



**The PMU
Implementation
Manuals:
Volume III**

MONITORING & EVALUATION SYSTEM

**The SWAJAL (UP RWSES) Project
Project Management Unit,
Lucknow, UP, India**



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Preface: How to Use The PMU Manuals:

The PMU Manuals are a resource to the staff and consultants of the Project Management Unit and District Project Management Units. The PMU Manuals consist of four volumes:

- **Volume I: Project Operations** documents the operational arrangements and procedures for the work of the PMU/DPMUs and provides terms of reference and samples of operational tools. Volume 1 constitutes the by-laws of the Society.
- **Volume II: Training and Communications** documents the PMU's Training and Communications strategy and provides resources to managing these services and provides sample training designs and related training and technical assistance tools.
- **Volume III: Monitoring and Evaluation** details the strategies, methods and tools for the monitoring and evaluation system of the PMU/DPMUs
- **Volume IV: Technology** provides the Technology Standards and Design Aids for Water Supply and Sanitation Technology.

Each volume provides a narrative description of the principles, steps, resources, or sample designs needed to accomplish PMU/DPMU tasks. Use the manuals as adaptive guides. They are designed in loose-leaf format so that each section can be updated based on accumulated experience. For orientation purposes, new staff should become familiar with volumes and sections which directly relate to their own work. The manual should be referred to when needed for information on specific procedures, resources or tools for the regular work of the PMU and DPMUs. To facilitate using the manual for reference purposes summary charts are provided at the end of the manual.

It should be emphasized that this manual is a *working manual* and should be revised with practice and experience. As it stands, it represents the views of the stakeholders as known to the Author, primarily those of the Bank, the PMU, and to some degree the SOs and communities. The first step in using the manual is to ensure that stakeholders, especially communities and SOs, be further consulted about the strategies provided here and also have a say on key choices of what to monitor, how it is to be done, and how the results will be used. Only then will the M&E system remain consistent with the overarching vision of a participatory programme.



List of Acronyms

CAP	:Community Action Plan
DPMU	:District Project Management Unit
GOI	:Government of India
GOUP	:Government of Uttar Pradesh
HESA	:Hygiene & Environmental Sanitation Awareness
ICCR	:Implementation Contract Completion Report
KAP	:Knowledge, Aptitude, Practices
M&E	:Monitoring & Evaluation
NFE	:Non-Formal Education
NGO	:Non-Government Organisation
O&M	:Operation & Maintenance
PMU	:Project Management Unit
PRA	:Participatory Rural Appraisal
RWSES	:Rural Water Supply & Environmental sanitation
SA	:Service Agency
SARAR	:Self esteem, Associative strengths, Responsibility, Action planning, Resourcefulness
SCR	:Scheme Completion Report
SO	:Support Organisation
STAC	:Staff Technical Appraisal Committee
VMW	:Village Maintenance Worker
VWSC	:Village Water & Sanitation Committee
WDI	:Women's Development Initiatives

Glossary of M&E Terms

Term	Definition
Analysis, Interpretation and Utilization	The systematic organization of information gathered so that each major stakeholder acts on evaluation findings
Concerns	The factors that stakeholders think may threaten the success of the projects
Evaluation <i>Chakra</i>	A framework to develop evaluation designs and understand the different phases of monitoring and evaluation
Evidence	The product of analysis that infers whether the change has occurred
Focus	The priority questions which the monitoring and evaluation examines
Impact Monitoring	The periodic collection of information to determine whether project objectives are being achieved as intended
Indicator	A key piece of information or data, which when monitored measures change
Information Gathering	Bringing together quantitative and qualitative information needed to answer focus questions
Issues	Questions about the way a project is planned or carried out about which reasonable people may differ
Lessons	Conclusions that each stakeholder may reach which allows them to transfer successes to other activities
Monitoring	The systematic collection and analysis of information as a project progresses to improve project effectiveness
Patterns	Trends that objectively gathered information seems to imply
Performance Monitoring	The systematic and periodic assessment of the extent to which contractual agreements are met in accordance with approved budget and time frame
Process Monitoring	The systematic and periodic assessment of how specific aspects of the efficiency of methods/tools used in service delivery
Purpose	The primary reason why to undertake an evaluation
Reliability	The consistency of information gathered from one time to another
Stakeholders	All the organizations and individuals with a stake in the outcome of the project
Triangulation	The use of two or more independent methods to estimate impact
Validity	The extent to which information measures what it is supposed to measure

Section I: Concept and Objectives of the M&E System

1.1 Introduction.

1.1.1 *Monitoring is a continuous internal management activity whose purpose is to ensure that the project achieves its defined objectives within a prescribed time-frame and budget. Monitoring involves the provision of regular feedback on the progress of project implementation and the problems faced during implementation. Evaluation is an internal or external management activity to assess the appropriateness of a project's design and implementation methods in achieving both specified objectives and more general development objectives; and to assess a project's result, both intended and unintended and to assess the factors affecting the level and distribution of benefits produced.*

Thus Monitoring and Evaluation as a system should provide the information that project planners, implementers and managers need for decision making and should help whether a project has been implemented as planned, what problems need to be resolved, what expected or unexpected impacts have occurred and what lessons can be learned for the selection and design of future projects.

