Chapter – 9

GUIDELINES FOR PREPARATION OF THE PERFORMANCE REPORT

● MONITORING PROCESS ● TRIMESTER REPORTS ● ANNUAL REPORTS ● PROJECT COMPLETION REPORT

MONITORING PROCESS

1. The project cycle is one of the bases for Monitoring and Evaluation (M&E) system design and execution. Standard processes, indicators and milestones are set for all stages of the project cycle and M & E is designed and executed to satisfy the project requirement in Competitive Grant System.

2. NARDF uses the log frame, Gantt chart and trimester budget breakdown sheet (technical and financial) as a planning tool to structure projects objectives and identify monitoring indicators. The hierarchy of the objectives which are set under activities, outputs, purpose and goal, equate to levels of results for evaluation.

3. Apart from the internal monitoring of the project by the Project team and collaborators NARDF shall make arrangements to make regular monitoring and evaluation of the running projects by itself, through FMC and TSC members, or through different agencies of MOAD (DOA, DLS, DFTQC, RAD, RLSD, ADOs, DLSOs) or hiring external monitors/evaluators in the following schedule

   - One year Project - at least once after 6 months of project implementation
   - Two year Project- at least three times after every six months
   - Three year Project- at least five times after every six months

   All external monitoring including that by NARDF shall be executed using the Monitoring and evaluation matrix inbuilt in the project.

4. NARDF may arrange the external Monitoring of the projects and needs all the project documents readily made available by implementing organizations/institutions on demand of the M&E team.

5. Monitoring and Reporting the progress of the project is primarily the responsibility of the Project Coordinator and Chairperson. This section provides some useful tools that will help monitor the project progress so that it remains on track.

TRIMESTER REPORT

6. The Trimester Progress Reports [every four months] provide an internal monitoring system. These regular reports record progress that the project has made during the reporting period.

7. The information comes from the Project Coordinator and the rest of the team's assessment of progress towards implementing project activities and achievement of outputs.

8. The Project Gantt Chart provides a useful tool for monitoring a project's progress. The NARDF Office should be informed for any changes to the Gantt chart as this tool is used for monitoring purposes. Changes to the activities should be discussed and approved by NARDF.

REGULAR MEETINGS

9. Regular meetings of the project team, with collaborators are a useful tool for monitoring the progress. Meetings need to be planned well in advance so that team members and collaborators can arrange the time required for their meeting.

10. Meetings of collaborators and partners, once every 4 months are useful for both planning future work and reporting on progress made during the period. This information assists the Project Coordinator in completing reports.

FIELD VISITS/ COLLABORATOR VISITS

11. The Project Coordinator should make visits to the field and to collaborators' sites, where appropriate, to see that activities are as planned.

12. All field and collaborator visits should be documented and included in the project files.

OUTPUT TO PURPOSE REVIEW [OPR]

13. Output to purpose review is to evaluate mid-term progress and performance of the project by visiting the project site approximately half way of the project. During this review, realistic decisions are

made on the achievement of the project outputs and if necessary modification in activities in the projects that are not achieving progress as planned.

14. During the OPR, project Outputs; Purpose and Goal cannot be altered. However, Activities, OVI and important assumptions may be revised if it is deemed necessary and appropriate.

REPORTING

Reporting requirements

15. One of the main responsibilities of the Project Coordinator is to ensure that the project reporting requirements are fully met. Failure to do so may result in delays to the release of funds and the implementation of the project.

16. NARDF requires a number of different Technical Progress and Financial Reports during the life of the project. These are described in detail below. These reporting formats are relatively simple and are primarily designed to allow all stakeholders to assess the progress of the project in terms of fulfilling the targeted outputs.

17. The reporting formats are designed to highlight good/bad, positive/negative points and to highlight any areas that may need changing during implementation. The early reporting of any constraints/problems allows both the NARDF and the project to make appropriate changes. All the NARDF reporting formats are designed to assist project implementation and management.

