Personalised Public Services for People in Vulnerable Situations in Lithuania

Guidance for Developing a Monitoring and Evaluation Framework for a New Case Management Model

OECD
BETTER POLICIES FOR BETTER LIVES

Funded by
the European Union

Lithuania: Developing a New Approach to Personalised Services for Vulnerable Groups
REFORM/IM2021/009

Personalised Public Services for People in Vulnerable Situations in Lithuania

Output 4
Guidance for Developing a Monitoring and Evaluation Framework for a New Case Management Model

**Funded by
the European Union**

Table of Contents

Foreword

Governments are increasingly expected to demonstrate that their projects, programmes, and policies are effectively and efficiently implemented and have a positive impact. As a result of this attention to performance, more and more governments across the OECD are building formal Monitoring and Evaluation (M&E) systems to monitor and systematically evaluate their policy measures and interventions.

Rigorous M&E systems are key to sound policy decision making and ongoing learning and improvement. All decisions and implementation processes throughout the policy making cycle may be informed by and benefit from lessons learned on policies implemented earlier or elsewhere which led to the desired results. Monitoring and evaluation also contributes to making government action more transparent and accountable. Monitoring and evaluation provides detailed information about how well governments are achieving their objectives, which in turn promotes public confidence in government decision making among all relevant stakeholders.

The body of literature on monitoring and evaluation concepts and methodologies, as well as country experiences of building and strengthening their M&E systems are vast. The OECD is contributing to this expanding body of knowledge through a new series of reports on Monitoring & Evaluation. This report for Lithuania, "*Guidance for Developing a Monitoring and Evaluation Framework for a New Case Management Model*" is the second in the series and provides guidance for Lithuania on how to develop a M&E framework to support implementation of a new case management model. The report is accessible via www.oecd.org/employment/youth.

Introduction

The OECD, together with DG REFORM, is supporting Lithuania through a project with the MSSL to strengthen public services for people in vulnerable situations. People with disabilities, people leaving prison and young people leaving care were identified as priority groups for the project (OECD, 2023[1]). Lithuania is seeking to ensure personalised services for these three groups are well integrated and tailored to meet individual needs and that Non-Government Organisations (NGOs) are more involved in policy development and service delivery.

This report represents the final output of the project. It provides guidance for developing a M&E framework to support the design and roll-out of a case management model from early 2024. Lithuania identified establishing case management support as a priority from a set of recommendations the OECD proposed for implementing a more integrated service delivery approach for the three priority groups (OECD, 2023[1]). A roadmap for establishing and implementing a case management model was subsequently developed and recently published (OECD, 2023[2]).

This guidance identifies, and provides advice on how to develop, essential components of a M&E framework to assess the design, implementation, and emerging outcomes of the new case management model, including:

i)   a programme theory and logic

ii)   an indicators framework

iii)   an evaluation plan

iv)   a data collection and analysis plan, and

v)   dissemination approaches.

The report starts with a brief description of the case management model being rolled out for each of the three priority groups which sets the stage for a discussion about the key elements of a M&E framework and how they might be applied across the three models. The report finishes with recommended actions to guide Lithuania's implementation of a M&E framework given there is no single or unique way of creating a M&E framework. While the report focuses on the early stages of implementation it also provides advice on foundations required for measuring outcomes in the medium to longer term.

Overview of the case management model for Lithuania

The basic premise underlying case management is the timely coordination of quality public services to meet an individual's specific needs in a cost-effective manner. The evidence suggests it is a particularly effective approach for people with complex needs such as the three priority groups in this project, as they often require tailored and, in some cases, specialised supports and services from more than one provider. Case management is a dynamic, collaborative process where a case manager works with a service user to assess, plan, implement, coordinate, and monitor the options and services required to meet their needs. The process includes a series of critical steps, which are set out in the OECD's recent report: *Personalised Public Services for People in Vulnerable Situations in Lithuania: Implementing a case management model* (OECD, 2023[2]).

In Lithuania, case management will be rolled out progressively from January 2024 for people with disabilities and from July 2024 for people leaving prison. Case management for young people leaving care already exists as part of the Transition Service introduced in 2021 for at-risk young people. Lithuania is considering actions to improve the uptake of the Transition Service following a survey in March 2023, which found that 27 of 60 municipalities were not yet providing it.

People with disabilities

Since 2014, Lithuania has been implementing a de-institutionalisation of care programme for people with disabilities, which aims to enable people with mental health and/or psychosocial disabilities to live in the community and receive tailored supports. Until 2023, most of the investment has been directed towards development of the infrastructure required for people with disabilities to live in the community. At the same time, the need for a range of measures to prevent people with disabilities from entering or returning to institutions in the future has been identified. People who have previously lived in an institution are more likely to require additional support, but Lithuania lacks arrangements (such as one-stop-shops) to provide the necessary services and support.

Case management services aim to fill this gap. Case management for people with disabilities is expected to increase accessibility to services, cross-sectional support, participation in labour market, address gaps of information about services, and reduce social exclusion and poverty among people with mental health and/or psychosocial disabilities and their families.

Official statistics on the needs of people with mental health and/or psychosocial disabilities are not collected centrally. The need for services is only identified by municipalities when a person applies for support, but people with disabilities do not always ask for help. An analysis carried out by the MSSL in 2022 found that at least 1 848 persons needed accommodation services, at least 2 786 people needed day care services and at least 1 243 families needed temporary respite services. In May and June 2023, the MSSL organised meetings with stakeholders to present the proposed case management model presented in the OECD's report (2023[2]), and discuss how it might be applied. Municipalities were invited to participate in the implementation of the case management model and to date 51 of the 60 municipalities have expressed their willingness to apply the new case management model.

People with a mental health and/or psychosocial disability will be eligible for case management services. The family members of people with health and/or psychosocial disabilities are also expected to benefit from case management services in that community-based services will help relieve them of some of the care burden.

Three entry points for potential service users of case management services are identified in the new case management model. The first entry point is through the Agency for the Protection of the Rights of Persons with Disability (*Asmens su negalia teisių apsaugos agentūra*), which will undertake needs assessments. The Agency is newly established by Lithuania's 2024 Disability Assessment Reform. The second entry point will be via social workers working in group living homes and sheltered homes. The third entry point will be via organisations working with people with disabilities and social workers in subdistricts (*seniūnija*) as well as family doctor teams.

Referrals will be sent to the Disability Co-ordinator in a municipality who will make a recommendation. If recommended by the Disability Co-ordinator, the municipality will appoint a case manager. The case manager together with the service user will develop an Individual Action Plan (IAP), in which individual needs and goals will be identified. The case manager will also monitor implementation of the IAP: they will coordinate service provision, monitor referrals, barriers and progress, and update the IAP when required. When it is determined that case management services are no longer needed, they will be terminated.

Case management services will be administered by municipalities (partners of the MSSL project) to whom funds will be allocated to cover the cost of case managers' salaries. It is anticipated that one case manager will be assigned for up to 500 people in the target group living in the municipality, however not all 500 people will require case management support. Vilnius City municipality, for example, has approximately 3 500 people in the target group and they have identified the need for four case managers. A more accurate estimate of the number of participants will only be known once the service has started, but it is expected that a case manager would not have more than 30 active cases at a time.