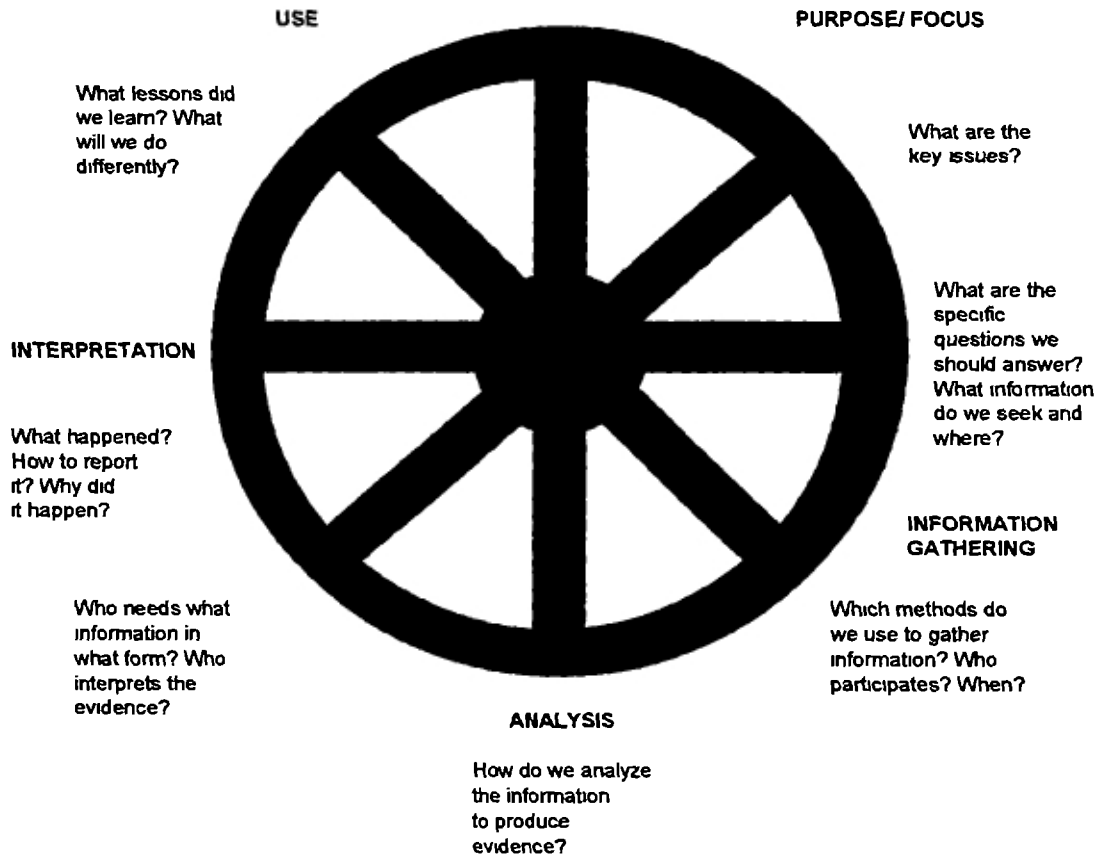
1.1.2 M&E as a Cycle: The use of a chakra, or “great wheel” can help explain the what is meant by evaluation as a process for change. It is illustrated on the next page.¹ The chakra is a guide for understanding the basic steps or phases of the monitoring and evaluation process. It is a design framework. While it has the meaning of a cycle or a process which repeats, it also stands for evolution. These are:

- i) Defining purpose, type and focus
- ii) Identification of Indicators
- ii) Information Gathering Strategies, Instruments, Phasing and Scope
- iv) Analysis, Interpretation and Use of Information

¹ / Jacob Pfohl, Participatory Evaluation A Users' Guide, PACT, 1986, pg 15

**Chart 1-1
Evaluation chakra**

Why do we need to evaluate? Who wants it?
For what decisions?



1.1.3 Participatory M&E and Accountability: In the UP RWSES Project approach, M&E is designed to both promote the empowerment of the community to participate in M&E, while also ensuring adequate flows of information to the other stakeholders at other levels in the project through more conventional methods. To understand the need for striking the balance between participatory and conventional M&E, we must first review what is meant by a participatory model and other models. In participatory M&E we assume that community participants have the ability to direct their own development projects and schemes when conditions and opportunities for human growth are provided. The emphasis of participatory M&E is on behavior, the ability of people to participate with their full creative potential as individuals and as part of community groups such as tapstand groups and VWSCs. Project inputs are a means to capacitate the person, as well as to provide water supply or increase access to sanitation facilities. To facilitate this kind of monitoring, a number of sample methods and tools have been developed for monitoring to be conducted by the users. The information collected is of immediate use at the community level for tracking progress, learning lessons and taking corrective action. Results of participatory community monitoring can also be compared with and contribute to studies

conducted by SAs, specially chosen to do independent studies (just before mid-term review).