18. It is important that NARDF reports are completed accurately and submitted on time [report due dates are noted below]; the release of funds depends on satisfactory technical and financial reports.

HOW TO SEND THE REPORTS

19. While reporting it is responsibility and compulsory to sign each of the pages by both the Project Co-ordinator and Head of the organization.

20. Reporting should follow any arrangements that have been made between collaborating organizations in their MOU, and meet the requirements of the organizations concerned. NARDF requires two copies of reports, which should be sent as hard copy The postal address is:

    - Posted to: NARDF Secretariat, NARC Building, Singh Durbar Plaza, Kathmandu.

- Faxed to: NARDF Secretariat 01-4216804
- Email as an attachment to: enquiries@nardf.org.np. A copy of scaned attachment can also be sent to the email address of respective Officers of the M&E Unit of NARDF.

NARDF REPORTING SCHEDULE

21. Project coordinator should submit the Inception Report within one month of project agreement (Annex -6, Form -1).

22. In each trimester two reports are submitted to the NARDF Secretariat, a technical progress report and a financial report covering the previous four-month period. The deadlines for reports to reach the NARDF Secretariat office are given in the agreement document signed between NARDF and the successful applicant, and will depend on the actual start date of the Project. An example of such timetables, for a start date of 1st August, for one, two and three year long projects is given below:

One Year Project [example, 1st August start date]

	Trimester Reports	**Annual Report**	**Completion Report**
Year 1 Trimester 1	1st December		
Year 1 Trimester 2	1st April		
Year 1 Trimester 3	1st August	15th September	15th September

Two Year Project [example, 1st August start date]

	Trimester Reports	**Annual Report**	**Completion Report**
Year 1 Trimester 1	1st December		
Year 1 Trimester 2	1st April		
Year 1 Trimester 3	1st August	15th September	
Year 2 Trimester 1	1st December		
Year 2 Trimester 2	1st April		
Year 2 Trimester 3	1st August		15th September

Three Year Project [example, 1st August start date]

	Trimester Reports	**Annual Report**	**Completion Report**
Year 1 Trimester 1	1st December		
Year 1 Trimester 2	1st April		
Year 1 Trimester 3	1st August	15th September	
Year 2 Trimester 1	1st December		
Year 2 Trimester 2	1st April		
Year 2 Trimester 3	1st August	15th September	
Year 3 Trimester 1	1st December		
Year 3 Trimester 2	1st April		
Year 3 Trimester 3	1st August		15th September

Guidelines on Completing the NARDF Trimester Progress Report

23. The basic reporting formats are described below, however the exact requirements may differ for some of the thematic areas [funding envelopes], or prioritized areas. When this is the case, detailed guidelines will be issued with the letters of agreement. All reports should contain at least the following headings:
    - Activities carried out during the reporting period
    - Progress towards achievement of Outputs
    - Problems or constraints encountered during project implementation
    - Lessons learnt for improvement of activities, and the comments of stakeholders
    - Activities to be carried out during the next trimester
24. The project proposal [or any agreed amendments to it] will be used for assessing progress towards the achievement of Outputs, using the Objectively Verifiable Indicators [OVI's].
25. If Activities require rescheduling, a revised Gantt chart should be submitted with the Trimester Report. Changes to activities should be discussed with, and approved, by NARDF.
26. The following section on the completion of Trimester Technical Reports uses the pro forma to explain how each section should be completed. A clean version of this pro forma, without annotations, is given in Annex 6, Form - 2.

