Monitoring & Evaluation

General Monitoring & Evaluation Policy

trustea sustainable tea foundation

trustea Secretariat
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Disclaimer

This General Monitoring and Evaluation (M&E) Policy is an internal document of trustea. The policy is intended to provide an overarching framework for the governance of M&E function within trustea. The policy itself or any part of it should not be shared with any external party without written permission of the Director of trustea.
Version control and revision history

<table>
<thead>
<tr>
<th>Department</th>
<th>Monitoring &amp; Evaluation</th>
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Policy approval

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<tr>
<th>Manual ownership</th>
<th>Head, M&amp;E</th>
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<tr>
<td>Manual Approved by</td>
<td>Trustea Council</td>
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<tr>
<td>Director name and signature</td>
<td>Rajesh Bhuyan</td>
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<td>01 December 2021</td>
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About trustea

trustea is an Indian sustainability code and verification system for the tea sector. The Code is working with smallholder tea growers (STGs), bought leaf factories (BLFs), estates and packers to address some of the key challenges in the industry including working conditions, health and safety of tea workers, water pollution, food safety, soil erosion and contamination.

The code enables producers, buyers and others involved in Indian tea businesses to obtain tea that has been produced according to agreed, credible, transparent and measurable criteria.

trustea has the following mission and vision.

trustea’s Mission:

To sustainably transform the Indian tea industry for the benefit of consumers, workers, farmers and the environment, by:

- Verifying tea producers against a world class sustainability code of conduct.
- Working with tea industry to address key sustainability challenges such as food safety, stagnating yields, pest and disease control, living wages, worker welfare and equality, preservation of biodiversity and improvement of livelihood of smallholders.

trustea’s Vision:

Indian tea industry provides high quality and safe tea for consumers, good livelihoods for producers, workers and their families, whilst at all times caring for the natural environment.
trustea’s Theory of Change defines the pathway from the activities to outputs, to outcomes leading to impacts, which ultimately will enable trustea to achieve its sustainability goal.

The function of M&E is to track progress of activities and measure outputs and outcomes being achieved through an objective methodology using quantitative and qualitative data. The M&E framework will also evaluate outcomes and impacts to ascertain the extent to which the desired change and the sustainability goal has been achieved.

### trustea’s Sustainability Goal

*An Indian tea industry providing high quality and safe tea to consumers, good livelihoods for producers, workers and their families, whilst at all times caring for the natural environment.*

trustea will be regularly monitoring its activities, outputs and outcomes and periodically evaluating its impacts through the M&E function.

<table>
<thead>
<tr>
<th>Activities</th>
<th>Outputs</th>
<th>Outcomes</th>
<th>Impacts</th>
</tr>
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<tbody>
<tr>
<td>Code revision</td>
<td>Capacitated entities</td>
<td>Entities commitment towards sustainability</td>
<td>Sectoral and Governance level sustainable practices</td>
</tr>
<tr>
<td>Revision of assurance process</td>
<td>trustea certifications</td>
<td>Environmental improvement</td>
<td>Sustainable Business Practices</td>
</tr>
<tr>
<td>Stakeholder engagement</td>
<td>Adoption of improved practices</td>
<td>Societal improvements</td>
<td>Sustainable practices and livelihood on the field and among community associated with tea production</td>
</tr>
<tr>
<td>Monitoring code and processes</td>
<td>Certified producers able to demonstrate supply of responsibly produced tea</td>
<td>Economic improvements</td>
<td></td>
</tr>
<tr>
<td>Research and Development</td>
<td>Relevant and credible trustea code</td>
<td></td>
<td></td>
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<tr>
<td>Training, support and advice</td>
<td>Credible assurance system</td>
<td></td>
<td></td>
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<tr>
<td>Implementation partnership</td>
<td>Accessibility and understanding of trustea code</td>
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trustea TOC document defines the Theory of Change in greater detail. The indicators measuring the activities, outputs, outcomes and impact have also been developed and are part of the Logical Framework document.
3 trustea’s commitment to ISEAL Credibility Principles

