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OPERATIONAL PLAN FOR A
PARTICIPATORY MONITORING AND
EVALUATION SYSTEM FOR THE SELF-
RELIANCE WATER SUPPLY AND
SANITATION PROGRAMME

HELVETAS,
Pokhara,
February, 1994

Prepared by:
Simone Pieterse

202.5-940P-
12037

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CENTRE FOR COMMUNITY WATER SUPPLY
AND SANITATION (IRC)
P.O. Box 5512, 2509 AD The Hague
Tel. (070) 514011 ext. 141/142

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1. INTRODUCTION

After 18 years of experience in the Community Water Supply and Sanitation Programme, Helvetas/Pokhara is now in the process of developing the Self Reliance Water Supply and Sanitation Programme, in which participation is not anymore a means, but also an objective. In such a programme, a participatory monitoring & evaluation system is an indispensable part. This paper was accomplished by reviewing literature and discussing with Helvetas' staff, and is a first attempt at developing a participatory monitoring & evaluation system. It only aims at suggesting entry points for monitoring & evaluation activities, as a participatory monitoring & evaluation system should as much as possible be developed in close co-operation with the target group. Whenever appropriate, it was tried to use existing project activities and materials as basis for monitoring & evaluation activities. Repetition of these issues in monitoring & evaluation activities, will help villagers to understand the concept of monitoring & evaluation. While further developing the programme, it will become clear what information is most needed and how it could best be collected.

2. THEORETICAL FRAMEWORK

2.1 What is monitoring & evaluation?

Monitoring is nothing more than following the day-to-day activities of a project. Monitoring refers to a series of internal project activities for providing systematic and continuous feedback during the entire project cycle. The purpose of monitoring activities is to collect, process and distribute data which give information whether the project proceeds according to the planning.

Every now and then, the information collected by the monitoring system, will be analysed and interpreted. This is evaluation. If evaluation is done regularly throughout the project cycle, it enables to adjust, steer or change project activities where necessary and eventually judge the project.

Thus monitoring & evaluation are complementary activities. Monitoring is the basis for evaluation and together they form a feedback system by collecting, analysing and interpreting information, in order to define future actions. Since monitoring & evaluation are closely related, they will not explicitly be distinguished in this report.

2.2 Objectives of monitoring & evaluation

A monitoring & evaluation system is a tool to improve management. If information about the project becomes available at an early stage, decisions to improve project execution will be facilitated.

Participatory monitoring & evaluation has the additional, but equally important, objective of enhancing the educational process. In a participatory monitoring & evaluation system, information is collected, analysed and interpreted by the target group themselves and meets their information needs. This implies that they are involved from the very moment of planning in determining what and how they want to learn about themselves and their work. The revealed information (and the way it is revealed), give more insight in their situation. This may strengthen their capacity to solve problems and take decisions, and therefore gives access to better management and eventually self-reliance and empowerment.

The difference between participatory monitoring & evaluation and monitoring & evaluation of participation, is important to notice. The latter implies assessing the participatory nature of conventional development practices. However participatory monitoring & evaluation perceives participation as a much broader process; participation is the basic principle of the project (is an objective as such) and a participatory monitoring & evaluation system as a technique for providing feedback, is a logical extension.

2.3 Monitoring & evaluation of what?

In a development project or activity, inputs are converted into results. These results can be categorised into outputs, effects and impact.

Outputs correspond with short term objectives, effects correspond with intermediate objectives and impact corresponds with long term objectives. Objectives are hierarchically interrelated: achievement of short term and

intermediate objectives, contribute to achievement of long term objectives; they can be considered as means to achieve long term objectives (see figure 1).