The Trimester Technical report *Pro - Forma*:

NARDF Reference Number:	This is the unique project number assigned by the NARDF Secretariat
Reporting Period:	Enter the dates of the trimester being reported
Project Title:	The title as it appears on the approved project proposal
Name of Institution	Name and Address of implementing Organization
Head Of Institution	Name of Chief/Director/Chairperson
Project Co-coordinator:	The name of the person with the role of coordinator
Project Start Date:	Date that implementation started
Expected Completion Date:	Expected completion date of the project

SECTION A: Progress towards achievement of Outputs: [When the Project Proposal was accepted by NARDF this was on the basis of the specified **Outputs**. At the end of each trimester NARDF is therefore especially interested in the progress your project is making towards achieving these. This is why the section on reporting of Outputs is the first section of the report.]			
Output No:	The Output number as given in the original document	Output:	The written output as it appears in the approved project proposal.
Rating:	**See box below**	Output Status:	Give a brief explanation of why the rating was assigned
OVI Status:			
Action required:	If a rating other than **4** was given for the Output, then the action that is necessary, or will be taken to rectify the problem, should be given here.		

RATING SYSTEM

The rating system for Project Outputs uses a four point scheme.

A rating of 4, 3, 2 or 1 should be given to each Output, and entered in the *Rating* Column above. The ratings are as follows:

Rating	Output Status
4	Will be achieved as planned
3	Expected to be achieved as planned
2	At Risk
1	Unlikely to be achieved

Score 4 = All Activities relating to the Output are proceeding as planned, and few or no problems having arisen in implementation. The Output will therefore be achieved as originally planned

Score 3 = The majority of Activities relating to the Output are proceeding as planned. There have been some problems/delays in implementation, but these are being addressed, or will be addressed by the project team in the next trimester. The action being/to be taken will ensure that the Output will be achieved as originally planned.

Score 2 = A number of Activities relating to the Output are experiencing problems or delays. These may be outside the control of the Project Team. Considerable effort will be needed to ensure that the Output is achieved as originally planned, and rescheduling of activities is likely to be required.

Score 1 = Most or all the Activities relating to the Output are experiencing problems or delays or have not been implemented.

There should be no reluctance to give ratings of 3, 2 or 1. The sooner NARDF knows about any problems, the better it can manage in time supporting to bring the Outputs back on schedule. *Monitoring is to help implementation.*

** ADDITIONAL BOXES SHOULD BE ADDED FOR EACH OUTPUT **

SECTION B: Activities during the reporting period			
Activity No:	Activity number as it appears on the approved Gantt Chart	Activity:	The Name of the activity
Detail Implementation Status:	Describe what progress has been made with this activity. Note that the progress of project activities will be assessed against the current Gantt Chart, agreed with NARDF, and should be referred to when reporting. This will ensure that all activities that were scheduled to take place during the trimester are reported. Even if an activity has not happened although it was scheduled, it should still be reported along with the reason for the delay.		
Means verification:	Indicate how you will know when the activity has been satisfactorily completed.		

** ADDITIONAL BOXES SHOULD BE ADDED FOR EACH ACTIVITY **

SECTION C: Problems or constraints encountered during activity implementation	
Activity No:	Problem or Constraint
Activity number for which there is a problem, as it appears on the approved Gantt Chart	This section of the form gives you more space to expand on how you are going to resolve any problem or constraints, mentioned briefly in **Section A**, which are having an impact on project implementation. Particular reference should be made to the risks and assumptions that were made at the time of project formulation, and which are now causing problems for the project. For example: At the project design stage, farmers may have been willing to o-operate in your project, but now that the project is underway farmers are losing interest. The price of the crop that you are encouraging farmers to introduce into their cropping system may have fallen and the introduction of the crop is no longer profitable. There may be problems effecting individual activities, or the project as a whole, but they should all be mentioned.

** ADDITIONAL LINES SHOULD BE ADDED FOR EACH ACTIVITY **

SECTION D: Activities for next trimester

Activity No:	Activity
Activity number as it appears on the approved Gantt Chart	Indicate here the activities to be carried out in the coming trimester according to the Gantt chart for your project. Please list the activity numbers, as they appear in the original Project Proposal or any subsequent agreed amendments to it.

