutions should be contacted for information about this SOP.

J. HISTORY

This is a new SOP and has not been amended

APPROVAL SIGNATURE:

DATE OF APPROVAL:

A. L. [Signature]
13 May 2010

ANNEX 1: EXAMPLE OF A DDR INDICATOR FRAMEWORK*

DDR results chain	Indicators	Baseline (month/year)	Target (month/year)	Portfolio of Evidence	Frequency of data collection
Expected accomplishment					
Former members of and women associated with armed forces and groups are socially integrated in their communities and economically active	% of ex-combatants who entered a reintegration programme and formally finish it	n/a**	80% (12/2014)	Quarterly reports of Implementing Partners	quarterly
	% of ex-combatants who are very satisfied or satisfied with the support received for reintegration	pending first survey	70% (12/2014)	Satisfaction survey	annually
	% of women associated with armed forces who are very satisfied or satisfied with the support received	pending first survey	80% (12/2014)	Satisfaction survey	annually
	% of all ex-combatants who are economically active at least 6 months after DDR reintegration support	pending first survey	65% (12/2014)	Reintegration survey	every 2 years
	% of communities who think that demobilized combatants are well integrated in the community	pending first survey	80% (12/2014)	Reintegration survey	every 2 years
Output 1:					
40,000 combatants of armed forces and groups are demobilized and disarmed	No. of combatants disarmed	0 (01/2011)	40,000 (12/2014)	DREAM database	monthly
	% of disarmed combatants who are children	n/a***	n/a*** (12/2014)	DREAM database	monthly
	% of targeted units declared non-compliant	0% (01/2011)	3% (12/2014)	Quarterly reports of Nat. DDR Commission	quarterly
	No. of small arms collected	0 (01/2011)	25,000 (12/2013)	DREAM database	monthly
	% of collected small arms which are destroyed	n/a	100% (12/2014)	DREAM database	monthly
	% of disarmed ex-combatants who are provided with a demobilization package	n/a	95% (12/2014)	DREAM database, reintegration module	monthly
Output 2:					
35,000 ex-combatants and 3,000 women associated with armed forces are provided with reintegration support	No. of ex-combatants formally entering a reintegration programme	0 (01/2011)	35,000 (12/2014)	Monthly reports of Implementing Partners	monthly
	% of demobilized ex-combatants who have not started a reintegration programme	n/a	10.5% (12/2014)	DREAM database	quarterly
	Average no. of days between formal demobilization and start of reintegration programme by quarter	n/a	14 (12/2014)	DREAM database	quarterly
	% of ex-combatant who joined but drop out of a reintegration programme	n/a	5% (12/2014)	Monthly reports of Implementing Partners	quarterly
	No. of women associated with armed forces who are provided with reintegration support	0 (01/2011)	3,000 (12/2014)	Monthly reports of Implementing Partners	monthly
Process indicators:					
DDR Budget	% of quarterly administrative overhead costs compared to quarterly expenditure	n/a	5% (12/2014)	DDR accounting system	quarterly
	% of funds mobilized which are spent	2%	100% (12/2014)	DDR financial reports	quarterly
DDR Human resources	Ratio of international to national DDR staff	1:5 (01/2011)	1:20 (12/2014)	DDR HR records	quarterly
	% of DDR positions which are vacant	n/a	2% 12/2014)	DDR HR records	quarterly

* simplified for illustrative purposes; a full DDR indicator framework would typically include more outputs and/or more detailed indicators.

** If DDR operations have not yet started, the baseline for some indicators can not be calculated yet.

*** In this case, neither baseline nor target is useful. It is, however, important to track the indicator during the programme cycle.

ANNEX 2: EXAMPLE OF A DDR INDICATOR TRACKING SHEET*

These columns to be filled, in turn, according to data and reports received each quarter