1.1.4 Conventional M&E Frameworks: The logical framework approach, and cost-benefit analysis, and related quantitative assessments of impact are approaches to evaluation which are important to various stakeholders in the UP RWSES Project. The logical framework or “log-frame” approach is based on a management-by-objectives concept. In this approach, broad goals are achieved by contributions of individual project components when they achieve their immediate objective or purpose. “Inputs”, such as human and financial resources, help produce “outputs” or tangible accomplishments. The logical framework emphasizes specificity of goals and objectives so that changes can be easily monitored and progress assessed. Evaluation looks at the transformation of inputs to outputs, outputs to purpose, and purpose to goals. Monitoring helps to keep track of how inputs are affecting outputs, and how outputs are leading to the completion of project objectives, Impact evaluation looks at how the purpose of a project is being achieved as major project intervals. A number of formal studies are planned for ongoing impact monitoring, including KAP studies to assess baseline information, hygiene and sanitation practices. Determine incremental changes in per capita consumption and assess time changes.

1.2 Objectives of Monitoring and Evaluation

The broad objectives of M&E are to:

- (a) **Strengthen the capacity of each relevant stakeholder in the project to play its respective role effectively and in a mutually supportive way**
- (b) **Strengthen the project activities by way of continuous assessments of their quality and scope**
- (c) **To provide information at regular intervals on the progress of each element of the project and to compare progress with the stated objectives**

1.3 Levels of Monitoring & Evaluation:

Throughout the duration of M&E efforts it is important to distinguish between assessments of the overall project level, the SO level, and the community specific level.

- (a) **At the project (PMU/DPMU) level, which in turn reflects on the viability of the strategic objectives of the project of introducing a demand driven and decentralized approach into the rural water supply sector as a whole, the focus is on assessing the performance and capacity of each category of actors (i.e. the PMU/DPMU, the SO, the SA, and the scheme/user committee) rather than on any**

specific actor as such. A primary function of the M&E at this level is to provide assessments of the approaches, methodologies, instruments, and procedures embodied in the various operational manuals as well as in the working modalities of the PMU as such.

- (b) At the **SO level**, the focus is on the PMU/DPMUs, and specific SOs their ability to play an effective intermediary role, both in terms of absorbing the support provided by the project, in providing the required level of professional services to the schemes/communities, and in allowing for an increasing community management over the scheme cycle.
- (c) At the **community level**, the focus is on the viability and functionality of the scheme in its own socio-economic and ecological environment, as well as on the effective ownership of the community.

Although all deal with the same subject matter - the effectiveness and sustainability of the community schemes promoted through the project - each level requires its own specific approach and type of information, corresponding to the different set of roles, responsibilities and of the relevant stakeholders.

1.4 Roles and Responsibilities of Communities, SOs, SAs, and the PMU/DPMUs:

1.4.1 The general roles of each stakeholder in M&E is as follows:

- i) Communities:*
Communities are responsible to undertake their own community impact monitoring about their communities, and to help gather and analyze impact information as needed. They will use this information to make or improve their decisions on matters over which they have control. They are also responsible to provide information needed by SAs/PMU regarding contract compliance, as well as to assess aspects of services provided to them, e.g., by SOs.
- ii) Support Organizations (SOs):*
SOs are responsible for training and assisting community members in impact monitoring at the community level. They are also responsible to provide information needed by SAs/DPMUs regarding their own performance and compliance with agreements reached with communities and the PMU. Through regular review meetings, they also help to assess the performance of the DPMUs, SAs, and PMU in supporting them to complete their work, as well as the

effectiveness of the processes, methods, procedures and instruments of the project.

- iii) ***Service Agencies (SAs):***
SAs are engaged in a variety of functions related to M&E. Firstly, they conduct impact monitoring (Health KAP studies and site appraisals) for assessment of impact of project services, SAs also supplement, as needed, DPMUs in construction monitoring during the Implementation Phase. They are also responsible for formal audits of the SOs and contracts for SOs/subprojects. SAs will be recruited for longer term impact and strategic studies. Such longer term studies will include assessments of the performance of the PMU, in which case they will provide an independent report.
- iv) ***District Project Management Units (DPMUs):***
The main function of the DPMU is to provide monitoring services in a supportive manner to SOs and communities. DPMUs, through their portfolio managers, are primarily responsible for the overall performance of SOs in the Planning and Implementation Phases. As needed, they recruit SAs to supplement them in performance and construction monitoring. DPMU staff also facilitate process monitoring by recruiting SAs. They also help to guide SAs in completing impact assessments (Health KAPs and site appraisals) at the scheme level.
- v) ***Project Management Unit (PMU):***
The PMU is responsible for facilitating the overall establishment and functioning of the M&E system, and for ensuring diffusion and use of information to all stakeholders involved in service delivery, as well as at overall project management and policy levels. They are responsible to analyze data emerging from the field, and adopt and change approaches, methodologies, norms, and procedures so as to enhance achievement of project objectives. The PMU is also responsible to coordinate regional and annual meetings to assess performance, process, impact lessons with all stakeholders. The PMU also provides quarterly and annual reports on project progress, and assists in deriving and sharing longer term strategic/policy lessons from the project.