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Project Coordinator	Organization Head
Name:	Name:
Date:	Date:

Annual Report

27. The Annual Report is a *supplement* to the Trimester Reports. It is a year-end report to assess the progress made towards achieving the project *Purpose*, validity of the project *Assumptions*, and any management action that is required to assist project implementation. It should also include a revised Gantt chart if there are changes in the original proposal. Guidelines for completing the report are given below in the boxes of the *pro forma* for the report. A clean version of the *pro forma* is shown at Annex 6, Form-3

Annual Technical Report – *pro forma*

1. Review of the Activities
This section provides a detail progress of the activities carried out in that reporting period. Progress is reported on the basis of following point: • Interaction between the project team, institutional stakeholders and farm households/clients • Development of recommendations relevant to client needs • Identification and development of a dissemination/uptake strategy
2. Status and validity of important assumptions
These highlight external factors over which the project team has no direct control, which need to hold true if project *Outputs* and the *Purpose* are to be achieved. These need to be continually monitored and managed. This section documents whether or not assumptions have held true, and if not, how this is impacting on project implementation. Any action that is required should be highlighted, as well as, external to the project, who should take that action.
3. Management action required to address any identified external constraints to project implementation
This section highlights management action required to support project implementation that needs to be taken by institutions or individuals outside the project team.

Issues might include, *inter alia*, the timely release of funds, provision of timely expenditure reports to project leaders, timely approval and processing of procurement/training requests.

Project Coordinators/Head of the applicant should ensure that they have taken all reasonable action to resolve these constraints themselves before highlighting action required by others.

4. Description of next year's programme

This section should briefly comment on how the experience of the past year of project implementation is being incorporated into next year's plan. Any changes in the specification or scheduling of activities, outputs, or resource requirements should be noted and justified.

An updated chart of activities for the next project year is prepared as a separate page, with a Gantt chart of activities for the next year. This should clearly indicate any changes that are required.

For *process projects* this is an especially important section which builds on the lessons learnt during the year, and develops a work plan that reflects these. The budget for the following year will be based on these activities.

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Project Coordinator	Organization Head
Name:	Name:
Date:	Date:

PROJECT COMPLETION REPORT

Guidelines

28. The purpose of the NARDF Project Completion Report [PCR] is to provide an end of project statement and a record of output delivery. The Project Completion Report should document:

    I. Practical recommendations arising from any work such as research trial which has been demonstrated as useful to other stakeholders as well as the target group;

    II. Stakeholder participation/collaboration in the research and development process and their initial response;

    III. The dissemination/uptake pathways and methods that have been used and/or identified and the extent to which [and how] dissemination may have already occurred;

    IV. Follow-up action/further research and development that may be required;

    V. Evidence of Social the public audit and participant suggestion for improving performance of the Project.

    VI. The project's assessment of what indicators of impact could be used, with clear links to the project work, in any subsequent *post* evaluation of the project.

    VII. Who takes the Project after the completion and how the project sustains.

29. The NARDF PCR is not a scientific paper/publication. It aims to provide management information relevant to NARDF's needs, which can also be readily accessed and understood by research and development partners, collaborators, client groups and funding contributors to NARDF.

30. It is intended to encourage stakeholders to think about the uptake and dissemination of any technologies that may have been developed by the project.

31. The PCR is in two parts. An information summary sheet and the main report. Both are set out in a tabular pro forma. The explanations and guidelines given below are placed on the pro forma, but a clean version of this is also shown at Annex 6, Form-4.