People leaving prison

The need for case management support for people leaving prison in Lithuania has been identified for some time. It has been observed that a significant proportion (more than a half) of those released are likely to reoffend and return to prison. In 2020, a working group coordinated by the MSSL, which included the Ministry of Justice, the Lithuanian Prison Service, municipalities and other social partners, developed a procedure for the social integration of persons released from places of deprivation of liberty. The procedure is implemented in prisons, the Lithuanian Probation Service, municipalities and non-governmental organisations, and enables the social integration of persons released from prison to be carried out in a coherent and comprehensive manner, in accordance with the principles of continuity, individuality and inter-institutional cooperation.

Social integration activities, which are provided by both municipalities and NGOs promote the restoration and enhancement of a person's social independence and employability, professional competence and capacity to participate in the labour market and include:

- individual assistance (assessment of the needs and situation of the person released from prison)
- development of an individual assistance plan
- psychological, legal, health and educational support
- transition (accompanying) service
- other necessary assistance
- raising public awareness, provision of information, preventive activities and improving the competencies of project partners.

According to data provided by municipalities, from 1 January to 31 December 2021, 2 373 notifications of release from penitentiary institutions were received (the notification is sent six months prior to a person's release). During 2021, 1 164 persons left prison and returned to a municipality:

- 754 people were assisted with the processing of financial social assistance documents
- 311 persons were assisted with social assistance in the form of food or clothing
- 275 persons were assisted with the settlement of arrears
- 239 persons received support in finding a place of residence
- 230 people were helped to declare their place of residence, and
- 1 056 persons received a lump-sum payment, which is an entitlement for most people leaving prison.

Lithuania's ambition is to enhance and unify social integration activities for people leaving prison through the introduction of case management support. It is anticipated that personalised, tailored assistance, not only in terms of employment and housing, but also in terms of restoring contacts with family members, documentation and legal assistance, health care, and transport, will help to reduce the risk of recidivism.

Anyone serving a sentence who is either one year away from being released on parole, or who is one year away from the end of their prison sentence, as well as people who were released from prison within the last year will be eligible for case management. Preparation for leaving prison will start at least 12 months prior to release, when a social worker is appointed to an inmate. The social worker will access relevant information about the inmate, initiate a first meeting and together with the inmate start to develop an IAP. The IAP will focus on immediate needs, such as basic living skills, a place to live, social support networks and will be sent to the municipality who then appoints a case manager.

The case manager will meet the inmate and their social worker for the first time before the inmate is released and continue to develop as well as begin to implement the IAP with them. Post release, a second needs assessment will be carried out where the case manager together with the service user re-assess the IAP. This moment is an opportunity to identify any subsequent developments, unforeseen

circumstances, additional services needed, administrative barriers and longer-term goals. The case manager will coordinate implementation of the IAP including service provision, accompanying the service user to appointments where necessary, monitoring referrals, and assessing progress against the IAP at least every three months. The IAP will be updated as required and when it is determined that the case manager is no longer needed, case management will be terminated.

Case management services will be provided by municipalities and NGOs. It is expected that NGOs will participate in the provision of case management services on a larger scale than they do now. NGOs will enter into co-operation agreements with municipalities and provide the service in their territory. NGOs will be able to apply for funding to provide social integration services, including case management support for people leaving prison.

In the larger municipalities (where there are at least 30-40 people leaving prison each year), case managers will be employed separately, or services will be provided by NGOs. In municipalities where fewer people leave prison each year, case management services will continue to be provided by social workers. On this basis, an estimated 30 new case manager positions will be required. In the 2024-2026 period European Social Funds (ESF) and state budgets will fund the new case manager roles as well as the provision of other services and assistance.

Young people leaving care

To facilitate the social integration of young people leaving care into the community (i.e., to help them adapt to the social environment and to strengthen their ability to deal with social and other problems), an ESF funded project "*Creating the conditions for a sustainable transition from institutional care to a system of family and community-based services in Lithuania*" (No 08.4.1-ESFA-V-405-01-0001) was implemented between January 2019 and March 2020. The project piloted Transition Services for young people leaving care aged 17-24 (including those with disabilities) who are or have been growing up in care institutions, foster families, families with caregivers, or families at social risk.

Following the success of the project and to promote continuation of the Transition Service, changes were made to the Catalogue of Social Services. In 2020, the group of beneficiaries entitled to special social services was extended and in 2021, the Transition Service for young people leaving care was formalised and enshrined in law as a separate service which means it is now funded from municipalities' budgets and can be provided countrywide.

To ensure a consistent approach to providing and organising the Transition Service in all municipalities, the Minister of Social Security and Labour approved the Recommendations on the Organisation and Provision of the Transition Service for Young Persons Leaving Care (Order No A1-691, 17 October 2022).

Eligibility for Transition Services includes:
- children without parental care (aged 16 and over) who are being cared for in a care institution
- children at social risk (aged 16 and over)
- children (aged 16 and over) living in families at social risk
- persons who have reached the age of majority (up to 24 years) and who have been under social care in a care institution or have been living in families at social risk.

The decision about eligibility for the Transition Service is made by the municipality. Young people leaving care or someone working with them can apply for the Transition Service and if their application is successful, the municipality forms an agreement with an institution accredited to provide the Transition Service. A Transition Service co-ordinator is appointed by the institution and case management support begins. Within the first month, the Transition Service co-ordinator together with the young person create an Independent Living Plan (ILP) based on an assessment of the young person's needs (e.g., personal finances, practical and work skills, health, housing, and education).

The Transition Service co-ordinator monitors the implementation of the ILP (assessing progress against objectives in the ILP at least every three months). They coordinate the measures in the ILP, coordinate service provision, check progress with other service providers involved, and update the ILP when circumstances change. When it is determined that the Transition Service co-ordinator is no longer needed, the provision of the Transition Service is terminated.

It is now recommended that all 60 municipalities provide the Transition Service. Municipalities are responsible for the organisation, administration, financing and delivery of the Transition Service in their municipal areas. As municipalities are also responsible for the human resources needed to provide the Transition Service, it is not yet clear how many Transition Service co-ordinators will be mobilised to provide a good quality Transition Service.

Developing a Monitoring & Evaluation framework

Why is a M&E framework necessary?

Critical to the successful rollout of a new initiative is understanding how well it is being implemented. Is it being delivered as planned, is it reaching the right people, and are the outcomes that were expected being achieved? Monitoring and evaluation can help to answer these questions and inform any corrective actions that may be required. It can also help to identify any unintended outcomes or consequences and if there are issues, to differentiate between poor policy or programme design and poor implementation.

Regular monitoring should start early in the life of an initiative as it can provide valuable information about progress and provide an early warning of any issues. Ideally, evaluation would take place at certain points across the lifecycle of an initiative, from design and piloting through to implementation and ongoing mainstream delivery. It has an equally important role to play in testing the impact of new policies and initiatives as testing whether existing initiatives are continuing to deliver the desired outcomes effectively (i.e., ongoing continuous improvement). Regular assessment means that both what is going well as well as areas for improvement can be identified. It also contributes to accountability, allowing stakeholders to track progress, and hold each other responsible for achieving the stated goals.

In the longer-term, to know if initiatives are making a positive difference for service users and to justify investments, monitoring and evaluation can help to answer the important questions: 'what works, for whom, under what conditions and at what cost'. This information can contribute to improved outcomes, better investment decisions, enhanced accountability and transparency, which in turn promotes public confidence in government decision-making. Information produced by monitoring and evaluation can also help to improve other and future initiatives i.e., replicate what's working and stop what is not.

What is a M&E framework?