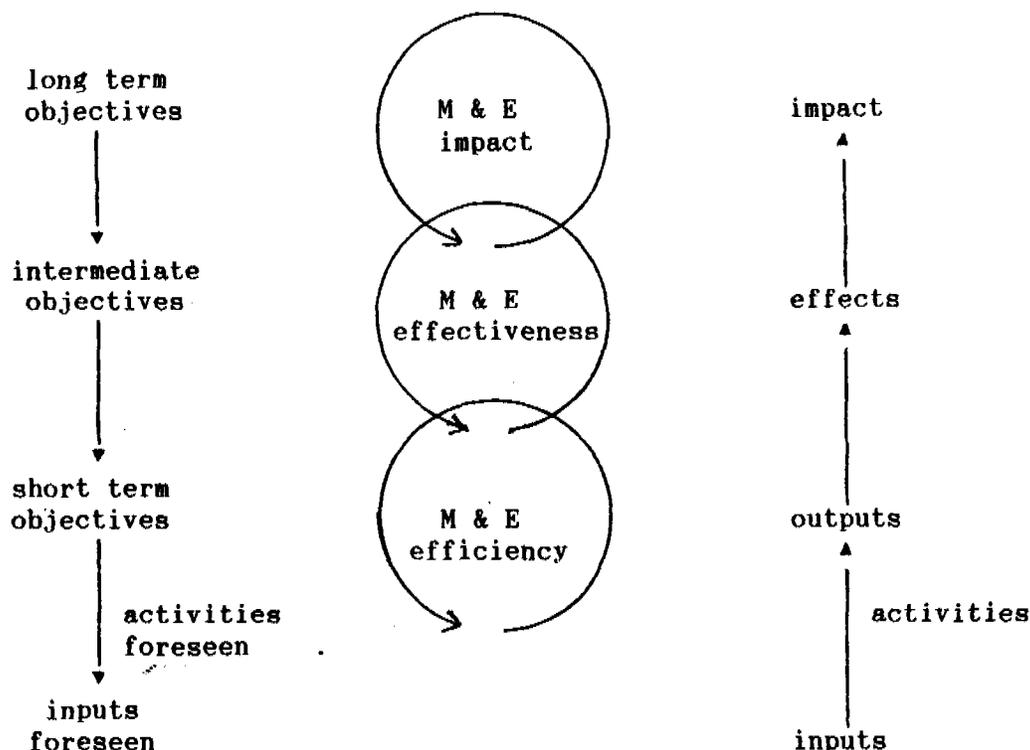


Figure 1; link between objectives and monitoring activities

Monitoring & evaluation can be related to these three categories of objectives. In case of a drinking water project, inputs like money, materials, manpower and knowledge are converted into outputs like meetings and a drinking water system. Usage of inputs and realisation of outputs according to the planning can be monitored. This is monitoring & evaluation of efficiency.

The realised outputs will produce an effect on the target group, for example tasks and responsibilities are divided. It can be monitored whether the outputs have the desired effect and whether there are undesired/unforeseen effects¹. This is monitoring & evaluation of effectiveness.

Finally, the effects will have an impact on the social, economic and political situation of the target group for example the organisational capacity becomes stronger. It can be monitored whether the final impact(s) correspond with those foreseen in the defined objectives and whether there are undesired/unforeseen impacts on the target group or other communities (see

¹ It might be hard to prove that a certain change has occurred due to the project since there are always external factors influencing the target group and/or the programme like politics, other projects etc. Although one should be aware of possible undesired/unforeseen effects, they will not be dealt with in this report, since Helvetas has already taken measures to prevent the most frequently occurred undesired effect in the past, namely conflicts about usage of the source.

note 1). This is monitoring & evaluation of impact².

Further, special themes like gender equality or environmental sustainability can be monitored. Determination of what to monitor & evaluate takes place during the planning and preparation of a monitoring & evaluation system. Much can be monitored, but just monitor for its own sake does not make sense. One should continuously keep in mind whether the information is worth it to be followed during the project period.

2.4 How to monitor & evaluate?

Indicators are the measuring instruments of a monitoring & evaluation system. They relate directly or indirectly to what is being measured. One can easily imagine how to monitor & evaluate a subject like "execution of activities according to plan" (efficiency). This subject can be monitored directly; just tick off accomplished activities in the work plan and uncompleted activities will become visible. In this case "accomplished activities" is a direct indicator for "execution of activities according to plan". However, how to monitor & evaluate subjects like sustainability, participation or gender equality?

In such cases indirect indicators need to be used. They form a set of measurable characteristics, that substitute a subject which is difficult to measure. In case of monitoring & evaluating organisational capacity, possible indirect indicators are:

- number of meetings held on own initiative
- attendance rate of meetings
- participation in decision making (asking questions, giving suggestions, acceptance of recommendations etc.)

Indicators can be quantitative or qualitative of nature. In the above example, the first two indicators are quantitative; they can be measured (in numbers) and will finally be judged. The third indicator however, is qualitative of nature. It cannot be measured, but must be described and interpreted (whereby it is given a subjective value).