Indicators	Baseline (month/year)	1 st Q. 2011	2 nd Q. 2011	3 rd Q. 2011	4 th Q. 2011	etc.	Target (month/year)	Frequency of collection
Expected accomplishment: Former members of and women associated with armed forces and groups are socially integrated in their communities and economically active								
% of ex-combatants who entered a reintegration programme and formally finish it	n/a	n/a	70%	70%	70%		80% (12/2014)	quarterly
% of ex-combatants who are very satisfied or satisfied with the support received for reintegration	pending first survey	pending first survey	pending first survey	45%	45%		70% (12/2014)	annually
% of women associated with armed forces who are very satisfied or satisfied with the support received	pending first survey	pending first survey	pending first survey	65%	65%		80% (12/2014)	annually
% of all ex-combatants who are economically active at least 6 months after DDR reintegration support stops	pending first survey	pending first survey	pending first survey	pending first survey	40%		65% (12/2014)	every 2 years
% of communities who think that demobilized combatants are well integrated in the community	pending first survey	pending first survey	pending first survey	pending first survey	65%		80% (12/2014)	every 2 years
Output 1: 40,000 combatants of armed forces and groups are demobilized and disarmed								
No. of combatants disarmed (cumulative total)	0 (01/2011)	200	400	1000	1200		40,000 (12/2014)	monthly
% of disarmed combatants who are children	n/a	5%	7%	12%	10%		n/a (12/2014)	monthly
% of targeted units declared non-compliant	0% (2011)	0%	0%	0%	2%		3% (2014)	quarterly
No. of small arms collected	0 (01/2011)	90	190	300	600		25,000 (12/2013)	monthly
Output 2: 35,000 ex-combatants and 3,000 women associated with armed forces are provided with reintegration support								
% of collected small arms which are destroyed	n/a	0%	50%	70%	65%		100% (12/2014)	monthly
% of disarmed ex-combatants who are provided with a demobilization package	n/a	0%	90%	70%	65%		95% (12/2014)	monthly
No. of ex-combatants formally entering a reintegration programme (cumulative total)	0 (01/2011)	0	250	700	750		35,000 (12/2014)	monthly
% of demobilized ex-combatants who do not enter a reintegration programme	n/a	n/a	20%	20%	20%		10% (12/2014)	quarterly
Average no. of days between formal demobilization and start of reintegration programme by quarter	n/a	n/a	14	10	16		14 (12/2014)	monthly
% of ex-combatant who joined but drop out of a reintegration programme	n/a	20%	15%	15%	10%		5% (12/2014)	monthly
No. of women associated with armed forces who are provided with reintegration support (cumulative total)	0 (01/2011)	12	50	110	150		3,000 (12/2014)	monthly
Process Indicators								
% of quarterly administrative overhead costs compared too quarterly expenditure	n/a	10%	10%	10%	7%		5% (12/2014)	quarterly
% of funds mobilized which are spent	0%	2%	7%	10%	4%		100% (12/2014)	monthly
Ratio of international to national DDR staff	1:5 (01/2011)	1:5	1:5	1:5	1:7		1:20 (12/2014)	quarterly
% of DDR positions which are vacant	n/a	25%	25%	25%	15%		2% (12/2014)	quarterly

* simplified for illustrative purposes;

ANNEX 3: EXAMPLE OF A DDR M&E PLAN*

DDR Monitoring and Evaluation

- The **DDR Head of Component** will be overall responsible for monitoring and evaluations.
- The **DDR Unit** with five professional staff will be carrying out day-to-day monitoring and oversee and manage the sample surveys, studies and evaluations. Initially, three internationally recruited M&E specialists will be hired. The head of the DDR unit will report directly to the DDR Head of Component.
- The DDR Unit will work in close collaboration with the **National DDR commission** and build their capacities in monitoring and evaluation.
- All M&E activities will be **funded** through the DDR budget lines on M&E. Total costs for M&E over the programme lifespan are estimated to be 760,000 USD.
- The programme will use a combination of **quantitative and qualitative tools** to track progress and success of DDR.

Quantitative tools:

- **Ex-combatant data base DREAM:** The DDR M&E unit will obtain and analyze data from DREAM on a monthly basis.
- **Survey on satisfaction:** The DDR programme will track the satisfaction of ex-combatants with the reintegration package on an annual basis through a representative sample survey.
- **Sample surveys on reintegration:** In addition, the programme will assess the medium-term success of the reintegration of DDR participants in their communities in year 2 and year 4 of the programme.