There is no single or unique way of creating a M&E framework. Rather, it should be thought of as a work in progress, something that can be continuously improved. A framework can provide for a consistent and transparent evaluation approach to several different initiatives, or the systematic approach to monitoring and evaluation activities for a single initiative. Arguably, Lithuania's new case management model falls into both categories. While aspects of case management will be similar for all three groups, e.g., the steps in the case management process, there will also be considerable variation, for example, in the stakeholders involved, the services each group will require, and even the outcomes sought. In effect, they could be considered separate initiatives for monitoring and evaluation purposes.

Markiewicz and Patrick (2016[3]) describe a M&E framework as both a planning process and a written product designed to provide guidance for conducting monitoring and evaluation functions over the life span of a programme or other initiatives. The OECD describes monitoring and evaluation as two distinct yet

complementary practices. Monitoring consists of "a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds", while evaluation consists of "the systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results" (OECD, 2002[4]).

The value of having a M&E framework is to ensure a systematic and sustained approach to monitoring and evaluation activities over the longer-term. Too often a process evaluation will be undertaken with (often expensive) investments made in one-off data collection exercises, the initiative scaled (or not) based on the results, without any future and longer-term evaluation activity planned for or undertaken. Conversely an outcomes evaluation will be undertaken, either too early in the life of an initiative to observe longer-term results and/or without any information about programme fidelity.

Important questions to consider when developing a M&E framework include:

1. What is the standard of evidence required, over time?
2. What standard of evidence is realistic to achieve and to provide confidence about the value and success of the initiative to stakeholders?
3. What level of investment can be made in monitoring and evaluation activities?
4. What sorts of questions does the monitoring and evaluation information need to answer?
5. What sorts of decisions need to be made from the information produced by monitoring and evaluation results?

The components of a M&E framework

A framework should be developed based on factors such as the needs of stakeholders, the size and complexity of the initiative, and the answers to the questions above. There is considerable literature about the elements a framework should contain, including a programme theory and logic that sets out the different levels of outcomes expected from an intervention, an indicators framework, evaluation processes and methods, data collection and analysis, and communicating and disseminating results. These elements are described in more detail in the following sections. Annex A provides an example table of contents for a M&E framework, adapted from Markiewicz and Patrick (2016[3]).

Theory of change (and programme logic model) processes

Theory of change (ToC) is an explicit process of thinking through and documenting *how* an initiative is supposed to work, *why* it will work, *who* it will benefit (and in what way), and the conditions required for success (Weiss, 1995[5]). Simply put, the process helps to explain how particular activities will lead to particular outcomes. Ideally a ToC is developed when an initiative is being designed as a good ToC can help to improve programme design and thereby the likelihood of its success.

A programme logic model is a simpler (often linear) visual representation of how a given initiative is supposed to work. It shows both actions (inputs and activities) and the outcomes expected from those actions. Often the two terms – ToC and programme logic – are used interchangeably; both can improve programme design and evaluation.

A programme logic model is useful for articulating an initiative's inputs, outputs and expected outcomes. It can serve as a simple but valuable communication tool, however unlike a ToC it does not explain *how* or *why* an initiative will achieve the desired outcomes. A ToC is best when:

- designing a complex initiative and a rigorous plan for success
- evaluating appropriate outcomes at the right time and in the right sequence
- explaining why an initiative worked or did not work, and if something went wrong, why.

Creating a ToC takes considerable time and effort. In a presentation to the American Evaluation Association Atlanta, Georgia in 2004, Clarke and Anderson (2004[6]) recommended that organisations undertake a ToC process that has a manageable scope for them, that fully engages stakeholders. Once a ToC is developed, it can be summarised in ways that meet the needs of different constituents.

Many ToC templates can be found in the literature and software packages are also available that can be tailored to the needs and resources of an organisation. The process includes activities such as analysing programme documents, reviewing the evidence, and connecting to the strategic objectives and vision of the organisation, but most importantly it involves engaging with stakeholders, early, and with a well facilitated process. Ultimately the process followed should reflect their needs.

A ToC will likely include some or all the following core components:

- the context, particularly what is the problem the initiative seeks to address?
- desired results i.e., outcomes – what difference is hoped for in the short, medium and long-term?
- assumptions
- conditions such as local variation
- inputs and activities
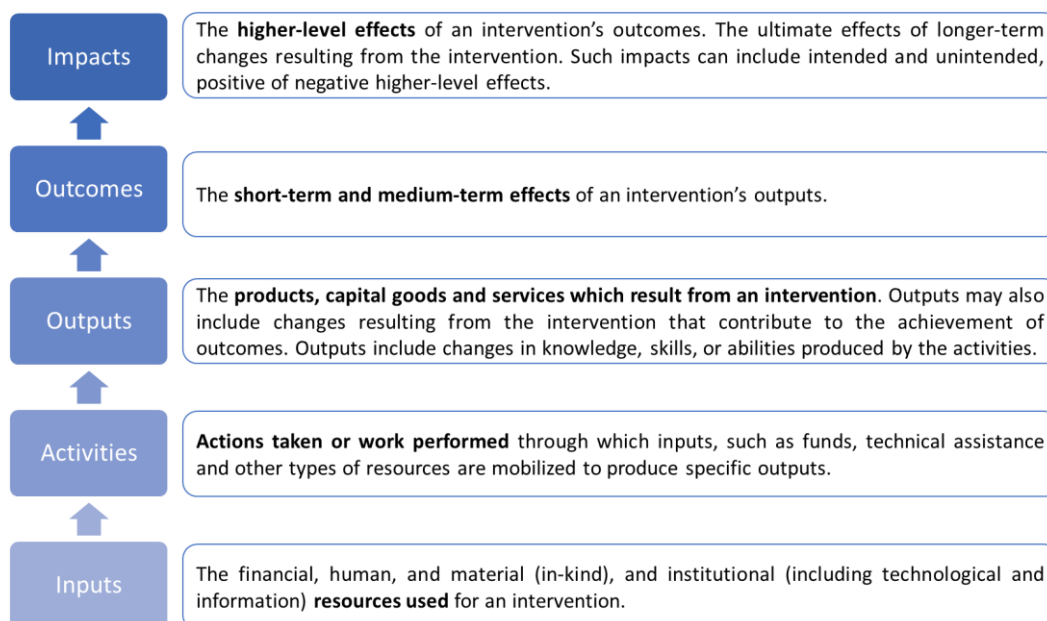- outputs, and
- external factors and contraints.

The results chain

Using the ToC process, a complete results chain can be developed (see Figure 1). The results chain describes how each of the elements (i.e., inputs, activities and outputs) contribute to the next, eventually leading to specific outcomes and, over time, policy impact. The results chain also includes causal relationships and underlying assumptions and risks (OECD, 2023[7]).

Identifying and describing the outcomes sought from an intervention is an essential first step. These decisions are often taken during the policy development process, but the outcomes should be revisited and confirmed as a first step in the ToC process. Once the outcomes have been agreed, identifying the other elements of the results chain can follow.

By way of example, case management for people with disabilities is based on the theory that tailored supports will help people with mental health and/or psychosocial disabilities to live in the community, independent of institutional care. A crucial input is the role of the case manager (at this stage, one case manager per 500 people is foreseen in each municipality). Activities include referrals from the three entry points to a Disability Co-ordinator who decides on eligibility and the appointment of a case manager when case management support is approved. Important outputs include a mutually agreed IAP and receipt of services identified in the IAP. Together these inputs, activities and outputs should lead to outcomes such as increased access to services, improved employment prospects and more stable independent housing. One assumption might be that the services that are identified in IAPs are readily available.