To remain as objective as possible, the following points must be taken into consideration while choosing indicators:

- the indicator should relate to the subject of observation in the sense that occurring changes in the subject, are reflected by the indicator
- the indicator should be easy to observe or to measure
- the indicator should not easily lead to different interpretations by different persons

It is important to realise that the choice of indicators is subjective as well. Different persons will indicate for example the functioning of a tap in different ways. A villager might judge this on basis of the force and continuity of the water flow, while a technician might use the occurrence of leakage. Therefore, defining indicators is part of the educational process, which should take place by discussion among the participants of a monitoring & evaluation system to make clear what is exactly understood.

² The distinction between effects and impact is often hard to make in practice. Although one should be aware of the different concepts, they will not explicitly be distinguished in the monitoring & evaluation plan presented in this report.

2.5 Introducing a monitoring & evaluation system

Experiences described in the literature suggest that introducing a monitoring & evaluation system along to planning is the most practical way. In a participatory project, planning is (partly) done by the target group and they have many responsibilities and tasks to fulfil. They can therefore be supposed to feel the need to follow their work on a regular basis. Thus, after initial discussions in which the project approach is being explained and accepted, awareness could be raised about the need for a monitoring & evaluation system being a logical extension of the participatory principle of the project.

For effective monitoring & evaluation, a certain level of mutual trust is required. Therefore, planning and preparation of the system should not be one of the first activities. It could be introduced part after part, according to project activities of that particular moment which require monitoring & evaluation. The following plan should certainly not be seen as a model, but more as a checklist for discussions with the target group about their monitoring & evaluation needs and definitions.

3. MONITORING & EVALUATION PLAN

- Target group : community who requested assistance in implementing a drinking water project.
- Period : from the moment of request until an advanced stage in the operation & maintenance phase, the duration of this period will depend on the community
- Mode of co-operation : dual partnership implementation approach³
- Levels of mon & eval : target group
staff Helvetas⁴

3.1 Objectives of the (gravity flow) programme

- Long term objectives : - improvement of general living conditions in the village
- strengthened self esteem, confidence and self-reliance of the community
- reduction of workload of women and children
- Intermediate objectives : - executing the project according to the participatory approach
- strengthening the organisational capacity
- reduction of incidence of water related diseases
- availability of enough water
- availability of clean water
- Short term objectives : - construction of a drinking water system and latrines

3.2 Possible monitoring & evaluation activities of the target group

In order to work systematically, subjects of monitoring & evaluation and consequently indicators, should be chosen according to the objectives. These are included in annex 1. The indicators relate to monitoring & evaluation activities of the target group, of Helvetas or both.

In the following two subparagraphs, monitoring & evaluation activities of the target group will be located in the project cycle and methods for recording will be proposed.

³ In case of other modes of co-operation, some of the tasks and responsibilities will shift to another party and so the belonging monitoring & evaluation activities.

⁴ In this report, the emphasis is on a monitoring & evaluation system on level of the target group, because this is the starting point in a participatory project. However, Helvetas may also have information needs which are not met by the information provided by the monitoring & evaluation system of the target group, or may like to use other additional indicators. In this case, a monitoring & evaluation system on levels of Helvetas' (field staff and senior) staff could be designed as well.

3.2.1 Timing of monitoring & evaluation activities of the target group

Helvetas' project cycle has been divided in three phases (preparation, implementation and operation & maintenance). Each phase consists of a number of steps during which certain activities are carried out. The project only proceeds to the next step, when all activities of the previous steps have been completed and annexed conditions have been fulfilled. Annex 2 displays the entire project cycle. Below, only activities which (in)directly relate to monitoring & evaluation (actual monitoring & evaluation activities and activities to collect baseline information) and their location in the project cycle are mentioned.