<table>
<thead>
<tr>
<th>Credibility Principles</th>
<th>Relation to Impacts</th>
<th>trustea’s M&amp;E policy towards fulfilment of ISEAL credibility principle</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Sustainability</strong></td>
<td>Standards systems articulate their sustainability objectives (the intended outcomes and impacts of their system). There is a monitoring and evaluation system in place to evaluate the effectiveness of the standards system in achieving its stated sustainability objectives.</td>
<td>trustea’s sustainability goal, impacts and outcomes are clearly articulated in its Theory of Change and the accompanying Logical Framework. This M&amp;E Policy document provides the M&amp;E framework to objectively measure the outputs and evaluate the achievement of sustainability objectives.</td>
</tr>
<tr>
<td>Standards scheme owners clearly define and communicate their sustainability objectives and approach to achieving them. They make decisions that best advance these objectives.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>2. Improvement</strong></td>
<td>Results and learning from the monitoring and evaluation system are integrated to improve the structure and functioning of the standards system, the content of the standards and other strategies, and the monitoring and evaluation system itself, so as to achieve the desired sustainability objectives.</td>
<td>This M&amp;E Policy clearly defines, M&amp;E as an improvement function. The M&amp;E function has to flag any deviation from the desired outputs and outcomes that can adversely affect achievement of sustainability goals. The M&amp;E apart from flagging such risks will also be providing recommendations to the management. The findings of M&amp;E will be a critical input for trustea in improving its standards system.</td>
</tr>
<tr>
<td>Standards scheme owners seek to understand their impacts, and measure and demonstrate progress towards their intended outcomes. They regularly integrate learning and encourage innovation to increase benefits to people and the environment.</td>
<td></td>
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</tr>
</tbody>
</table>
3. Rigour
All components of a standards system are structured to deliver quality outcomes. In particular, standards are set at a performance level that results in measurable progress towards the scheme’s sustainability objectives, while assessments of compliance provide an accurate picture of whether an entity meets the standard’s requirements.

The monitoring and evaluation system delivers clear and verifiable information about the effectiveness of the standard and other strategies in achieving sustainability objectives. The standards system employs mechanisms to ensure the quality of performance monitoring data and of outcome and impact evaluations.

The trustea’s Logical Framework clearly defines the objectively verifiable indicators for all its key activities, outputs, outcomes and impact. The M&E function will be measuring the performance and the achievements against these indicators through baseline-endline comparison. In addition, the findings will also be corroborated through qualitative inputs from various stakeholders. The M&E will utilize various research tools – questionnaire survey, interviews, MIS data; to gather information on the defined indicators. Furthermore, this M&E policy also stipulates periodic evaluations and impact assessments to be performed by independent external agencies using internationally acceptable evaluation framework and methodology.

4. Transparency
Standards systems make relevant information freely available about the development and content of the standard, how the system is governed, who is evaluated and under what process, impact information and the various ways in which stakeholders can engage.

Standards systems make information about the monitoring and evaluation system and about the results of outcome and impact evaluations publicly available. Stakeholders are aware of the standards system’s intended outcomes and impacts, and how the monitoring and evaluation system will assess progress towards those objectives. Evaluation results are also open to the scrutiny of all stakeholders.

This M&E Policy of trustea requires trustea to share its M&E findings. The results of monitoring have to be shared with the Council, with the management and with the partners of trustea - entities, Implementation Partners and the Certification Bodies. The outcome evaluation and impact assessment reports will be made public by uploading the reports on trustea website, sharing through social media and presenting findings in conferences and other similar forums.

5. Truthfulness
Claims made about outcomes and impacts are based on knowledge

All claims made by trustea about its certification code and its outcome and
Claims and communications made by actors within standards systems and by certified entities about the benefits or impacts that derive from the system or from the purchase or use of a certified product or service are verifiable, not misleading, and enable an informed choice. Impact will be backed by objective data coming from the certification exercises and monitoring and evaluation reports.