Figure 1. The results chain

Impacts	The **higher-level effects** of an intervention's outcomes. The ultimate effects of longer-term changes resulting from the intervention. Such impacts can include intended and unintended, positive of negative higher-level effects.
Outcomes	The **short-term and medium-term effects** of an intervention's outputs.
Outputs	The **products, capital goods and services which result from an intervention**. Outputs may also include changes resulting from the intervention that contribute to the achievement of outcomes. Outputs include changes in knowledge, skills, or abilities produced by the activities.
Activities	**Actions taken or work performed** through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs.
Inputs	The financial, human, and material (in-kind), and institutional (including technological and information) **resources used** for an intervention.

Source: OECD (2023[7])

An indicators framework

Once a results chain has been developed indicators can be selected. An indicator is something that is measured or observed to see if a desired outcome has been achieved or progress is being made towards achieving it. Some outcomes are best measured by using more than one indicator. Indicators can be used to measure both the implementation and effectiveness of an initiative over time. Indicators can be both quantitative, e.g., the number of care leavers participating in further education, and qualitative, e.g., client satisfaction with the services they receive. Once the indicators have been identified, data requirements can be determined.

Outcomes and indicators are sometimes confused. Outcomes are the changes that occur for a service user in the short, medium and long-term as the result of participating in an initiative. Indicators act as markers or signs that show if change has occurred, what has changed and by how much (Ontario Centre of Excellence for Child and Youth Mental Health, 2103[8]).

Indicators should be specific and measurable, they should be SMART (World Bank, 2012[9]):

- **Specific.** Indicators should reflect simple information that is communicable and easily understood. They should be as clear, direct, and unambiguous as possible.

- **Measurable.** Indicators should be objectively verifiable.

- **Achievable.** Indicators and their measurement units must be achievable and sensitive to change during the lifespan of the programme or policy.

- **Relevant.** Indicators should reflect information that is important for the policy or programme object of analysis, and likely to be used by managers and decisionmakers.

- **Time bound.** Indicator progress can be tracked at a desired frequency for a set period.

Data may not always be readily or easily available for the ideal set of indicators; the best indicators may require an investment in new data collection. Using proxy indicators is possible. Proxy indicators can be used as indirect measures of an initiative's outcomes when primary or direct indicators are not readily available or cannot be measured or are difficult, expensive, or time-consuming to measure. While proxy indicators can be cost-effective, timely, accessible, and reliable, they also have limitations. To ensure the accuracy of monitoring and evaluation results, it is important to choose appropriate proxy indicators, measure them correctly, and interpret them carefully.

There are many examples of outcomes and indicators for different types of initiatives available in the literature that can provide a guide and potentially be adapted to the case management model being rolled out in Lithuania. By way of example, New Zealand introduced an integrated case management model to help individuals and families experiencing homelessness move quickly into stable accommodation and to access more comprehensive social support. The overall goal was to improve the wellbeing and stability of service users, enabling them to engage with public and private housing and sustain housing in the long term. Short-term outcomes included (Litmus, 2022[10]):

- increased understanding and access to support services for clients and families
- improved client and family readiness to engage with housing support and other services
- increased social support and connectedness for clients, family and community
- immediate health and wellbeing needs for clients and family are addressed
- reduced housing stress and trauma for clients and family
- increased self-efficacy for clients and family to engage with the housing sector.

Indicators for the case management initiative for people leaving prison for example might include the number of people leaving prison who:

- are appointed a case manager before leaving prison
- have an agreed IAP before leaving prison
- meet with their case manager before leaving prison
- report they are satisfied with the case management support they are receiving
- are placed in accommodation immediately upon release
- are provided with financial and other assistance
- are in stable longer-term housing [in a specified timeframe]
- are in employment [in a specified timeframe].

Recidivism rates will be an important longer-term measure of success.

Actions for Lithuania to consider when developing a ToC:

1. Design, together with the organisations that will be involved, a manageable scope for the ToC process that meets everyone's needs and resources.
2. Find a template(s) and/or software package that can be tailored to support the desired scope.
3. Identify a lead organisation to manage the ToC process(es).
4. Consider running separate ToC processes for each of the three case management models, maintaining alignment across the three, and involve stakeholders relevant to each of the priority groups in the separate processes.
5. Leverage the relationships that have been built with stakeholders throughout the project (including community representatives, advocacy groups and NGOs), involving them fully in the ToC process(es). Consider who else should be involved such as the staff who will deliver the initiative, funders, and local and national decision-makers.
6. Revisit, confirm and ensure collective agreement to the policy goals for the case management model(s).
7. Express the inputs, activities, and outputs with as much specificity as possible.
8. Clearly identify any assumptions about how the inputs, activities and outputs will contribute to the proposed goals including references to relevant evidence.
9. Choose indicators to measure both the implementation of the case management model(s) and the effectiveness of the model(s) over time i.e., improvements in service users' outcomes.
10. Choose both quantitative and qualitative indicators.
11. Consider proxy indicators if data are not available for the ideal set of indicators.

An evaluation plan

At the heart of a M&E framework is the evaluation plan that outlines what needs to be evaluated, what information is required, who will collect it and how. Ideally, evaluation planning happens as the initiative is being designed, but an initiative that is already underway can still be evaluated. Evaluation planning is closely linked to and informed by the ToC that has identified the outcomes (what the initiative intends to do) and the activities (how the initiative intends to do it).

An evaluation plan can be developed by answering a series of questions set out in Table 1, which has been adapted from examples of evaluation planning templates in the monitoring and evaluation literature. Several areas in Table 1 are discussed in more detail in subsequent sections, e.g., data collection and analysis.

Table 1. Key questions in planning an evaluation

Why do I need to evaluate? What is the purpose of the evaluation? Who is the intended audience for the evaluation findings?	Identifying the purpose of the evaluation and who the main audience is will help to determine the type of evaluation undertaken and the data collected. The purpose of an evaluation is often linked to the intended audience and what they want to know. For example, staff and managers may want to know that the initiative is reaching the right people and whether any improvements could be made. Funders will want to know whether their investment is making a positive difference, and by how much. Different evaluation purposes may require a different type of evaluation because each will ask different questions.
What do I need to find out? What are the evaluation questions? What evaluation design or type is best?	Evaluation questions are high level questions that guide the evaluation and outline what is hoped to be learned. Before deciding what types of data are required and how to collect it, it is necessary to specify the questions to be answered. Evaluation questions may seem intuitive and straight forward but without well-developed, relevant, and accurate evaluation questions, evaluations can fail to address the most *important* issues the audience(s) is interested in. Evaluation questions should ideally be developed with stakeholders, which may include the staff delivering the initiative, community representatives and/or advocacy groups, funders, and local and national decision-makers. Consultations may be informal conversations or semi-structured individual and/or group interviewing. Involving stakeholders is also valuable for gaining their buy-in to the process and the results. According to Rossi, Freeman and Lipsey (1999[11]) evaluation questions must be: • reasonable and appropriate, or realistic for the given programme • answerable; like the reasonableness of a question, good evaluation questions must be able to be answered to some degree of certainty. If questions are too vague or broad, or require data that is unavailable or unobservable, they are not answerable, and • based on programme goals and objectives. Often the first question stakeholders want to know the answer to is 'how well is the initiative is being implemented?' Is it being implemented in accordance with policy and programme design objectives, how it is working in practice, and is it meeting the desired short-term goals? These types of questions are typically answered through a process evaluation. A process evaluation will help to identify: 1. Who is receiving the initiative? 2. Are they the target audience? 3. How does the target population(s) interact with the initiative? 4. What sorts of services are they participating in due to receiving case management support? 5. What do they think of the support and services they are receiving? Are they satisfied? 6. What are the barriers to implementation? 7. Conversely, what are the enablers? 8. How is the initiative functioning from administrative, organisational, and/or staff perspectives? Another important role a process evaluation can play is assessing whether appropriate foundations are in place to undertake future evaluations, e.g., outcome/impact evaluations. Outcome and cost-effectiveness evaluations and cost-benefit analysis can be undertaken when an initiative has been running long enough to produce results to determine whether it has produced demonstratable