phase 1

step 5

- baseline information on existing latrines
- baseline information on defecation locations of women, men and children
- baseline information on hand washing practices (with what)
- baseline information on time necessary to collect a "gagro" (vessel) of water

step 9

- monitoring & evaluation of constructed latrines (by whom, type)

step10/11

- monitoring & evaluation of constructed latrines (by whom, type)
- monitoring & evaluation of operation & maintenance fund

phase 2

step 2

- monitoring & evaluation of performance user's committee

step 6

- monitoring & evaluation of performance user's committee
- monitoring & evaluation of operation & maintenance fund
- monitoring & evaluation of participation and self-reliance

phase 3

step 1

- monitoring & evaluation of constructed latrines (by whom, type, usage, hygiene)
- monitoring & evaluation of defecation locations
- monitoring & evaluation of hand washing practices

step 3

- monitoring & evaluation of operation & maintenance fund
- monitoring & evaluation of tap stand fund
- monitoring & evaluation of performance tap stand group
- monitoring & evaluation of communication between tap stand group - VWM (village maintenance worker) - user's committee
- monitoring & evaluation of source protection practices
- monitoring & evaluation of participation and self-reliance

3.2.2 Possible methods

Actually, monitoring & evaluation comprises of the following consecutive activities: collection of data, recording, judgement/interpretation and finally drawing of conclusions. Data collection by the target group will primarily take place by participatory observation by themselves during all

phases of the project. Every now and then, the collected data have to be recorded. This moment will often coincide with judgement/interpretation of the data. Judgement/interpretation and drawing of conclusions will mainly take place through (group)discussions, facilitated by Helvetas' staff. Therefore the following methods focus on recording.

Latrines

Indicators: - number of constructed latrines
- by whom (household name)
- type (walls, door, plastered, lid)
- quality (good, moderate, poor)?
- hygienic status of latrines (clean/dirty, usage of ash)
- usage of latrines by women, men, children

Method: first resource map for baseline information
second resource map and "tika-table"⁵ for monitoring & evaluation
discussion

Participants: more than 50% of the community

Defecation locations

Indicators: - usage of latrines by women, men, children
- change in defecation localities

Method 1: pocket chart (see: Tools for community participation page 93)

Materials: pictures of river bank, latrine, forest and fields, and house(s), and different counters for women, men and children (e.g. 3 different kind of beans)

Participants: more than 50% of the community

Procedure: the participants answer individually by putting their counter in the pocket of the picture which corresponds with the place where they themselves usually defecate
discussion

Method 2: heaps (combination of pocket chart and pies)⁶

Materials: the same pictures as in method 1
3 kind of beans, each in a certain amount (e.g. 2 kg)

Participants: (several) small group(s) (5-10 persons per group)

⁵ Table developed by Helvetas/Pokhara in which villagers are allowed to stick a coloured spot (tika) behind their household's name, if they have constructed a latrine. Characteristics of the latrine are also indicated.

⁶ The difference in methods using pocket charts and heaps is that the first asks for individual behaviour, while the latter asks for the community's behaviour.

Procedure: the amount of the 3 kind of beans represent respectively all women, men and children
the participants answer as a group (for the community) by making heaps of beans under the pictures in 3 rows for respectively women, men and children
the relative sizes of the heaps should be according to the proportion of the concerned group who usually defecate at the location indicated by the picture
(the outcome can be recorded as pies)
discussion

Hand washing practices

Indicator: change in hand washing practices (with what)

Method 1: pocket chart

Materials: pictures or realies of mud and straw, soap, ash, and water
a certain amount of beans

Participants: more than 50% of the community

Procedure: every individual gets one bean and puts it in the pocket of the picture which corresponds with the material with which he/she usually washes hands
discussion

Method 2: heaps

Materials: same as method 1

Participants: (several) small group(s)

Procedure: the participants make heaps of beans under the pictures, which sizes are according to the proportions of villagers who use the corresponding material for hand washing (the outcome can be recorded as a pie)
discussion

Time necessary to collect a "gagro" of water

Indicator: time necessary to collect a gagro of water (depends on distance, queue, water flow)

Method: bar diagramme

Materials: 3 sticks/straws/stalks

Participants: (several) small group(s)

Procedure: the sticks represent the time necessary to collect a "gagro" of water respectively in spring, monsoon and winter
the participants adjust the relative length of the sticks

according to the required time per season

Operation & maintenance fund and tap stand fund

- Indicators: - amount of money in O&M-fund and changes
- amount of money in tap stand fund and changes
- Method: bar diagramme
- Materials: anything that symbolises a certain amount of money e.g. paper coins of 10 or 100 rupees each
- Participants: account customers
- Procedure: the participants a bar diagramme of "coins" with the actual amount of money written on top
a minimum amount of money which has to be on the account can be determined
if a line is drawn on the corresponding level in the diagramme, it is easy to notice when money should be collected again
discussion