3.1 Intended and Unintended Outcomes:

<table>
<thead>
<tr>
<th>Significant indicators</th>
<th>Significant Intended Outcome</th>
</tr>
</thead>
<tbody>
<tr>
<td>Climate resilient</td>
<td>A robust, credible, &amp; self-financing verification scheme for the tea supply chain driven by a combination of market demand &amp; ownership of the tea industry stakeholder who is actively involved in managing and reviewing the code.</td>
</tr>
<tr>
<td>Good Natural Capital Management</td>
<td>Improved smallholder livelihood through the gains in profitability, productivity, &amp; access to services.</td>
</tr>
<tr>
<td>Circular economy in the tea Industry</td>
<td>Improved worker welfare particularly in relation to wages, human rights, &amp; safety</td>
</tr>
<tr>
<td>Entities become socially responsible</td>
<td></td>
</tr>
<tr>
<td>Entities focus on a safe working environment</td>
<td></td>
</tr>
<tr>
<td>Empowered women &amp; youth</td>
<td></td>
</tr>
<tr>
<td>Resilient, economically viable working environment</td>
<td>Buyers are able to source &amp; producers are able to maintain the supply chain with continuous improvement by practicing the safe and sustainable assurance system for their product line by pursuing traceability, food safety, and a safe working place</td>
</tr>
<tr>
<td>Availability of safe sustainably produced tea</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Unintended Positive Outcome</th>
<th>Unintended Negative Outcome</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reduction of sexual harassment and violence against women in the domestic space due to the knowledge imparted at the workplace on</td>
<td>Deforestation - which causes limited expansion of the tea garden resulting in restricted income sources and affecting overall profitability.</td>
</tr>
</tbody>
</table>
4 Purpose and Scope of M&E

The purpose of the General M&E Policy at trustea is to provide an overarching framework to regularly monitor the activities and outputs and to measure the outcomes and impacts to ensure that trustea is able to achieve its mission, vision and its sustainability goal.

4.1 M&E Policy Manual

trustea will have an M&E Policy Manual describing the process of monitoring and evaluation along with the necessary tools for monitoring.

4.2 Scope of M&E

The M&E framework will be aligned to the Theory of Change of trustea that provides the pathway from activities to impact. This will be applicable in the states in India where trustea is functional. The M&E function of trustea will have the following objectives:

Monitoring

1. To track the progress of various activities of trustea at regular frequency.
2. To measure the outputs achieved through various activities, using objective and measurable indicators, as defined in the Logical Framework Analysis (LFA).
3. To assess the quality of the outputs being generated against the timelines and resources utilized.
4. To provide independent feedback to the management on the progress and the quality of outputs and outcomes being achieved.
5. To flag any risk of deviation from the planned activities, outputs and outcomes and to provide recommendations for the course correction.

Evaluation
1. To periodically conduct evaluation of outcomes and impact.
2. The initiate and support in conducting evaluation of outcomes and impacts through independent external agencies.
3. To make the results of M&E available to the stakeholders including the Council, management, partners and public at large.

In order to achieve the above objectives, M&E will have the following scope of work:

i. To periodically gather data on various monitoring indicators
ii. Conduct onsite visits to stakeholders to get data and feedback from them on progress indicators. The data gathering will be done from following stakeholders:

Key stakeholders to be covered for monitoring and evaluation

<table>
<thead>
<tr>
<th>Stakeholders</th>
<th>Purpose under M&amp;E</th>
</tr>
</thead>
</table>
| **Internal department teams of trustea – System Assurance Management, IT, Communication and operations** | • To review the activities performed  
• To assess effectiveness of processes  
• To assess progress on performance indicators |
| **Entities – TGs, BLFs and Estates**               | • To assess the outcomes and impacts of code and certifications  
• To gather feedback on relevance of code  
• To assess effectiveness of support being provided  
• To gather feedback on effectiveness of certification processes |
| **Implementing Partners (IPs)**                    | • To assess operational capacity of IPs  
• To assess effectiveness of IPs’ activities and outputs  
• To gather feedback on processes and support from trustea  
• To assess willingness and ability to continue with code related activities |
| **Certification Bodies (CBs)**                     | • To assess effectiveness of certification process  
• To gather feedback on processes and support from trustea  
• To assess willingness and ability to continue with certifications |
| **Civil society, government agencies, Commercial Partners (CPs) and consumers** | • To assess public opinion and changes in the industry  
• To gather feedback on relevance of code  
• To assess the future direction for code and certification |

iii. Develop and update tools for data gathering
iv. Data analysis and reporting
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v. Providing recommendations for course correction and improvement of processes and policies
vi. Providing feedback and recommendations during code revision exercises
vii. Providing feedback and recommendations for certification process or system assurance revisions
viii. Submission of reports and presentation of findings and recommendation to the Council and the management
ix. Engagement of external consultants for independent evaluation and Impact Assessments
x. Support consultants in evaluation and impact assessment
xi. Ensuring dissemination of evaluation findings