	effects (and at what cost). Ideally, they are planned in the early phases of an initiative as it can be difficult (and potentially impossible) and expensive to set up later.
What will I measure? What are the outcomes sought? What indicators should be used?	Outcomes, outputs, and indicators should have been determined through the ToC process, discussed above. A process evaluation requires clarity not only about the outcomes sought for service users but also about implementation goals.
How will I measure it? What data collection methods to use? How to ensure the data is of high quality? What are the ethical considerations?	Once the outcomes and indicators, evaluation questions and type of evaluation have been identified the data required and how to collect it needs to be determined. Data can be quantitative (numbers) or qualitative (words). Many evaluations are 'mixed methods' where a combination of quantitative and qualitative data is collected and used. Quantitative data will identify how many, how much or how often something has occurred. Quantitative data collection methods include outcomes measurement tools, surveys with rating scales, and observation methods that count how many times something has happened. Qualitative data will identify why or how something happened and is useful for understanding attitudes, beliefs, and behaviours. Qualitative data collection methods include interviews, focus groups and open-ended questions in a questionnaire. Ethical issues need to be considered and addressed. For example, if service users' data is going to be used is their informed consent required? Are there relevant data protection and ethical guidelines that need to be adhered to? Does the evaluation require ethics clearance from a relevant body? The volume of data and the questions being addressed through the analysis will determine the type of analysis done. Data collection and analysis are specialised fields and ideally advice and support from data, research and/or evaluation experts should be sought. Software programmes such as SPSS (for quantitative data) or NVIVO (for qualitative data) can support analysis but even with these programmes, skills and knowledge in data analysis are still required.
What resources are required? What is the timeframe?	The funding allocated for monitoring and evaluation will significantly impact what can be done and in what timeframe, particularly if in-house evaluation resources are limited. The availability of evaluation resources will have implications for the design and scale of the evaluation, as well as what questions can realistically be answered. Management questions that need to be addressed include: • who will manage the evaluation? • who will conduct the evaluation? (It is always a good idea to use an evaluator who is independent from the management of the initiative) • how will it be governed? (An oversight body, such as a working group or steering committee can be useful)
How will the analysis and findings of the evaluation be shared?	An important question that is often not thought about when an evaluation is being planned, is how will the evaluation findings be communicated to stakeholders and possibly members of the public? What kinds of information will be included (e.g., findings, conclusions, judgments, recommendations)? Effective dissemination of findings increases the likelihood that the evaluation will have an impact on decision making. Findings should be presented in a way that audience(s) will understand - a lengthy and complicated report for example may not be the best way to communicate findings to some audiences. Different communication techniques and styles will be required for different audiences.

> **Actions for Lithuania to consider when developing an evaluation plan:**
>
> 1. Ideally begin working on a M&E framework and evaluation plan, informed by the ToC process(es) before the case management models are rolled out.
> 2. Develop the evaluation plan by stepping through and answering the questions set out in Table 1.
> 3. Clearly specify the evaluation questions the relevant audiences want to know the answers to.
> 4. Consider using the same stakeholder group(s) that were involved in the ToC process(es) to develop (or review) the evaluation questions.
> 5. As per the ToC process(es), develop an evaluation plan with a manageable scope, considering both the needs of relevant audiences and the resources available.
> 6. Ensure ethical issues are identified and addressed.

Data collection, management and analysis

Underpinning monitoring and evaluation are data collection, management, and analysis. As discussed above, data are the information collected to answer the evaluation questions; analysis relies on the synthesis of a range of data. Varied methods and data sources can provide a rich and comprehensive description of the range of attributes that typically characterise an initiative. They can also serve as an effective means of cross checking and validating information from different sources.

An important early step when implementing a new initiative is to establish a monitoring system to collect data regularly and consistently. Monitoring data can be a cost-effective data source over time. Establishing a system early can also help to identify baseline data so that in time the impact of an initiative is measurable.

When planning for data collection and management, factors such as who will be responsible for data collection, how often will it occur, and how will the data be managed and stored securely all need to be considered. Other considerations include the reliability of data collection methods, ethical considerations, and the resources required, such as templates, forms, or digital tools to facilitate data collection and analysis.

The steps presented in Table 2 for developing a data collection and management plan have been adapted from Markiewicz and Patrick (2016[3]) as a guide.

Most services for the three priority groups are provided by municipalities and/or NGOs, which means that little data is collected or available centrally and, furthermore, there is no consistent approach to what data is collected, and how, at the local level. In its report, *Personalised Services for People in Vulnerable Situations in Lithuania: Towards a More Integrated Approach,* the OECD made several recommendations for modernising Lithuania's IT infrastructure to better support service delivery, including introducing modern solutions for data exchange and analytics to systematically monitor and evaluate service provision (OECD, 2023[1]). Such changes however have significant budgetary implications and while any future IT developments should include consideration of the OECD's recommendations, Lithuania will need to consider data collection and management requirements for the case management models based on existing IT infrastructure.

Table 2. Planning for data collection and management

Data collection	1. Confirm data needs for both the monitoring system and evaluation plan.
	2. Determine which data are already collected e.g., what data does the initiative already collect and/or can data from existing datasets be used?
	3. Identify additional data collection methods e.g., interviews with service users.
	4. Identify the technical aspects of each method such as sampling approaches as well as implementation requirements and potential ethical issues.
	5. Determine the specifications for developing data collection tools such as interview guides, consent forms and information sheets.
Data management	1. Identify the range of data to be managed.
	2. Identify requirements for database systems.
	3. Determine how data analysis will be undertaken.
	4. Consider what data reports are required based on the needs of the audience(s).
	5. Consider and plan for the development of staff capacity for data management (if necessary).
	6. Plan for regular reviews of data systems.

Data analysis must also be planned for. Planning includes defining the analytical techniques that will be used to make sense of the data collected. As mentioned above, data analysis software and/or tools are available, however time, skills and resources to analyse the data collected is also required.

A useful discussion of data analysis can be found in the World Health Organisation's Evaluation Practice Handbook (2013[12]). Briefly, the steps recommended include:

- *Developing an analysis plan* that maps how the information collected will be organised, classified, interrelated, compared, and displayed relative to the evaluation questions.
- *Interpreting the findings* turns findings into judgements about results; recommendations for future actions are made based on those conclusions.
- *Drawing conclusions* (reasoned judgements) based on a synthesis of empirical findings; conclusions are not findings; they are interpretations that give meaning to the findings.
- *Making recommendations* that are evidence-based proposals for action. Recommendations go beyond conclusions and involve weighing up effective alternatives and policies, funding priorities, etc. They must be realistic and reflect the context of the decision-makers.
- *Providing lessons learned* based on the new knowledge that is gained from the initiative, context, outcomes and the evaluation methods that are applicable to and useful in other similar contexts.