Source protection practices

- Indicator: source protection measures
- Method: table with pictures/descriptions of source protection measures necessary in the concerned area
the table is part of the action plan that has been made at the beginning of the O&M-phase
- Materials: paper and pen
- Participants: more than 50% of the community
- Procedure: the participants tick off completed source protection measures in the table
discussion

Performance user's committee and tap stand committee

- Indicators: - alternating leadership functions
- participation of all members in decision making (asking questions, giving proposals, recommendations, alternatives, ...)
- frequency of meetings
- attendance
- nature of discussion topics (problem solving, planning,...)
- changes in membership
- independence (meetings on own initiative, taking decisions without consulting Helvetas, actions on own initiative,...)
- interest in linking with other groups or organisations
- delegation of tasks and responsibilities among community

- group cohesion and sense of solidarity
- reporting system
- ability to deal with officials

Method: discussion

Materials: picture of bee symbolising division of tasks and motivation to work
 picture of people catching a goat (or lifting a table), symbolising co-operation
 picture of spider web (to recall the exercise with the thread) symbolising unity and solidarity

table for indication of values with faces (smiling, neutral, sad) or with roses (rose, rose on stem with thorns, stem with thorns without rose) or any other appropriate symbols

Participants: members of user's committee or tap stand group

Procedure: only after a group discussion about the concept symbolised by the picture and specific questions raised by the field staff, the group indicates their collective value in the table (if the table is visible during every meeting, the members are likely to be more aware of the group process)

Possible questions about division of tasks and motivation:

- is the work more or less equally divided?
- are all members motivated?
- do meetings regularly take place?
- is the attendance satisfactory?
- are minutes taken and followed-up?

Possible questions about co-operation within the committee:

(this topic may be too sensitive for honest discussions)

- are there any problems within the committee?

Possible questions about co-operation between committee and community:

- is the community consulted by the committee?
- are there problems between the community and the committee?

Possible questions about unity/solidarity/involvement:

- does everybody get the opportunity to speak?
- do people listen to each other?
- are people willing to make compromises?
- who takes decisions?
- do the members aim at the same goals?

Communication between tap stand group - VMW - users' committee

Indicators: interest in linking with other groups or organisations

Method: discussion

Materials: picture or realies symbolising mutual dependance, used for

emphasising the importance of communication between the 3 parties

Participants: members of the 3 parties (together or separate?)

Procedure: discussion resulting in expressing a value as a group

Possible questions:

- does the tap stand group check and clean the tap stand regularly?
- does the tap stand group call the VMW in time in case of problems?
- does the VMW respond quickly?
- does the VMW inform the users' committee in time in case of problems?
- does the users' committee respond quickly?
- does the users' committee co-ordinate the tap stand groups and VMW?

Participation and self-reliance

Indicators: see annex 1

Method: discussion

Materials: picture of somebody in the water to symbolise self-reliance (or more appropriate picture)

Participants: more than 50% of the community

Procedure: discussion (following on drama/puppet play by participants) resulting in indication of group value

Possible questions:

- have women and low cast groups participated in decision making in all phases?
- to what extent do they fulfil key roles like chairperson, secretary, treasurer, account customer, caretaker of materials and store, VMW, semi skilled labourer?
- had cash been contributed according to economic status?
- what have women and men learnt during the project?
- what are the strengths and weaknesses of the community?

3.3 Possible monitoring & evaluation activities of Helvetas

It is very likely that Helvetas wants to monitor & evaluate more than is done by the target group (because they are not interested in or not able to). For this purpose, Helvetas may develop an additional monitoring & evaluation system. The staff's monitoring & evaluation activities will in some cases also

⁷ To highlight the importance of each party's input to the others as a pre-condition for satisfactory functioning of the 3 parties, the concept of a closed circuit/cycle could be introduced. This could be symbolised by the closed cycle of egg, chicken, hen, egg.