4.3 Critical Elements of the M&E framework

<table>
<thead>
<tr>
<th>Elements of Trustea M&amp;E Framework</th>
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<tbody>
<tr>
<td>General M&amp;E Policy</td>
</tr>
<tr>
<td>To provide overarching policy framework for M&amp;E</td>
</tr>
<tr>
<td>M&amp;E Policy Manual</td>
</tr>
<tr>
<td>To provide guidelines for execution of M&amp;E</td>
</tr>
<tr>
<td>Trustea Council</td>
</tr>
<tr>
<td>To define M&amp;E related policy and provide oversight</td>
</tr>
<tr>
<td>M&amp;E department/team</td>
</tr>
<tr>
<td>To execute M&amp;E, report and recommend</td>
</tr>
<tr>
<td>Logical Framework</td>
</tr>
<tr>
<td>To provide list of indicators for M&amp;E reporting</td>
</tr>
<tr>
<td>Research tools &amp; software</td>
</tr>
<tr>
<td>To gather data on indicators</td>
</tr>
<tr>
<td>Dashboard and reports</td>
</tr>
<tr>
<td>To present findings of M&amp;E</td>
</tr>
</tbody>
</table>

4.4 Critical Elements of the M&E framework

i. To periodically review the M&E framework and process, either internally or through engagement of consultants
ii. To periodically update M&E methodology and process as per requirement, based on the review
iii. To update M&E tools and data reporting methods

4.5 Resources for M&E
To conduct M&E activities as per the scope and as per the defined M&E framework, *trustea* will allocate adequate resources in terms of budget and human resources to conduct M&E function.
5.1 M&E structure

Management
trustea will have an M&E Department headed by a dedicated M&E Team Lead/Head, M&E. The Head, M&E will be reporting to the trustea council. Until the time trustea has a separate M&E department, the function can be managed internally by the existing team, which can be provided additional charge for M&E. Alternatively, trustea will hire an independent third party agency to conduct the full-scale impact report and the significant outcome survey will be carried out once in two years by the external agency. The impact reports will be submitted to and approved by the council.

However, in that case too some internal staff must be made in charge for coordination of monitoring process and collating monitoring reports.

Head, M&E will also have functional reporting to the Director of trustea to apprise the Director directly of any important findings and recommendations.

5.2 Terms of reference for the M&E Committee

The M&E committee will provide strategic direction to the M&E Function and periodically review the status of M&E in the organisation. It will also ensure that the M&E function is robust and is adequately
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capturing the efforts of trustea and the results being achieved. The M&E Committee will function under the authority provided in this General M&E policy, approved by the trustea Council.

Composition
The trustea council will decide the composition of the M&E Committee. The M&E Committee must have at least two members.

Responsibilities of M&E committee

- Approve M&E framework and M&E policies and processes.
- Periodically review the M&E process developed by M&E department to confirm if it is relevant, adequate and appropriate from the organization’s sustainability goal perspective.
- Set out the nature, role, responsibility and authority of the M&E function of the institution.
- Ensure that there are effective procedures and adequate resources available to conduct M&E function.
- Approve engagement of external evaluators and approve the scope of work for external evaluations and assessments.
- Ensure that the M&E reports are shared with the relevant stakeholders and the evaluation reports are made public.
- To ensure that the management does not make unsubstantiated claims about the outputs, outcomes, and impacts of the adoption of code or the certification process, that are not supported by the M&E findings or run contrary to them.
- To ensure that the findings of the M&E are incorporated in the management decision-making, resulting in the improvement of code and certification-related activities and processes.
- Review the impact of changes in the external environment and accordingly oversee the changes needed in the M&E function.
- Receive and review the monitoring reports at least once a year frequency.
- To approve the appointment of the Head of the M&E department.

Authority
The M&E Committee can seek report or review documents for any department. It can also appoint an external agency or direct the M&E department to conduct any monitoring or evaluation exercise any time with general or specific scope as it may consider fit.

Reporting
Issues related to M&E will be recorded separately in the minutes of the meeting of the M&E committee and placed before the Council for review.

Meetings
M&E committee will meet at least two times in a year, with a gap of not more than seven months in between two meetings.