Ethics

Monitoring and evaluation must be conducted in line with ethical principles. Specific ethical considerations will depend on factors such as the scope and scale of monitoring and evaluation activities, the types of data used and data collection methods. For example, large evaluation projects, particularly those conducted by universities may require approval from an appropriate ethics body. While smaller evaluations are less likely to need this form of approval, it is still important to think through and document how ethical considerations will be addressed. These considerations include, for example, how people will consent to participate in an evaluation, how to ensure their participation is voluntary, and how to protect their privacy through de-identification of data.

Some ethical principles (e.g., privacy) may already be covered by organisational policies. There are

however considerations that are specific to monitoring and evaluation. It is recommended that if fit-for-purpose ethics guidance does not already exist it be developed to guide not only judgements about monitoring and evaluation for the new case management model but also for other projects in the future.

Many examples of such guidelines exist. For example, New Zealand's Ministry of Social Development developed a Privacy, Human Rights and Ethics Framework (PHRaE) to identify and address risks associated with the collection, use and disclosure of personal information, and to ensure that information is used in a responsible, transparent, and trustworthy way. The PHRaE reflects relevant legislation, strategies, and policies such as New Zealand's Data Protection and Use Policy and the Algorithm Charter for Aotearoa New Zealand (Ministry of Social Development, n.d.[13]).

Actions for Lithuania to consider when planning data collection, management, and analysis:

1. Aim to establish a monitoring system early to collect data regularly and consistently, based on data needs identified.
2. The monitoring system (including data management and curation) should ideally be administered inhouse.
3. Ideally data requirements should be developed jointly by the relevant business and IT units.
4. Technical considerations should be considered by appropriately qualified staff.
5. Resource considerations should include investments in data collection, systems, data analysis software and/or tools and appropriately qualified staff.
6. Identifying which data are already collected will assist with any investment decisions about new data (and/or consider proxy measures).
7. Consider additional data collection methods e.g., interviews with service users and how this data will be collected, e.g., by external provider(s).
8. Data sources are likely to be external to the MSSL e.g., from municipalities and so arrangements/protocols will be required for collecting data from external organisations.
9. Consider mechanism(s) for managing ethical considerations such as developing guidelines.

Communicating and disseminating results

Monitoring and evaluation is an investment, and to maximise the return-on-investment, results should be communicated widely to inform decision-makers, stakeholders, and the public. Communication strategies should be considered at the planning stage as part of the M&E framework. According to the New South Wales Government (2013[14]), communicating monitoring and evaluation information helps to:

- disseminate knowledge, experiences and key lessons
- promote transparency and accountability
- improve evaluation quality
- contribute to learning and the development of stronger evidence bases
- reduce duplication of effort.

To meet the needs of the various stakeholders, it is likely that different products and ways of communicating them will be required. Products and communication channels will also be influenced by the different purposes of monitoring and evaluation.

Monitoring

Regular monitoring reports provide near real-time information about programme performance for decision-

making and improvement. Data can be both qualitative and quantitative. A reporting framework should be created early in the life of an initiative and define:

- What regular information is required to assess progress over time?
- Who will receive this information, what are their needs and how will the information collected be tailored to meet those needs?
- How will the information be communicated? (Use simple reporting formats, visualisations including tables and charts, and plain language to convey complex information effectively.)
- How often should monitoring reports be produced, for example, monthly, quarterly or annually? (The answers to these questions will be determined in part by stakeholders' information needs and the types of decisions monitoring information will inform.)

Good monitoring requires sufficient organisational capacity to produce and use performance information. Insufficient and/or underdeveloped monitoring systems may compromise data quality and reliability while overambitious reporting with too many indicators for example may stretch an organisation's capacity and resources to collect the data or make it difficult to identify genuine issues or emerging trends.

Evaluation

Evaluation is the periodic in-depth assessment of an initiative's effectiveness and impact. It can provide insight into the long-term success of an initiative and inform future policy and implementation decisions. How information is presented and shared should be appropriate to the audience(s). For example, a plainly worded summary may be helpful for participants and stakeholders, expert audiences will be looking for a technical report that outlines the methodology in detail and how it led to the findings while a full evaluation report may be necessary for funders and decision-makers. It is important to report back the evaluation findings to the people who participated in the evaluation.

An evaluation report should include the following elements (that are similar to the steps of an evaluation plan outlined above):

- the issue or need the initiative aims to address
- the purpose and objectives of the initiative
- a clear description of how the initiative is organised, including its activities
- the evaluation methodology (how the evaluation was conducted and why it was done that way)
- data analysis – a description of what data was collected and how and how it was analysed
- ethics – a description of how ethical obligations were met
- findings – what was learnt from the evaluation and how do the results compare to the objectives and outcomes of the initiative
- recommendations, i.e., detailed and actionable suggestions for possible changes to the initiative. (Not all evaluation reports will contain recommendations, it will depend on the requirements of the stakeholder who commissioned the evaluation. If the report does include recommendations, it can be a good idea to work with key stakeholders to develop a plan for how the recommendations will be implemented), and
- any limitations to the evaluation and its findings.

In addition to using evaluation findings within an organisation, there are many benefits to disseminating evaluation findings to a broader range of audiences. Sharing the findings of an evaluation can provide valuable information for other organisations or services that may be implementing similar programmes or working with similar groups of people. It can add to the evidence base about programmes that researchers, academics and implementers can draw on.

> **Actions for Lithuania to consider when planning a communication strategy**:
>
> 1. Develop a communication strategy that includes different products and communication channels to meet the needs of various audiences.
> 2. Identify the audiences who require monitoring and evaluation information and what their specific needs are.
> 3. Develop a regular reporting framework that meets the needs of relevant audiences.
> 4. Consider publishing monitoring and evaluation results.

Learning and improving

Monitoring and evaluation can help organisations to learn from their experiences and to improve their performance over time. By collecting and analysing data, organisations can identify best practices and replicate successful strategies in future policies or initiatives. If insights are not translated into action, monitoring and evaluation can be a (costly) waste of resources.

Markiewicz and Patrick (2016[3]) recommend including a learning strategy in a M&E framework to maximise the use of conclusions, recommendations and lessons learned from an initiative. A learning strategy explicitly guides the learning process by promoting opportunities for reflection and learning and identifying when and how they should occur. A learning strategy will be a work in progress; what works for an organisation and their stakeholders in terms of turning insights into action and creating enduring knowledge from those insights will evolve over time.

Monitoring reports often provide the first information about a new initiative and present an ideal opportunity to create early feedback loops. Programme and Monitoring and Evaluation staff can work together with stakeholders to make sense of programme information and identify both corrective actions (if necessary) and any broader learnings. Feedback loops increase the likelihood of insights being actioned (and in a timely way), reinforce a learning culture and facilitate meaningful engagement with stakeholders. Reporting methods are becoming more interactive and visual and support an increased level of stakeholder engagement – methods such as insight activation workshops, video reports, data visualisation through integrated knowledge management platforms, insight newsletters and infographics.