Section II: Types of Monitoring and Evaluation

In support of M&E objectives, five types of M&E Interventions have been identified with their related purposes:

2.1 Performance Monitoring

2.1.1 Purpose:

To identify areas where corrective measures or improvements may be required, and by whom. This is done through a focus on the capacity, quality, and compliance of each main participating partner in project implementation. As such it relies on, and serves to enhance, a clear understanding of the overall distribution of roles and responsibilities within the project;

Performance monitoring is the key to the project's ability to maintain or improve itself as an effective vehicle for RWS-ES improvements. It involves both self assessment and sharing of assessment of others in as transparent a manner as is possible. At the same time, information gained should be shared with the relevant project partners and acted upon quickly and decisively. As the project establishment itself (the PMU and the DPMUs) is not an executing agency but a combination of a facilitating/supporting/and funding body, the monitoring of the performance of the project becomes in large part a monitoring of how the different parties engaged in its implementation fulfill their respective functions as outlined in the Project Cycle. A key feature of the performance monitoring therefore becomes that of monitoring the project cycle along its critical events or activities, in addition to monitoring the scheme specific outcomes as such.

2.1.2 Focus:

The basis against which the performance of the project is to be monitored is threefold:

1. The **capacity** of the various parties to enact their respective roles and responsibilities. This implies a focus on:
 - the extent to which the community demand is translated into an increasingly effective and active management as assessed over schemes, over the project cycle, and over batches (i.e. the community as owner/users rather than beneficiaries/recipients)
 - the extent to which the SOs can provide both a transparent and effective intermediary role (i.e., as site- and context-specific independent consultants to the communities rather than as standardised government lines/contractors)
 - the extent to which PMU/DPMU can provide the required level of professional/technical screening and guidance as well as the administrative support (i.e., to ensure optimal efficiency).

2. The compliance with ***contractual arrangements, plans, and agreements*** that govern the activities funded through the project. This implies a focus on:
 - contractual compliance with respect to inputs, outputs, and activities
 - financial management with respect to sound accounting, procurement, and asset management

3. The ***quality standards or improvement criteria*** laid down for project outputs. This implies a focus on:
 - effectiveness of materials procurement
 - design and construction of key components
 - extent and scope of community involvement underlying scheme proposals and their execution

It should be noted that the process of answering these questions will contribute, in itself, to building stakeholders' capacities, improving compliance, and enhancing quality of project outputs.

2.1.2 Indicators:

Indicators for Assessing the compliance of various Institutional Partners to contractual obligations:

Planning Phase:

SO: (2nd Payment, Planning Phase)

- satisfactory narrative/financial reports
- project staff hired, trained, working
- HESA sessions underway as planned
- CAP Sessions underway at Cluster level
- 'Agree to do' meeting successfully completed
- Monitoring Activities (Community Monitoring) Completed
- tapstand groups formed
- Optional NFE classes underway as planned

SO: (3rd Payment, Planning Phase)

- Narrative/financial Completion Report acceptable
- VWSC formed completely
- capital cash contributions made and accepted
- O&M cash contribution made and accepted
- Community Action Plan (CAP) is completed
- Implementation Proposal is submitted
- Design/ estimate is submitted
- All Phase Activities Completed

PMU/DPMU:

- technical and financial support as per stipulation and time plan

Implementation Phase:

Community/VWSC:

- fulfillment of 'agree-to-do' provisions
- O&M plan and caretaker arrangements
- transparent accounting

SO:(2nd payment, Implementation Phase)

- narrative/financial reports accepted
- Conditions for part payment #2 (construction Materials) met
- Plans A1-A9 are being implemented as per CAP in all clusters
- VMW training, WDI workshop, VWSC construction management, VWSC treasurer and any other specified training completed
- Part 1 of construction activities completed as per standards
- SO has submitted documents regarding Payment #2, delivery of non-local materials, transfer of WDI and HSL subsidies funds, statement of joint books of accounts, proforma invoices for part 2 of construction non-local materials

SO: (3rd payment Implementation Phase)

- Project Completion and financial reports acceptable
- All phase activities completed
- Community Monitoring completed
- Payment #3 formats completed certifying completion of all activities
- Activities A1-A9 are completed satisfactorily, including construction
- brand names of materials used are same as those on pro-forma invoices
- All training's planned are undertaken (VMW, VWSC)
- SO has submitted documents including payment #3 formats, joint bank statements, evidence of regular O&M collection, savings have been transferred to VWSCs' own account

DPMU:

- support/supervisory visits in connection with critical components

PMU:

- processing/coordination as per Implementation Plan

Indicators regarding the capacity of the various institutional players:

Community/VWSC:

- existence of records and accounts
- existence of time sheets and construction journals
- functional arrangements for O&M (scheme mechanic; tapstand care-takers; regularised system of contributions)

SO:

- permanence of staff deployed;
- degree to which SO is integrated with project area communities
- quantity of field visits and durations
- consistency of leadership

DPMU

- permanence of staff; frequency and distribution of site visits;
- lead time between request for support/guidance and provision

PMU

- permanence of staff;
- lead time in processing project cycle;

Indicators for assessing the Quality of Output:

Planning Phase

- relative existing service level of proposed sites (reach)
- no. of qualified approvals and rejections of Implementation Proposals

Implementation Phase:

- no. of schemes constructed as per designs
- incidence of sub-standard critical construction points
- no. of trained village volunteers functioning at end project certification (over category)
- proportion of tapstands/ connections in working order at end project certification
- no of improvements undertaken since construction (source protection, watershed management)

For monitoring the Planning Phase the following *instruments* will be used:

- DPMU second payment visit report. Agree-to-do site visit report, periodic support visits as may be required, and PMU/SA site appraisal reports;
- SO narrative/financial reports in connection with payment claims and completion report accompanying Implementation Proposals;
- VWSC records on (or narration of) community and SO time/activity (as maintained by the VWSC).