Another way of explaining could be to show a row of dominoes in upright position which fall down one after another after pushing the first.

serve for countervailing or checking purposes of the information provided by the target group. This paragraph gives some suggestions which have to be reconsidered and further developed by the staff. No distinction is made here between field staff and senior staff, but this may be felt necessary at a later stage.

phase 1

- step 5
- creation of awareness about the need for a monitoring & evaluation system in general
 - baseline information on existing groups, leadership, membership, participation, gender roles
 - baseline information on source protection practices
 - anticipation on probable significant additional workload of women and/or children

- step 7
- awareness raising about need for monitoring & evaluation of operation & maintenance fund

- step 8
- awareness raising about need for monitoring & evaluation of performance of users' committee
 - observation formation process of users' committee, membership
 - observation of discussion on village contribution (participation, equity, amount aimed at)

- step 9
- co-ordination monitoring & evaluation of latrine construction
 - observation of participation in technical feasibility study

- step 10/11
- co-ordination monitoring & evaluation of latrines (extra activity: interviewing some people about invested finances and labour days per latrine)
 - co-ordination monitoring & evaluation of operation & maintenance fund
 - observation of participation, co-operation, problem solving capacity during second resource mapping activity
 - observation participation during detailed survey
 - observation discussion on design (participation, final changes in design)
 - observation selection process VMW, tap stand group, process of making work plan

phase 2

- step 2
- co-ordination in judgement quality of structures
 - co-ordination monitoring & evaluation of performance users' committee (observation, checking minutes on nature of discussion topics, decisions, undertaken actions, external contacts, independence)

- step 4
- technical supervision (quality of work, participation, problems)

- step 6
- co-ordination monitoring & evaluation of performance users' committee, operation & maintenance fund
 - quality control
 - final balance (contribution by target group and Helvetas)
 - monitoring & evaluation of per capita costs of project

- awareness raising about need for monitoring & evaluation of performance tap stand group, communication tap stand group - VMW - users' committee, source protection measures

phase 3

step 1

- co-ordination monitoring & evaluation of latrines, defecation locations, hand washing practices

step 3

- co-ordination monitoring & evaluation of operation & maintenance fund, tap stand fund, performance tap stand group, communication between tap stand group - VMW - users' committee, source protection measures, participation, self-reliance
- monitoring & evaluation of utilisation saved time (possible changes in roles in fetching water and opportunities for economic use of saved time, should be taken into consideration)
- monitoring & evaluation of performance VMW

Data collection by the staff will mainly take place through (participatory) observation, informal unstructured interviews and (group) discussions for which the mentioned indicators (annex 1) can serve as a check list. Like the case of the monitoring & evaluation system of the target group, methods primarily serve the purpose of recording and interpretation. How this should be done, is left to the concerned people. It should however be mentioned that visualisation of data in graphs, diagrammes etc. is recommendable, as it quickly provides overviews and highlights trends.

Monitoring & evaluation of subjects like participation, self-reliance and equity takes place during all field visits by observing who takes initiative, who is eligible, who votes, who takes decisions and how, ability to listen to each other, critical questioning, nature of discussion topics, power relations, problem solving capacity, willingness to compromise etc. (see annex 1).

An important observation during this assignment was that much has been written about (participatory) monitoring & evaluation, but hardly anything deals with its application into practice. It was however also realised, that the participatory nature of existing project activities as well as the attitude of field staff, form the basis for participatory monitoring & evaluation. Firstly because the capacities of field staff to work according to participatory principles are more important than tailor-made methods and materials, and secondly because some of the existing project activities provide baseline information for monitoring & evaluation activities at later stages. Thus, if the basic approach is really participatory, monitoring & evaluation activities can and should be based on existing project activities. Monitoring & evaluation becomes in that case an integrated follow-up activity, rather than an additional activity.

As a consequence, much is still to be (re)considered and further developed by Helvetas' staff⁸. First objectives and indicators should be checked with the target group, so that methods can be developed afterwards. In a later stage of the programme, the necessity of further elaboration of the monitoring & evaluation system of Helvetas towards separate levels for field and senior staff should be considered, as well as the need to monitor & evaluate undesired/unforeseen effects.

In my opinion, suitable monitoring & evaluation activities should initiate discussions which, if facilitated properly, contribute to the project in terms of awareness raising. This function of participatory monitoring & evaluation is the most essential one. Participatory monitoring & evaluation activities are in fact mainly based on discussion. Visual aids and games could of course play an important facilitating role. However, the role of field staff as moderator/facilitator should get more priority than developing pictures, graphs, tables and diagrammes.

⁸ "The community's toolbox" could be helpful for that purpose.