Qualitative tools:

- **Mid-term and final evaluation:** The programme will commission an external, independent mid-term evaluation at the beginning of year 3 and a final evaluation in year 5 of the programme.
- **Internal evaluations:** The DDR programme will internally assess the efficiency of DDR implementation and identify bottlenecks at the end of year 1 of the programme. In addition, an internal evaluation in year four will assess the effectiveness of the work of implementing partners.
- **Study on special groups:** The programme will assess the extent special reintegration packages for children and members of special groups have been effective in year 2, and use the findings to adjust the reintegration support.
- **Field visits:** The M&E unit will carry out routine field visits to implementing partners at least on a monthly basis.

Indicator Framework

- The key tool to aggregate and track progress towards the expected accomplishment and the two outputs of the programme will be the **Indicator Tracking Sheet**, using the indicators defined at the planning stage.

Table: DDR Indicator Framework (see Annex 1)

Surveys, Studies and Evaluation Plan

	Focus	Type	Timing	Costs
SURVEYS				
Satisfaction survey	<ul style="list-style-type: none"> to track the satisfaction of ex-combatants with the reintegration packages 	Sample survey	1 st year, 3 rd quarter, 2 nd year, 4 th quarter	\$25,000 \$25,000
Reintegration survey	<ul style="list-style-type: none"> to assess how well the reintegration of DDR participants has worked so far to assess to what extent communities are supporting reintegration 	Sample survey	2 nd year, 4 th quarter	\$85,000
STUDIES				
Study on reintegration of special groups	<ul style="list-style-type: none"> to assess the extent special reintegration packages for children and members of special groups have been effective so far 	External study	2 nd year, 3 rd quarter	\$35,000
EVALUATION				
Internal evaluation on efficiency	<ul style="list-style-type: none"> to assess if the DDR programme has delivered outputs timely and as planned so far to identify what the key bottlenecks in the DDR implementation are 	Internal evaluation by DDR M&E unit	1 st year, 4 th quarter	\$2,500
Mid-term evaluation	<ul style="list-style-type: none"> to evaluate to what extent the DDR programme has so far progressed towards its planned accomplishment to identify what should be changed to increase the likelihood to achieve the planned accomplishment 	mixed (external & internal)	3 rd year, 2 nd quarter	\$65,000
Internal evaluation on effectiveness	<ul style="list-style-type: none"> to assess the effectiveness of the reintegration support provided by implementation partners 	Internal evaluation by DDR M&E unit	4 th year, 1 st quarter	\$10,000
... etc.				

* simplified for illustrative purposes

ANNEX 4: EXAMPLE OF A DDR SAMPLE SURVEY

Design

- Since a baseline study had not been conducted and the DDDR program intervention was already in progress, a **non-equivalent control group, post test-only, quasi-experiment** was considered the best available research design.
- The DDR sample survey was primarily designed to determine the **impact of the DDR programme's reintegration training**.
- In addition, the survey aimed at collecting additional **information** about conflict, conflict analysis, reintegration, and reconciliation.

Sampling strategy

- The survey used a **nationwide random sampling** strategy. The survey targeted a sample of **550 of an estimated ex-combatant population of 105,000**.
- Assignment of **experimental groups** was selected randomly from the same clusters of geographic locations. The respondents were segregated into two groups – DDR program participants and non-participants.
- The program participants were further divided into their respective categories of **stage of intervention** (Disarmed and Demobilized only participants, participants who had enrolled but had not completed reintegration training, and those participants who had completed reintegration training).
- This method utilized information that was entered into the DDR **database**.

Implementation

- Implementation of the design was conducted in a blended approach that incorporated a **quantitative interview** employment alongside a **qualitative participatory method** (focus group discussion).
- A randomized sample, drawn from across Liberia in February and March 2006, of 590 adult former fighters submitted to an **interview**. The interviews collected information on socio-economic demographics, the ex-combatant geographic locations during the 14-year civil war and their actions while serving with their former factions during the conflict, and their knowledge of and participation in international intervention programs, and captured their social integration and political expressions.

Key Findings:

- Empirical evidence supports the finding that those former combatants who registered with the national DDR program and completed a course of reintegration training have **reintegrated more successfully** than those ex-combatants who chose not to participate and reintegrate on their own.

based on:

What the Fighters Say: A Survey of Ex-combatants in Liberia, James Pugel, UNDP/African Network for the Prevention and Protection against Child Abuse and Neglect (ANPPCAN), April 2007,
http://www.lr.undp.org/UNDPwhatFightersSayLiberia_Finalv3.pdf