For monitoring the Implementation Phase the following instruments will be used:

- DPMU second payment visit report;
- SO narrative/financial reports in connection with payment claims, including Implementation Contract Completion Reports (ICCRs);
- Portfolio Manager Scheme Completion Reports (SCRs);
- other DPMU monitoring visit reports;
- VWSC daily logs, time sheets, store ledgers and accounts, records of meetings.

2.1.3 Scope:

(a) Planning Phase. The *roles* of the various parties during this phase are:

- PMU: making available the financial and technical inputs agreed upon; plan and coordinate training; assess and appraise the final proposals; ensure compliance with activities and conditions agreed upon; provide overall guidance to SOs;
- DPMU: provide and coordinate inputs to SOs as per agreements, supervise the activities carried out by the SAs, follow up scheme level activities;
- SO: undertake the required mobilisation and training activities as per the agreement; facilitate and promote an active local participation in the community action planning; facilitate and actively assist the constitution of a representative VWSC; introduce and train committee members in the procedures required to enable their active management of inputs and assets during the implementation phase; assist the community in translating the community action plan into a formal and viable scheme proposal;
- Community: cash contribution as per agreement, under the guidance and support of the SO undertake mobilisation activities and generate information as required; constitute a representative water committee; generate a publicly endorsed community action plan.

Monitoring: The main thrust of the performance monitoring of the Planning Phase centres around the lead facilitating role of the SOs during this phase (extending the reach of public subsidies in RWS-ES improvements to the localities with a relatively lower service level, articulating and institutionalising the demand for feasible improvements, and providing the professional inputs for turning this demand into viable investment proposals).

(b) Implementation Phase:

The *roles* of the different participating parties are:

- Community/VWSC: 'client supervision' and quality control during implementation; mobilise and coordinate labour inputs; together with the SO operate the joint bank account and undertake procurement as per specifications; maintain planning documents and VWSC records, stock registers, and accounts in a transparent manner;
- SO: strengthening the capacity of VWSC towards being an effective co-manager of the implementation; provide or make available to the community the required level of technical guidance and professional assistance; in consultation with VWSC assist in the procurement of materials; promote and assist activities as agreed upon in the tri-partite contract;
- DPMU: monitor, and effectively act upon, the respective performance of the SOs and the VWSCs; assess execution of critical works/inputs; provide preventive and promotional

guidance to SOs as required; administrate financial and other inputs as stipulated in the contracts;

- PMU: coordinate overall inputs and training activities; guide and support DPMUs; ensure adequate financial control and transparency throughout the project; plan, contract and administer SA inputs; on the recommendation of the DPMUs initiate action on contractual matters vis à vis SOs and VWSCs.

Monitoring: The performance monitoring during this phase must be based on, and lend support to, a changing pattern of roles and responsibilities - both between this phase and the preceding one, and within this phase itself. While the project's centre of gravity during the pre-planning phase is the PMU, and during the Planning Phase the SOs, the Implementation Phase is characterised by a decisive emergence of the VWSC as the managerial and institutional kingpin of the project. The function of the performance monitoring is correspondingly to reflect the extent of such a shift when following up the capacity, compliance, and quality of output of the various parties.

Of special importance is that the DPMU, during the course of its interaction with the communities and SOs, assesses the capacity of the participating SOs against the key indicators used at the point of original SO selection (Operations Manual, Section 3.2.). This will form an important element in promoting compliance as well as capacity of the SOs, individually and as a category within the delivery system as a whole. It is similarly important that the DPMU, in dialogue with the VWSC, reviews the community capacity and ability to take an active role as clients of the construction and implementation of the integrated schemes, both against the provisions laid down in the tri-partite implementation contracts and in terms of their future responsibilities as managers of the tangible and non-tangible assets created.

Since performance monitoring is considered critical, it is undertaken in 100% of SOs and scheme communities, and includes assessment of PMU/DPMU and SA interactions with all those communities. Contract compliance aspects of performance monitoring is in practice a dialogue - SO/VWSC submit proposals, financial reports and payment requests. These are then verified by the SAs/portfolio managers' site visits and payments are either recommended or rejected.

The SOs will conduct self-monitoring as part of this system. This in practice means, that the SOs/VWSCs fill the monitoring formats describing the status/quality of the product and then, depending on the past record and performance of the SOs/VWSCs in question, a portfolio manager or SA is sent to verify the facts presented. Financial audits are held at the end of the Planning Phase (informal) and after final payment visits and Scheme Completion Reports are completed.

The chart below lists the activities of performance monitoring, their sequence and who undertakes which activity.