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ANNEX 1: Subjects of monitoring & evaluation and indicators

Objective : Construction of a drinking water system and latrines

M&E of what : - construction and quality of latrines
- construction and quality of drinking water system
- technical assistance (supervision, on-the-job training)

Indicators : - number of constructed latrines
- by whom (household name)
- type (walls, door, plastered, lid)
- quality (good, moderate, poor)?

Objective : Reduction of incidence of water related diseases

M&E of what : - change in incidence of water related diseases
- change in sanitary practices

Indicators : - hygienic status of latrines (clean/dirty, usage of ash)
- usage of latrines by women, men, children
- change in defecation localities
- change in hand washing practices (with what)
- source protection measures

Objective : Availability of enough water

M&E of what : - amount of water in sources

Indicators : - amount of water in proposed sources in spring

Objective : Availability of clean water

M&E of what : - water quality per source

Indicators : - water quality proposed source
- source protection measures

Objective : Reduction of workload of women and children

M&E of what : - change in load of household work due to the project

Indicators : - time necessary to collect a gagro of water (depends on distance, queue, water flow)
- any significant additional workload (e.g. need to collect firewood at longer distance in relation to source protection)
- utilisation of saved time

Objective : Execution of project activities according to the participatory approach

participation includes participation of women and socially weaker groups (illiterates, low caste groups) with the purpose of equity and resource mobilisation (material and immaterial) which will contribute to increased self-reliance and eventually empowerment. Thus, subjects for monitoring & evaluation of participation could be gender equality, equity and resource mobilisation.

M&E of what : - participation in decision making, taking responsibility and physical work by women, illiterates and low caste groups.
- material resource mobilisation (materials, finances)
- immaterial resource mobilisation (labour, knowledge)

Indicators material resource mobilisation:

- financial investment per latrine (financial expenses, labour)
- material investment per latrine (stone, sand, wood, tin)
- amounts of locally collected materials (tools, stones, sand, wood)
- amount of money made available by community for purchasing materials (brass tap, store rent, ...)
- amount of money in O&M-fund and changes
- amount of money in tap stand fund and changes

Indicators immaterial resource mobilisation:

- number of labour days invested per latrine
- performance of VMW (commitment, voluntary work, quality of work, independence, ...)
- performance of trained semi-skilled labourers (usage of acquired skills inside and outside village, quality of work, commitment, ...)

General/additional indicators of participation:

- fulfilling of key roles by women, low cast groups (chairperson, secretary, treasurer, VMW, store-keeper, ...)
- adjustment of design by community

Objective : Strengthening the organisational capacity of the community

M&E of what : - existing groups
- group formation
- group functioning

Indicators existing/new groups;

- what groups do already exist and what is their function, members, membership, leadership,

authority

- what groups have been newly formed and what is their function, formation process (democratic), membership of women, low cast groups

Indicators group functioning:

- alternating leadership functions
- participation of all members in decision making (asking questions, giving proposals, recommendations, alternatives, ...)
- frequency of meetings
- attendance
- nature of discussion topics (problem solving, planning,...)
- changes in membership
- independence (meetings on own initiative, taking decisions without consulting Helvetas, actions on own initiative,...)
- interest in linking with other groups or organisations
- delegation of tasks and responsibilities among community
- group cohesion and sense of solidarity
- reporting system
- ability to deal with officials

ANNEX 2: Helvetas' project cycle

PHASE-WISE CRITERIA FOR ELIGIBILITY

PHASE I: PREPARATION

STEP	ACTIVITY	CONDITIONS, IF	THEN
1.	application from LBO, LNGO, DDC a.o. to Helvetas	- if the application comes from Helvetas SRWSSP selected area, then	eligible for next step
2.	register in Helvetas Assistance request Register	- if the application comes from Helvetas SRWSSP selected area, then	eligible for next step
3.	Helvetas sends Project Inquiry Form (PIF) to applicant	- if the first two steps are fulfilled, then	eligible for next step
4.	applicant fills-out PIF with involvement of beneficiaries, and returns it to Helvetas	- if the beneficiaries are involved, and - if the questions are properly answered, and - if PIF is returned to helvetas, and - if no application to other organization exist then ..	eligible for next step
5. see remark I.	1st visit to project area fro: * cross check PIF * socio-economic assessment (PRA) * KAP study * observation of water points * resource mapping * environmental walk * information on follow-up	- if the PIF was truly filled-out, and - if involved parties show willingness, interest and commitment in SR activities e.g. by actively involving during mentioned activities, then	eligible for next step
6.	information to DDC and VDC on the application	- if one copy is provided to Helvetas, then	eligible for next step
7.	collection of O&M fund in the village	- if Helvetas is informed on the amount collected, then	eligible for next step