### 5.3 Role of the M&E Team

<table>
<thead>
<tr>
<th>Team</th>
<th>Role</th>
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<tbody>
<tr>
<td><strong>Head of M&amp;E</strong></td>
<td>• To plan developing monitoring plan</td>
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<tr>
<td></td>
<td>• To decide scope and coverage of M&amp;E exercises</td>
</tr>
<tr>
<td></td>
<td>• To take approvals from Council and/or Director for conducting M&amp;E</td>
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<tr>
<td></td>
<td>exercise in each period</td>
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<td></td>
<td>• To carry out resource planning and engage adequate team for M&amp;E</td>
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<tr>
<td></td>
<td>• To develop M&amp;E budget and take approvals</td>
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<tr>
<td></td>
<td>• To coordinate M&amp;E visits and data gathering with stakeholders</td>
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<tr>
<td></td>
<td>• To manage and coordinate with M&amp;E team</td>
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<td></td>
<td>• To take feedback of individual departments while conducting</td>
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<tr>
<td></td>
<td>monitoring or evaluation</td>
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<td></td>
<td>• To review and finalize M&amp;E reports</td>
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<td></td>
<td>• To share M&amp;E reports with stakeholders – Council, Director, trustea</td>
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<tr>
<td></td>
<td>departments, partners (entities, IPs and CBs) and public</td>
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<td></td>
<td>• To raise timely flags if the activities, outputs or outcomes are</td>
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<td>deviating from the expected targets</td>
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<td></td>
<td>• To provide recommendations towards improvement of process and in</td>
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<td></td>
<td>execution of various activities</td>
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<td></td>
<td>• To manage engagement of independent consultants for conducting</td>
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<tr>
<td></td>
<td>periodic independent Evaluation or impact assessments</td>
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<td></td>
<td>• To support the external agencies in conducting assessments</td>
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<td></td>
<td>• To present evaluation reports to the Council, Management and</td>
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<tr>
<td></td>
<td>partners of trustea</td>
</tr>
<tr>
<td></td>
<td>• To make the evaluation reports public</td>
</tr>
<tr>
<td></td>
<td>• To adhere to the Code of Ethics</td>
</tr>
<tr>
<td><strong>Review M&amp;E process</strong></td>
<td>• To periodically review M&amp;E process, methodology and tools,</td>
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<tr>
<td></td>
<td>engaging stakeholders in the process</td>
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<tr>
<td></td>
<td>• To update and upgrade M&amp;E methodology and data tools as per need</td>
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<td></td>
<td>• To update M&amp;E Policy document</td>
</tr>
<tr>
<td></td>
<td>• To present M&amp;E policy revisions to the Council and get the revised</td>
</tr>
<tr>
<td></td>
<td>policy approved</td>
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<tr>
<td><strong>M&amp;E team members</strong></td>
<td>• To conduct M&amp;E activities as per the plan</td>
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<td></td>
<td>• To adhere to the scope of M&amp;E and the sampling guidelines as</td>
</tr>
<tr>
<td></td>
<td>provided by the Head of M&amp;E</td>
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<tr>
<td></td>
<td>• To gather M&amp;E data</td>
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<td></td>
<td>• To conduct data analysis</td>
</tr>
<tr>
<td></td>
<td>• To prepare Draft M&amp;E reports and submit them to the Head, M&amp;E</td>
</tr>
</tbody>
</table>
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- To adhere to the Code of Ethics
6 M&E Policy review

6.1 Purpose of review

Reviewing the M&E policy will be an exercise conducted to check if the M&E methodology, tools and processes being followed continue to remain:

- Independent and objective
- Adequate and sufficient
- Relevant and effective

With the expansion of operations, change in the nature of activities of trustea, revision in code or for various other reasons; the methodology, frequency or tools being used in M&E might not remain effective and hence may need updation or change. The M&E review process conducted will help in assessing whether the existing M&E framework is still robust and relevant.

M&E review process will provide recommendations on the required changes and the reason for the recommendations.

M&E review process may not necessarily lead to revision of M&E framework. It will depend on the results of the M&E review process and the recommendations therein.

6.2 Frequency of review

The M&E review will be done annually. The gap between any two reviews should not exceed 14 months.

For any initiation of review before the expiry of one year, the request must be raised by the Head-M&E to the M&E committee, along with the reason for the urgency and approval must be taken from the M&E committee.