Project Completion Report – Summary Sheet (A)

NARDF Reference Number:		
Project Title:		
Lead Institution:		
Institution Head:		
Project Coordinator:		
Address:		
Telephone:		
Fax:		
Email:		
Collaborating organizations:		
Start Date:	**End Date:**	
NARDF Priority area:		
Original budget	**Actual expenditure:**	
1. Researchable constraint/problem the project aimed to address		
2. Target group/users		
3. List of key results/recommendations		
4. Dissemination of results and prospects for adoption		
5. Recommendations for follow-up and future activity		
6. Lessons learned		

7. Project Leader's Ratings of Project Achievements/Success		
Description	Rating	Note
Implementation performance	1/2/3/4See notes below	Refers to activity completion, input availability, budget management, collaboration and participation of the target group during implementation
Output Delivery	1/2/3/4See notes below	Refers to planned outputs and OVIs in the Log frame, including the development of clear recommendations for broader dissemination
Uptake and adoption: By Farmers By dissemination agents By scientists	A/B/CSee notes below	Refers to the project purpose, development and implementation of dissemination/uptake strategies, initial response of stakeholders and target groups and prospects for impact

Rating	Status	Rating	Status
4	Highly successful	A	Expect to be fully adopted
3	Mostly Successful	B	Part/some outputs expected to be adopted
2	Limited successful	C	Unlikely to be adopted
1	Unsuccessful		

Main Project Completion Report (B)

32. As a guide the main body of the PCR should not be more than 10 pages, plus selected attachments. It is important to be accurate, concise and to include all the relevant information.

1. Background
This section should be an abstract from the original project proposal, and provide an overview of: how the demand for the project was identified, it should include, *inter alia*: • the researchable problem/constraint[s] tackled by the project • the target groups and collaborators • project scope [attach the original or modified Log frame]

2. Implementation performance

This section is **not** meant to be a detailed description of the project's methodology [research or extension] or the results. Based on information contained in the trimester reports, other project records and the knowledge of team members, this section should briefly highlight:

- The research and development activities completed, such as data collection/literature review, farmer trials, field trials, training, field work, workshops, publications;
- Any significant changes/modifications to planned activities that were required during implementation;
- Key inputs/resources that were used during project implementation [staff, supplies, equipment], and whether the planned inputs were secured in a timely manner;
- The effectiveness of collaboration with other agencies/ institutions,
- The type and level of farmer involvement in the implementation of the project [who, how, when].

3. Situation regarding delivery of outputs/results

This section describes the results and products achieved by the project, with reference to output statements and OVIs. It addresses whether:

- All the anticipated outputs were achieved
- The OVIs match what has actually happened; if not, what were the reasons;
- A solution been identified to the problem/constraints identified at the start of the project.

Any recommendations resulting from the project that are relevant to the information needs of target groups should be described in language accessible to the stakeholders who are expected to further extend/use the results, such as extension agents, NGO staff, seed producers, input suppliers or farmers.

4. Prospects for the adoption of the new technology and achievement of purpose

This section describes how results have been, and might continue to be, spread and taken up by users. It also describes the expected impact on agricultural production or productivity if results are widely used and successfully adopted. It therefore describes:

- The identified dissemination/uptake pathway and any activities already undertaken to promote dissemination of results to users. This should not just happen at the end of the project, but be incorporated in the project's processes and activities.
- Any initial response of stakeholders and target groups to the project outputs.
- Any productivity, income or other livelihood/and the life standard benefits that may already be evident, or that might be expected if the outputs are widely disseminated and successfully adopted.

5. Key indicators of potential impact identified by project stakeholders

The section should answer the question:

How to assess or measure the impact of the project and what changes should be apparent in a follow-up evaluation of the project in three years time?

It should show up to five key indicators that might be used to assess future impact should an evaluation of the project be made after its completion. For example, if the project has produced recommendations which have prospects for further dissemination and adoption, what changes may be seen at the farm/household level,

- In agricultural practices/technology use or farm production
- In extension messages/approaches;
- In market opportunities for farmers;
- Possible increase income and employment
- In the type of follow-up work to be undertaken

6. Proposed follow-up

Specify what additional activities [how and by whom] may need to be undertaken to disseminate research results, or to further develop, test and establish a relevant technology that meets farmers' demonstrated needs. Activities might include extension activities, further research, market studies, or testing and manufacture of a product. Indicate any specific action that make the achievements of the project sustainable, and any specific actions which explicitly make the benefits of the project accessible to economically socially disadvantaged people. Policy changes may also be recommended, and the follow-up should indicate by who will implement them and how the project team will initiate and influence this process.