Activities undertaken by the SO	Format/Source of	Monitoring and Evaluation activities undertaken
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	Information	by the PMU/Service Agency
PLANNING PHASE		
Planning Phase Proposal from SO	Planning Phase Proposal	
The SO and PMU sign the Planning Phase Contract Terms of Reference attached	Planning Phase Contract	
		First payment as an advance
CAP process - Plans prepared in the community	Implementation Proposal	
SO submits financial report and a second payment request SO can also be asked to fill the M & E information, status and whether the indicators are fulfilled	Planning Phase 2nd Pmt Request, narrative/financial report	
CAP process continues - Plans prepared in the community		
	2nd Payment performance and process monitoring report, Payment Authorization form	Second payment visit, compliance to the contract, Terms of Reference and the proposal are verified Payments recommended or rejected This includes the "Agree to do " Visit Report
SO/WWSC submits the Implementation Phase Proposal, Planning Phase completion report, financial report and a third payment request	Implementation Phase Proposal, Planning Phase Completion Report, Financial Report	
		The PMU or SA undertakes Financial Audit
	Implementation Proposal Site Appraisal Report	Site appraisal of the Implementation Phase Proposal Acceptable Implementation Phase Proposal will manifest the compliance and third payment will be recommended
IMPLEMENTATION PHASE		
The SO, VWSC and the PMU sign the Implementation Phase Contract Accepted proposal attached	Implementation Phase Contract	
		First payment as an advance, Part Payment for the non-local materials
Materials transported to site, construction and software activities undertaken		
SO submits financial report and a second payment request . The SO can also be asked to fill the construction monitoring formats	Implementation Phase 2nd Pmt Request, narrative and financial report, Construction Monitoring Formats	Construction Monitoring by DPMU/SA to verify SO Reports and provide TA
	2nd Payment performance /process monitoring reports, Authorization Form	Second payment visit, compliance to the contract Terms of Reference and the proposal are verified Payments recommended or rejected
Construction and software activities continue		
SO submits the Implementation Phase Contract Completion Report, with the financial report and the third payment request	Implementation Phase Completion Report, financial report and 3rd payment request	
	SCR, or ICR Verification Report	Third payment visit Construction quality and software activities verified based on the ICCR
	PM's Scheme Completion Report	Portfolio Manager reviews the ICCR and the site verification by SA The Portfolio Manager then produces the Scheme Completion Report Pending on the satisfactory performance of the SO and quality of work in the field, final payment is recommended
	Financial Audit Report	The PMU hires an SA to conduct Audit

In pursuing, and responding to, the performance monitoring it is important to keep in mind the different strengths and weaknesses of the various SOs.

2.2 Process Monitoring

2.2.1 Purpose:

To assess the content, usefulness, and momentum of approaches advocated by the project as its carrying operational principles This implies analyses over scheme implementation, over project cycle, and over batches. Lessons learned will be utilized to continuously improve institutional arrangements, procedures, training/communications and other interventions, as well as feed into longer term/policy level assessments in Strategic Monitoring.

As laid down in the Operations Manual, the UP-RWSES Project is guided a series of approaches and concepts that constitute the essence of its operational strategy and at the same time set it aside from other, earlier or ongoing, RWSES programs. It is therefore crucial to monitor the extent to which these approaches actually permeate project implementation, as well as the extent to which they effectively enhance the quality and scope of the project activities. Such a monitoring of the processes set in motion through the project does not easily lend itself to direct decisions in concrete instances, and its purpose is indeed different. What it tries to do is to provide each relevant stakeholder and participating body with a perspective on the strength, weaknesses and risks involved in a venture that is more than just ensuring a more effective delivery system. Its focus is not on contracts or products, but on what happens in between these. In so doing it lays the basis for continuously improving instruments and procedures adopted.

2.2.2 Focus:

Process Monitoring focuses on whether, and the degree to which, specific institutional arrangements, procedures, instruments, norms, interventions, human resource development approaches, training and communications techniques and tools, and processes utilized in the project support the values, or carrying concepts of the Project. The carrying concepts that should guide project implementation are, as per the Operations Manual, the following:

- a demand led and decentralised approach, which emphasizes strengthening the role of local organisations in service delivery, and the role of Govt. in facilitating human resource development, monitoring and regulation;
- effective ownership, management, and operations of RWS-ES assets by the village communities;
- enhancement of the role of women;
- participatory decision-making in all phases of project implementation with a choice of a wide range of water supply and environmental sanitation technologies and behaviour changes, reflecting community preferences;
- user cost contribution and cost recovery for capital and O&M costs respectively;
- a balanced and integrated approach as between improved hygiene and behaviour and sanitation on one hand, and augmentation of water supplies on the other;

- a strong emphasis on environmentally sound approaches, including source management, catchment protection, and overall watershed management
- a strong monitoring and evaluation system

2.2.3 Indicators:

For an initial project period, the following focus issues were identified by the PMU and consultants. In Process Monitoring, the focus should shift as significant issues emerge. The strategy provided below, and related tools, should be seen as a starting point. Of particular focus at the beginning of the project is whether and how CAP processes, and related training and methods, are successful in enabling community decision-making and choices. This is important to see if there is a “paradigm” shift as sought by the project is indeed occurring, given that many PMU staff, and some SO staff, are unfamiliar with participatory approaches. Stress is also given to how VWSCs are formed and trained, and whether or not formation strategies, procedures and related training are functional. The CAP process and community organization are both underpinnings of the Project Strategy.