6.3 Review Process and reporting

The M&E review process will be conducted by the M&E department. The report of the review will be submitted by the Head, M&E to the Council with specific recommendations. Review process will have the following scope:

6.4 Minimum scope for M&E review process

Assessment

- Key activities conducted under M&E during the year
- Any major changes in the code, operational policies or processes of trustea in last one year
- Any major changes in government policy related to tea industry in last one year
• Any major changes in the tea industry processes, technology, value chain or in type or role of stakeholders in last one year
• Any other new development in the industry that is of relevance to trustea code or certification process
• Feedback of key stakeholders of trustea on relevance of code, support activities, certification processes and M&E process

Implications for trustea M&E
The review process should highlight the implications of any of the major changes, as assessed above, on trustea, on trustea code, on trustea processes and on trustea’s activities, outputs etc. Based on these, the need for revising the M&E policy, processes or indicators should be assessed.

Recommendations
In light of the implications, the recommendations towards:
• Need for change in M&E process along with the proposed changes
• Any changes needed in the M&E indicators along with the proposed changes
• Any other recommendations
7. Independence and Objectivity of M&E

7.1 Independence

To maintain independence of M&E, following policies will be followed:

i. **Reporting to M&E committee:** The Head of M&E will have direct reporting on the outcomes to the Council. However, to make M&E improvement-oriented, efficient and effective, the M&E Head will also have functional reporting to the Director of trustea.

ii. **M&E process and modifications:** The M&E Policy, scope of M&E, coverage of M&E, tools of M&E or any other critical aspect related to execution of M&E or its revision will only be managed by the M&E department and approved by the trustea council. However, M&E department must seek inputs from the trustea management teams and the Director.

iii. **Appointment or removal of Head M&E:** Head of M&E can be appointed or replaced only by the council of trustea.

iv. **Resources for M&E:** Human resource or material resources needed for conducting the M&E as per plan will be approved by the M&E committee.

v. **Independence of Head, M&E:** trustea will have an independent and dedicated Head of M&E. She/he will not be engaged, as a regular responsibility or part of job, in any direct implementation of code or other support activities.

vi. **Evaluation exercises:** Any evaluation or impact assessment study either done internally or through external agencies will be approved by the council and the report will have to be presented to the council by the Head, M&E.

7.2 Objectivity

The objectivity of M&E will be ensured through following policies:

i. **Role of Internal M&E team:** The organization, if needed, may provide roles or responsibilities to Head of M&E or any of the M&E team members activities beyond the monitoring and evaluation function. However, in doing so it will be ensured that the activities are not in direct conflict with the M&E related works; do not compromise objectivity and independence of M&E team or do not encroach on time of M&E team in performing their regular M&E activities.

ii. **Individual objectivity:** M&E team will be impartial, unbiased and will avoid any conflict-of-interest situation. They should make full disclosure of it, should such a situation arise. Conflict of interest is a situation in which an M&E team member has a competing professional or personal interest. M&E team member should not be monitoring or evaluating any activity or in which she or he had in past played a role towards implementation, advisory, consulting, training or support.
iii. **Methodology:** The objectivity of M&E findings will be maintained through use of measurable indicators to assess the outcomes and impact of code and certification process. The monitoring and evaluation methodologies must be able to compare baseline data of entities on important indicators with the data collected on those indicators during monitoring or evaluation exercises.

iv. **Code of Ethics:** M&E team members will always adhere to the M&E Code of Ethics.

v. **External evaluation:** The M&E activities of trustea will involve external third-party evaluation of trustea efforts, outcomes and impacts, and the reports will be made public.

### 7.3 Proficiency

M&E team must collectively possess the knowledge, skills, and other competencies needed to perform their individual responsibilities. It will be the responsibility of the Head of M&E Department to ensure that competent resources with adequate educational, professional and technical knowledge on functional areas and processes are engaged for monitoring and evaluation. While Head, M&E may determine the exact profile of the potential team member, at the minimum, all team members of M&E departments must be:

- Graduates
- Should have at least 1 year of relevant professional experience
8  M&E Frequency and report sharing

8.1  Frequency

The frequency of monitoring and evaluation will be decided by the M&E Head and approved by the council.

The frequency of monitoring should be such that it can provide effective feedback to the management towards and time for course correction and improvement. The frequency as approved by the council should be included in the M&E Manual.