Sharing of good practices i.e., the process of exchanging knowledge, skills, experiences and lessons learned, is a particularly effective way of promoting learning and improving performance. A 'good practice' is defined as anything that has been tried and shown to work in some way – whether fully or in part but with at least some evidence of effectiveness – and that may have implications for practice at any level elsewhere. Good practices include promising practices, demonstrated practices, and replicated practices (Olivier Serrat, 2008[15]). A plan for sharing good practices should meet the needs and circumstances of an organisation and its stakeholders. Because knowledge is both explicit and tacit, the plan should ideally comprise both collaboration mechanisms, such as facilitated knowledge sharing sessions or communities of practice and written information such as a repository of good practices and other research and evidence that people can access.

A common example of an evidence repository is a clearinghouse. A clearinghouse is a central resource that collects, organises and disseminates information to people who are interested in or working in a specific field. Depending on the scope of a clearinghouse it can provide practitioners and policymakers with clear, actionable information on programmes that work, along with advice and information about research and evidence-based practice. It could also include practical easy-to-use resources for creating and using rigorous evidence to improve programme performance.

> **Actions for Lithuania to consider when developing a learning strategy:**
>
> 1. Plan regular (annual), facilitated best practice sharing events.
> 2. Consider involving stakeholders in interpreting programme information to identify both corrective actions and broader learnings.
> 3. Investigate creative and visual means of presenting information.

The capacities required for monitoring and evaluation

Regular and effective monitoring and evaluation that improves programme performance, supports a learning culture, and most importantly contributes to better outcomes for service users requires not only sufficient resourcing (financial and human) but also sustained and inspired leadership and potentially a shift in culture. Building the evaluation capacity and skills of everyone involved is paramount to facilitating the culture required and improving the use and quality of monitoring and evaluation outputs. Appropriate planning for monitoring and evaluation should include the roles and responsibilities for all those involved. Building and maintaining a monitoring [and evaluation] system requires providing sufficient financial, human, and technical resources for the task (Kusek and Rist, 2004[16]).

Human resources

There are many excellent online monitoring and evaluation guides (and accompanying templates) available e.g., the Australian Institute of Family Studies' Step by Step guide to evaluation (Jessica Smart, 2020[17]). These guides are typically designed for people who are going to conduct an evaluation themselves, or who are managing an in-house evaluation or are preparing to engage an external evaluator. However, and as pointed out above, data collection, analysis and evaluation are specialised fields and even with supporting guidance and/or software programmes, access to skills and knowledge from, ideally inhouse experts is almost always necessary.

Furthermore, it is not just technical data and evaluation expertise that is required. Strong programme management skills are also required. Someone needs to develop, own and keep a M&E framework up to date. This role needs to provide guidance about the programme and organisational elements required for the effective delivery of the activities identified in the M&E framework, including managing stakeholder relationships, financial management, and scoping information technology requirements. Managing monitoring and evaluation programmes is often done by someone with a monitoring and evaluation background. As well as having project or programme management skills they need to be skilled enough to question the advice they receive about data, results and methods and provide confidence to stakeholders that methods and results are robust. They also need to be able to translate findings for different audiences.

Other groups that require relevant capability include senior executives who need to understand the role of evaluation as a core component of evidence-based decision making, communicate evaluation findings to Ministers, and ensure findings are acted upon. Community-based stakeholders need to be supported to contribute effectively to developing theories of change, outcomes and indicators and sense-making of results. Service providers need to know how to deliver services in a way that allows for monitoring and evaluation, including data collection.

Technical resources

In addition to human resources, there will be information technology requirements, for example, having or putting in place adequate financial and data systems to capture and report on programme information,

and/or ensuring appropriate information management policies, frameworks and tools exist within agencies to ensure programme knowledge and history is maintained.

Financial resources

Funding, in addition to inhouse resources will almost always be required, for example to engage external evaluators, conduct surveys, and/or support service providers to meet data collection requirements. The funding that is allocated for monitoring and evaluation will significantly impact what can be done and in what timeframe. The monitoring and evaluation framework for a new programme should be scoped realistically, based on guidance such as that outlined in this report. Ideally, a discrete monitoring and evaluation budget would be agreed when funding for a new initiative is appropriated.

Options for building/acquiring capability

Ideally, agencies would have and/or develop some inhouse monitoring and evaluation capability and capacity but this takes time and considerable investment. An alternative is to draw on available external resources. For example, by creating a community of practice, teaming up with other agencies and/or external organisations such as universities or research institutes who have existing resources and tools who can share best practices. A community of practice could take on many different roles such as to:

- improve skills and share resources
- share knowledge, expertise and experiences across agencies
- develop a toolkit to create a common understanding of what monitoring and evaluation involves and how it can be applied in practice
- promote the role of monitoring and evaluation in delivering public value, and
- encourage a closer alignment between evaluation and programme/policy design.

Another option would be to form an alliance or partnership with one or more specialist bodies e.g., a university. To gain access to a range of experts a panel of preferred suppliers with a range of expertise could be created. Agencies could also pursue partnerships with evaluation bodies relevant to their portfolios to help build capability and capacity in their own organisation, such as the Australian example presented in Box 1.

Box 1. Legal Aid NSW, Australia

Legal Aid NSW, a collective in Australia that provides free advice to disadvantaged people, established a research alliance with the Law and Justice Foundation. As part of this alliance, the Foundation was engaged to undertake several large-scale evaluations and to act in a capacity building role through the provision of research and evaluation workshops delivered to internal staff. The workshops included building evaluation into the project design stage and identifying data needs and collection avenues. The alliance also provides ad-hoc consultation processes for current projects and their evaluation.

Source: (NSW Government, 2013[14])

The solution will depend on the level of investment the government can or is willing to make over time in monitoring and evaluation. Ideally, agencies would combine developing some inhouse capability with access to external expertise, a trusted university perhaps or a panel of preferred suppliers, from academia and the private sector. While a community of practice within government is a good idea (and it could also include private sector organisations) it relies on other government agencies having some capability and the motivation to share and grow it collaboratively.

Actions for Lithuania to consider when identifying the capacities required for monitoring and evaluation:

1. Identify sufficient financial, human and technical resources to develop and implement a M&E framework.
2. Adapt existing monitoring and evaluation templates for Lithuania's purposes, supported by strong and appropriate programme management skills (i.e., someone who 'owns' the M&E framework).
3. Develop some (ideally inhouse) data collection, analysis and evaluation expertise.
4. Develop a business case for funding to build some inhouse monitoring and evaluation capability.
5. Explore external expertise options, i.e., a trusted university or panel of preferred suppliers, from academia and the private sector or a government community of practice.

Conclusion

Monitoring and evaluation activities are critical both to the successful implementation of an initiative and to understanding whether the activities are making a positive difference for service users, i.e., is the initiative being delivered as planned, is it reaching the right people, and are the outcomes that were expected being achieved?

Monitoring and evaluation are complementary practices; both are necessary. Regular monitoring should start early in the life of an initiative as it can provide valuable information about progress and provide an early warning of any issues. Ideally, evaluation should take place at certain points in the lifecycle of an initiative, from design and piloting through to implementation and ongoing mainstream delivery.

Effective implementation of a M&E framework requires not only sufficient financial, human, and technical resources but also adequate planning and an organisational culture that promotes the quality and use of monitoring and evaluation outputs.

Given monitoring and evaluation capabilities are likely to be limited in the relevant public organisations, Lithuania could consider a mixed model including appointing an internal M&E champion, developing inhouse capacity (particularly for monitoring activities) and drawing on external expertise, for example, an alliance with a university.