Stakeholders are also keen to see if the measures taken to ensure greater roles for women as a project approach are indeed working, and how. Fourthly, priority is given to whether measures to ensure cost recovery are adequately functioning, and how. Fifthly, focus is chosen on the effectiveness of procedures, criteria and training meant to bring about environmental action plans and related changes. Sixth priority was given to determining whether the project’s training and efforts are successfully balancing physical changes in RWS-ES with attention to behavioural changes related to hygiene and sanitation. Finally, priority was given to institutional arrangements, although whether and how they are working may only be known in the latter stages of the project. Still, at this stage, it is essential that information begin to be collected and analyzed.

Process Monitoring Information Gathering Strategy:

Type and Focus of M&E	Indicators	Information Gathering/Timing
<p>Process M&E <i>Whether, and the degree to which specific institutional arrangements, procedures, instruments, norms, interventions, training and communications techniques and tools, and processes utilized in the project support of the Project Promote:</i></p> <p><i>CAP Process, SO training, SARAR/PRA methods:</i> - A demand led approach, with participatory decision-making in all phases of project implementation, including a choice and range of water and sanitation technologies, reflecting community preferences</p> <p><i>VWSC Training, Mgt. tools:</i> - effective ownership, management and sustained operation and maintenance of RWS-ES assets by village communities</p> <p><i>Procedures, Criteria, Training, HESAWDI Interventions, PMU staff selection processes</i> - enhancement of the role of women</p> <p><i>Procedures, Criteria, Training</i> - user cost contribution and cost recovery for O&M costs respectively</p> <p><i>Procedures, Criteria and Training</i> - environmentally sound approaches</p> <p><i>Procedures and Training.</i> - a balanced approach between improved hygiene behaviour and sanitation on the one-hand, and augmentation of water supplies on the other.</p> <p><i>Institutional Arrangements:</i> - a decentralized, community based approach to RWSES with strengthened role of local organizations in service delivery and role of Government as facilitator, regulator, monitoring agency²</p>	<ul style="list-style-type: none"> - No of CAP Sessions Undertaken - If/how Participatory Tools used in CAP - nos. and types of choices, including technical options, discussed by communities as part of CAP - Use of Indigenous knowledge and technical practices in the Design - % households participating in CAP Sessions - % households participating in community monitoring - Regularity of VWSC Meetings - No. of disputes vs successful resolution - mechanisms in place for regular collection of O&M - Utility and simplicity of mgt. and reporting tools used by VWSC - No. and proportion of women in construction work, tapstand committees, VWSC, NFE/HESA, and in PRIGs/EHGs related activities - types of decisions taken by women as part of community action planning - Women's role in M&E - % women in PMU/DPMU Mgt - percentage of communities agreeing to make contributions and actually providing at end of Planning Phase - % communities successfully raising capital contributions - % households making regular O&M contributions - % proposals meeting environmental requirements - types of mitigation measures employed - % village discussions of water supply vs sanitation and health - quality and quantity of sanitation and health and environmental sanitation education activities built into CAPs - nature and instance of support asked for by, or given to, the SO - SO's increased technical and social development capacity - increased roles of communities and local SOs in service delivery - comparisons with other projects in sector - No and type of new roles assumed by PMU and Gov't agencies in facilitating, regulating and monitoring RWS-ES activities 	<p>PRE-PLANNING PHASE - Site Appraisal Information of prefeasibility Information</p> <p>PLANNING PHASE - Use of Structured Dialogues with the Community focus groups using participatory tools during informal visits by SAs (not payment Approval Visits)</p> <p>IMPLEMENTATION PHASE - Use of Structured Dialogues with the Community focus groups using participatory tools during informal visits by SAs (not payment Approval Visits)</p> <p>- Regional Review Stakeholders Meeting</p> <p>- Annual Review Stakeholders Meeting</p>

² /This final indicator will be studied only after several batches of projects have been completed

2.2.3 Scope:

(a) Planning phase:

As virtually all of the guidelines and carrying concepts laid down for the project are given their shape during the planning phase it is of vital importance that information is systematically gained as to the nature and content of its activities. This is particularly important during the first batch in order to gain insights to feed back into training, into contractual arrangements, and into the role of the PMU/DPMU. The basic tool to be used for process monitoring during the Planning Phase is structured dialogues at the community level undertaken by DPMU staff during supportive site visits (as distinguished from the more formal events of payment visits). For each SO, focus group sessions are held with the SO team and at least two village sites per SO during the latter part of the Planning Phase. Sample Focus Group Tools are provided in Chapter 4 of this Manual, which relate to the indicators identified for process monitoring.

(b) Implementation Phase:

The basic tool to be used for process monitoring of this phase is again through recurrent visits by DPMU/SA staff (de-linked from the formal inspections/payment visits) at least once during the envisaged 12-month period, and undertaken towards completion of the distribution system of the scheme. Tools for these visits are provided in the following section.

A compilation and profile of the information generated shall be put together by the DPMU and submitted to PMU (Monitoring Unit) for use in the central M&E analysis and reports (Quarterly, Annual, etc.), and for dissemination and discussion at the annual Project Consultative and Monitoring Meetings.