Similarly, for Evaluation or Impact Assessment studies, the frequency or time for evaluation can be decided by the council. However, as a guiding principle, the council should consider getting external evaluations done at least once every 3 years. Any gap between two external evaluations of more than 3 years must be informed to the council along with the reason for such a gap.

8.2  Monitoring reports and sharing of reports

The reports of monitoring must include key findings highlighting any deviations and must provide recommendations for any course correction. The monitoring reports must be shared with the following stakeholders:

- Council of trustea
- The Director of trustea
- All department Heads of trustea
- Concerned stakeholders, where findings or recommendations are concerning that particular stakeholder.

8.3  Sharing of the evaluation report

The evaluation reports must be presented to the council, to the Director of trustea and all the Department Heads. The report must also be published on the website of trustea and its Executive Summary or summary presentation should be published on social media platforms of trustea.

All the direct partners of trustea including the Funding Agencies, Certification Bodies, Implementing Partners and entities should be shared a copy of the report.
## M&E Code of Ethics

### Integrity

*M&E team will have level of integrity to establish trust and thus provide the basis for reliance on their judgement.*

**M&E team:**

i. Shall perform their work with honesty, diligence and responsibility.

ii. Shall observe the law and make disclosures expected by the law and the profession.

iii. Shall not knowingly be a party to any illegal activity, or engage in acts that are discreditable to their profession or to the organisation.

iv. Shall respect and contribute to the legitimate and ethical objectives of the organisation.

### Objectivity

*M&E team will be objective in gathering, evaluating, and communicating information about the activity or process being examined. The team will make a balanced assessment of all the relevant circumstances and will not unduly influenced by their own interests or by others in forming the judgements.*

**M&E team:**

i. Shall not participate in any activity or relationship that may impair or be presumed to impair their unbiased assessment. This participation includes those activities or relationships that may be in conflict with the interests of the organisation.

ii. Shall not accept anything that may impair or be presumed to impair their professional judgement.

iii. Shall disclose all material facts known to them that, if not disclosed, may distort the reporting of activities under review.

### Conflict of interest

*M&E team will not participate in activities or avoid situation that can potentially compromise their objectivity.*

**M&E team:**

i. Shall not conduct monitoring or evaluation of any activity in which they themselves or their close acquaintances have been involved whether currently or in the past two years in the role of implementation, consulting, advising, training or supporting.

ii. Shall not conduct monitoring or evaluation for any agency from which the team member may have taken any obligation or favour.

### Data Confidentiality

*M&E team will respect the value and ownership of data or information they receive and will not disclose information without appropriate authority unless there is a legal or professional obligation to do so.*

**M&E team:**

i. Shall be prudent in the use and protection of data and information acquired in the course of their duties

ii. Shall not share the business or personal data of any of the Tea growers, staff, workers, entities, IPs, CBs and/or other stakeholders, without formal authorization and will not share data with any unauthorized agency, organization, group or individual.

iii. Shall not use data and information for any personal gain or in any manner that would be contrary to the law or detrimental to the legitimate and ethical objectives of the organization.

iv. NDAs to be signed with the stakeholders that will define the data usage clauses
General Monitoring & Evaluation Policy – tSTFM&EP

Trustea Sustainable Tea Foundation

For feedback, further information, and suggestions please write under the tab “M&E related” in the link https://www.trusteacms.in/feedback

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M&E team will apply the knowledge, skills and experience needed in the performance of internal auditing services

i. Shall engage only in those services for which they have the necessary knowledge, skills and experience.
ii. Shall perform M&E services in accordance with the International Standards for the Professional Practice of Internal Auditing.
iii. Shall continually improve their proficiency and the effectiveness and quality of their services.

Transparency

M&E team will ensure transparency in its processes, methodology, indicators, research tools and reports being generated.

i. M&E team will be committed to transparency
ii. M&E team will share its research tools and M&E indicators with the concerned stakeholders
iii. All M&E reports will be finalized after receiving feedback from the concerned stakeholders
iv. trustea website will have a dedicated page for M&E, with the following information:
   a. Purpose and scope of M&E
   b. trustea Theory of Change along with narrative
   c. Link to M&E indicators
   d. M&E Contact person and Email ID for providing any feedback or suggestions
v. M&E reports will be shared with the council and management of trustea, and with all direct stakeholders
vi. Key highlights of the reports will be shared on the public domain.

REVIEW RESULT:

REVIEWED BY: Anandita Ray Mukherjee

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