Recommended actions

- Adopt an inclusive approach to developing a M&E framework; use the opportunity to strengthen institutional capacity and awareness of the importance of monitoring and evaluation.
- Assign ownership for leading the development of the M&E framework and overseeing ongoing implementation to an appropriately qualified person, ideally an internal role.
- Use a manageable scope to undertake a ToC process(es), leveraging relationships built with stakeholders throughout the project; consider who else needs to be involved.
- Choose a small number of SMART indicators to measure both implementation and effectiveness over time i.e., improvements in service users' outcomes.
- Develop an evaluation plan early.
- Put a monitoring system in place early.
- Identify the various audiences who will be interested in monitoring and evaluation findings and ensure the communication strategy meets their information needs.
- Promote knowledge-sharing among stakeholders.
- Make any necessary adjustments to the case management model(s) based on MONITORING AND EVALUATION results.
- Allocate sufficient and appropriate human and financial resources for monitoring and evaluation activities.
- If necessary, develop a business case for funding monitoring and evaluation activities that includes both building inhouse capability and accessing external expertise.
- Explore a mechanism for accessing external expertise and building a trusted partnership(s) for example with a university.
- Regularly review and update the monitoring and evaluation framework and its individual components to ensure it remains relevant.

References

Clark, H. and A. Anderson (2004), *Theories of Change and Logic Models: Telling Them Apart*, https://www.theoryofchange.org/wp-content/uploads/toco_library/pdf/TOCs_and_Logic_Models_forAEA.pdf. [6]

Jessica Smart (2020), *Planning an Evaluation: step by step*, Australia Institute of Family Studies, Victoria, Australia, https://aifs.gov.au/sites/default/files/publication-documents/2006_planning_and_evaluation_step_by_step_0.pdf (accessed on 22 September 2023). [17]

Kusek, J. and R. Rist (2004), *Ten Steps to a Results-Based Monitoring and Evaluation System*, The World Bank, Washington D.C., https://www.oecd.org/dac/peer-reviews/World%20bank%202004%2010_Steps_to_a_Results_Based_ME_System.pdf (accessed on 6 July 2023). [16]

Litmus (2022), *The Intensive Case Manager and Navigators Initiatives Evaluation Report*, Ministry of Social Development, Wellington, New Zealand, https://www.msd.govt.nz/documents/about-msd-and-our-work/publications-resources/evaluation/intensive-case-management-and-navigator-initiatives/icm-evaluation-report.pdf. [10]

Markiewicz, A. and I. Patrick (2016), *Developing Monitoring and Evaluation Frameworks*, Thousand Oaks, CA: SAGE. [3]

Ministry of Social Development (n.d.), *Using personal information responsibly: The Privacy, Human Rights and Ethics Framework*, https://www.msd.govt.nz/about-msd-and-our-work/work-programmes/initiatives/phrae/index.html (accessed on 22 September 2023). [13]

NSW Government (2013), *Evaluation Framework*, NSW Government, https://www.betterevaluation.org/tools-resources/nsw-government-evaluation-framework. [14]

OECD (2023), *Impact by Design: Effective Results Frameworks for Sustainable Development*, https://capacity4dev.europa.eu/library/oecd-toolkit-impact-design-effective-results-frameworks-sustainable-development (accessed on 10 July 2023). [7]

OECD (2023), *Personalised Public Services for People in Vulnerable Situations in Lithuania: Implementing a case management model*, OECD Publishing, http://oe.cd/social-services-lithuania-2023. [2]

OECD (2023), *Personalised Public Services for People in Vulnerable Situations in Lithuania: Towards a More Integrated Approach*, OECD Publishing, https://doi.org/10.1787/e028d183-en. [1]

OECD (2002), *Evaluation and Aid Effectiveness No.6 - Glossary of Key Terms in Evaluation and Results Based Management (in English, French and Spanish)*, OECD Publishing, https://doi.org/10.1787/9789264034921. [4]

Olivier Serrat (2008), *Identifying and sharing good practices*, Asian Development Bank, Manila, https://www.adb.org/sites/default/files/publication/27598/identifying-sharing-good-practices.pdf. [15]

Ontario Centre of Excellence for Child and Youth Mental Health (2103), *Program evaluation toolkit*, Ontario Centre of Excellence for Child and Youth Mental Health, Ottawa, https://www.cymha.ca/en/index.aspx. [8]

Rossi, P., H. Freeman and M. Lipsey (1999), *Evaluation: A Systematic Approach, Sixth Edition*, Sage Publications, 2455 Teller Road, Thousand Oaks, CA 91320, United States. [11]

Weiss, C. (1995), "Nothing as practical as good theory: Exploring theory-based evaluation for comprehensive community initiatives for children and families.", in J. Connell et al. (eds.), *New approaches to evaluating comprehensive community initiatives*, The Aspen Roundtable Institute, New York. [5]

World Bank (2012), *Designing a Results Framework for Achieving Results: a How-To Guide*, World Bank, Washington D.C., https://documents1.worldbank.org/curated/en/331541563854787772/pdf/Designing-a-Results-Framework-for-Achieving-Results-A-How-to-Guide.pdf (accessed on 10 July 2023). [9]

World Health Organisation (2013), *WHO evaluation practice handbook*, WHO, https://iris.who.int/handle/10665/96311 (accessed on 22 September 2023). [12]

Annex A. Example Table of Contents for a M&E Framework

<table>
<tr>
<td colspan="2">PROPOSED TABLE OF CONTENTS FOR A M&E FRAMEWORK

(Adapted from Markiewicz, A. and I. Patrick (2016), Developing Monitoring and Evaluation Frameworks (Markiewicz and Patrick, 2016[3]))</td>
</tr>
<tr>
<td>1</td>
<td>Purpose of the M&E Framework

1.1 Purpose and Focus
1.2 Key Stakeholders
1.3 Requirements and Expectations</td>
</tr>
<tr>
<td>2</td>
<td>Background and Context to the Programme

2.1 Programme Context
2.2 Goal & Objectives
2.3 Programme Design</td>
</tr>
<tr>
<td>3</td>
<td>Theory of Change

3.1 Considerations (e.g., external factors and constraints)
3.2 Participatory Approach
3.3 Results Chain
3.4 Indicators Framework</td>
</tr>
<tr>
<td>4</td>
<td>The Evaluation Plan

4.1 Evaluation Purpose and Evaluation Audience/s
4.2 Evaluation Questions
4.3 Evaluation Design</td>
</tr>
<tr>
<td>5</td>
<td>Data Collection, Management and Analysis Planning

5.1 Data Collection Plan
5.2 Managing Potential Ethical Issues
5.3 Data Management Plan
5.4 Preparing for Data Analysis</td>
</tr>
<tr>
<td>6</td>
<td>Communicating and Disseminating Results

6.1 Reaching Conclusions
6.2 Monitoring Plan
6.3 Communication Strategy
6.4 Reporting Framework
6.5 Publication Plan</td>
</tr>
<tr>
<td>7</td>
<td>Learning Strategy

7.1 Identify Recommendations and Lessons
7.2 Best Practice Sharing Events
7.3 Participatory Approach
7.4 Planning for Presenting Information</td>
</tr>
<tr>
<td>8</td>
<td>Implementation Considerations

8.1 Human Resources, Technical and Financial Considerations
8.2 Programme Management Arrangements
8.3 Ongoing Monitoring of the M&E Framework</td>
</tr>
</table>