STEP	ACTIVITY	CONDITIONS, IF	THEN
8.	2nd visit to project area for: * HSE * discussion on role UC * explanation on latrine construction * discussion on village contribution	- if UC is appointed with women members, and - if willingness to improve sanitary habits is shown, and - if O&M fund id deposit at local bank, and - if Helvetas receives one copy of bank deposit, and - if is informed on all above, then	eligible for next step
9. see remark II.	3rd visit to project area for: * technical feasibility (only in dry season) * water quality testing (preferably twice, in dry and wet season) * repetition on second visit	- if project is technical feasible, and - if project is socially feasible, and - if beneficiaries have agreement on use of source, and - if Helvetas has received copy of that agreement, then	eligible for next step
10.	4th visit to the project area (can coincide with third visit) for: * second resource map * discussion on contribution * explanation on next steps * follow-up on former activities	- if beneficiaries show continuous willingness and, - if agreement on tapstand location exist, and - if first draft agreement on village contribution exists, and - if Helvetas is informed, then	eligible for next step
11.	5th visit to project area for: * follow-up of former steps * detailed survey	- if beneficiaries show interest in project by participating during survey, then	eligible for next step
12.	design and detailed estimate by Helvetas or by Helvetas hired consultancy		
13.	6th visit to the project area for: * explanation and discussion on final design * final agreement * lay-out of pipe line	- if agreement is signed in four copies, and - if one copy is send to VDC and DDC, then ...	eligible for next step, is implementation phase

REMARKS:

- I. The time between the first and third visit will differ from village to village. Some villages have an already existing organizational structure, or have very strong local leaders, whereby other villages still have to develop that capacity. Similar some villagers very easily understand the link between the need to improve sanitary habit and provision of safe drinking water, others will need more time for that. Therefore it might be necessary to extend the motivational activities with a few more visits. The condition remains, however, that the villagers should show a keen interest and willingness to implement the programme according to the self reliant philosophy.
- II. Technical feasibility can only be conducted during dry season, therefore the planned visits will have to change order. A pre-condition remains that the first 7 steps have to be done before any technical feasibility in undertaken.

PHASE II: IMPLEMENTATION

STEP	ACTIVITY	CONDITIONS, IF	THEN
1.	as according to the agreement and workplan activities are implemented	<ul style="list-style-type: none"> - if VMW is appointed, and - if activities are implemented as agrees upon, and - if Helvetas is informed after completion, and - if work is according to the standard, then 	eligible for next step
2.	visit to project area to check the work, and discussion on the next steps	<ul style="list-style-type: none"> - if work is according to the standard, then 	eligible for next step
3.	purchase and delivery of material to road head and transport from road head to village	<ul style="list-style-type: none"> - if material is transported and properly stored, then 	eligible for next step
4.	construction as according to design and technical supervision and VMW on the job training	<ul style="list-style-type: none"> - if beneficiaries provide labour and material as agreed upon, then 	eligible for next step
5.	finalization of construction work	<ul style="list-style-type: none"> - if all construction work is properly done, and - if drainage of tapstands is arranged , and - if finishing touch of the project is done, then 	eligible for next step

STEP	ACTIVITY	CONDITIONS, IF	THEN
6.	final inspection and commissioning and official agreement on handing over, and explanation on O&M	- if agreement is signed, and - if construction work is of good quality, and - if agreement on revolving fund exist, then	eligible for next step, is operation and maintenance phase

PHASE III: OPERATION AND MAINTENANCE

STEP	ACTIVITY	CONDITION, IF	THEN
1.	follow-up visit	- if payment of VMW, and - if tapstand revolving fund has been collected, then	eligible for next step
2.	training of VMW		
3.	final follow-up visit after one year	- if scheme is in good functioning, and - if take full responsibility, then	no further involvement from Helvetas.

REMARK:

The phase-wise criteria for selection is very much based on the construction of gravity flow drinking water schemes. In case of source protection or rain water catchment other criteria will be valid. However, since the programme is at present mostly concerned with gravity flow schemes the flow chart as worked out above is most realistic one.