7. Lessons learned

A brief summary of key lessons learned by the project team and collaborators should be provided. These lessons might be: Internal to the management of the research project; About assumptions or external factors; About constraints to the adoption etc of productivity increasing technologies.

8. Publications and contacts

Provide a list of publications and internal reports produced by the project, including reference to where these are filed/ stored. Provide the names, addresses and phone/fax/email details of the project team and external collaborators if any.

33. Electronic templates

34. The NARDF Secretariat holds electronic templates of all formats. These are best obtained by e-mail, but can be provided on CD or as hard copy upon request.

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Project Coordinator	Organization Head
Name :	Name:
Date:	Date:

NARDF TECHNICAL PAPER SERIES:

The project completion report is not very specific in giving detail technical information such as design of the experiment, methodology adopted and many research protocols identified by the project but these could be of relevance and interest to other research providers. Hence, awardees must submit all copies of technical papers published during the project period and a copy of final technical paper in the format suggested below to contribute for publication of NARDF Technical Reports/Paper Series. These publications will be in electronic format and will be kept in the NARDF website for wider circulation and dissemination worldwide.

a) **Abstract**: An abstract is concise description of the report including its purpose and most important results. An abstract must not be longer than half a page and must not contain figures of reference. The results may be summarized in the abstract but qualitatively, not quantitatively. No specific technical jargon, abbreviation, or acronyms should be used. This is not a numbered page of the report.

b) **Key Words:** This should follow immediately after abstract, Key words used in the report should be mentioned here. This is also not a numbered page of the report.

c) **Introduction**: Give the objective of the work, a brief description of the problem, and how it was attacked. This section should provide the reader with an overview of why the work was performed, how the work was performed, and the most interesting results, After introducing the problem, indicate how those objectives are met. The length of this section depends on the purpose but should strive for brevity, clarity, and interest.

d) **Literature review**: Give the findings of related studies made elsewhere.

e) **Material and Methods/ methodology:** Provide conceptual framework, data generated from the project, the model of the study/research and the methodology adopted, discuss the procedure by describing the method used to test a theory, verify a design or conduct a process. Presentation of the procedure may vary significantly for different fields and different audiences, however, for all fields, be brief and get to the point, Also, this section should never include specific measurements/results discussion of results, or explanation of possible error sources. Make sure all diagrams provided are numbered, titled, and clearly labelled.

f) **Result and Discussion:** This is the main body of the report. Describe in detail the results of the project and discuss its implications, Charts, tables, pictures, photographs and other forms of graphics should be presented to justify the results. Data analysis and inferences should be made where applicable.

g) **Conclusion and Recommendation:** The conclusions section provides an effective ending to your report. The content should relate directly to the aims of the project as stated in the introduction, and sum up the essential features of your work. This section states whether you have achieved your aims, gives a brief summary of the key findings or information in your report and highlights the major outcomes of your investigation and their significance. The conclusions should relate to the aims of the work. Gice recommendation based on the findings of the project that may be helpful for farmers, project implementers and the decision makers or policy formulators.

h) **Acknowledgement**: Acknowledge the support and help provided by different institutions and individuals during the course of research and development.

i) **References**: The two parts to referencing are citations in the text of the report and a list of references in the final section. A **citation** shows that information comes from another source. The **reference list** gives the details of these sources. You need to use in-text citations and provide details in the references section when you incorporate information from other source;

e.g. factual material, graphs and tables of data, pictures and diagrams. You quote word-for-word from another work (when you do this the **page number** must be given in the in-text citation)

j) **Appendices**: These contain material that is too detailed to include in the main report, such as raw data or detailed drawings. The conventions for appendices are as follows:

- Each appendix must be given a number (or letter) and title;
- Each appendix must be referred to by number (or letter) at the relevant point in text.