2.3 Impact monitoring

2.3.1 Purpose:

To assess the extent to which the schemes, sub-projects, and other RWS-ES services aspects of the Project as a whole actually promote the project objectives. This impact monitoring also feeds into longer term/policy level assessments in Strategic Monitoring.

The UP-RWSES Project has two levels of objectives. One level is strategic, in terms of what long range effect the Project is having on the sector by identifying and implementing an appropriate policy framework for sector reform, and as part of that, to introduce and test alternatives to the current supply driven approach to service delivery. This will be defined as a part of Strategic Monitoring in the next section. At the more immediate level, impact regarding the project's package of investments (in actual services) needs to be measured. Impact Monitoring focuses on that level: whether and to what degree

the project has delivered sustainable health benefits through improvements in water and sanitation services, improved rural incomes through time savings and income earning opportunities for women, and promoted greater awareness and local management capacity regarding gender, sanitation and environmental management.

Impact monitoring is different from the other types of monitoring. First of all, it is more direct in the sense that its basic concern is whether or not the objectives of the project are being reached, not with how things were done or whether other (perhaps equally important) side effects were gained. In that sense it is more of a 'yes or no' monitoring, seeking to provide an answer to the main clients of the project - at the scheme level for the community, and at the project level Govt. of UP (and The Bank) - as to whether or not the institutional, financial, and time investment is sound.

2.3.2 Focus:

Whereas both performance and process monitoring have as their main audience the project implementers, the focus of impact monitoring is to provide the clients with information, in this case the Govt. of UP (and to a certain extent the Bank), as accountable stakeholders of the project, and the community as actual owners of the schemes in order to enable them to assess their own achievements and the roles of the PMU, DPMU as well as the SOs.

Furthermore, the information to be provided revolves around the objectives laid down for the project at the project level as well as at the scheme community level. As such, impact monitoring is also the one that most clearly distinguishes the different levels, and the different information needs of the different levels. Monitoring for the Government and The Bank, as well as for other stakeholders external to the village, will be referred to as **Impact Monitoring**.

2.3.3 Indicators:

At the Project Services Level, there are three overall objectives against which impact of project services should be monitored. These can be broken down into the various project level with respect to indicators as well as methodology as follows (next Page):

Type and Focus of M&E	Indicators	Instruments for Information Gathering
<p>Impact M&E</p> <p><u>-sustainable health and hygiene benefits</u> to the rural population through improvements in water supply and environmental sanitation</p> <p><u>Economic Impact</u></p> <ul style="list-style-type: none"> - time savings and reduction in domestic drudgery through greater accessibility - ERR, BCR - Strengthened base and potential for gender-sensitive economic development through time-savings and enhancing income earning opportunities for women <p><u>- Increased sanitation awareness and local environmental management capacity</u></p>	<p><u>Health</u></p> <ul style="list-style-type: none"> Diarrhea morbidity Diarrhea mortality <p><u>Source of Water Use</u></p> <ul style="list-style-type: none"> - type of water source - use of protected source - Animal/human waste around source - water quality test -water consumed per capita <p><u>Personal Hygiene</u></p> <ul style="list-style-type: none"> - hand washing practices - frequency of bathing and washing <p><u>Domestic Hygiene</u></p> <ul style="list-style-type: none"> - improved water handling storage and use - Food handling and use - absence of children's feces around house - animals are penned - latrine use by children and adults <p><u>Time Savings</u></p> <ul style="list-style-type: none"> - average number of trips per day per household to carry water - weighted average length of time needed for round trip to the source, including going, waiting time and returning - wage rate - cost of scheme - increased time available for income generation - linkages made to credit opportunities and markets for women in project villages - no. of women participating in NFE activities - training opportunities for women in RWS-ES <p><u>Environmental Sanitation and Environmental Mitigation</u></p> <ul style="list-style-type: none"> - Waste water absent around house - use of compost pits - drainage around water source - protection of water sources - nature and instances of community preservation of catchment areas 	<p><u>Project Level</u></p> <ul style="list-style-type: none"> - Purposefully selected KAP studies at end of project and on 3 year recurrent basis (post implementation) <p>-Primary source is site appraisal of Feasibility Studies (before scheme) and Scheme Completion Report verifying Implementation Contract Completion Report (after scheme)</p> <p>- source of information about other economic benefits are class attendance records, training records, and process monitoring reports</p> <p>- Health KAP</p> <p>- proposals, ICRs,SCRs</p>

2.3.4 Scope: Impact Monitoring is tightly tied to the project cycle, as described below:

Health & Hygiene Impact:

With regard to health & hygiene impact, KAP studies are conducted by DPMUs/SAs once, in the early stages of the planning phase, and secondly, after construction and before the end of the Implementation phase. Baseline Health Data (KAP) studies are undertaken to establish baseline information on hygiene and sanitation to assess changes in hygiene and sanitation practices, determine changes in per capita consumption and assess time savings. The task involves observing personal hygiene, and domestic and environmental sanitation in addition to detailed information on

water consumption per household/day, time per trip (in water fetching task) and total time spent in water collection tasks (per household). The scope of these studies is one village per SO, or initially about 20% of the first batch. (As part of Strategic monitoring, they will also be completed 3 years and 5 years after scheme completion, at least for the first batch of projects).

Economic Impact:

Precise data for time savings is obtained from two primary sources:

- *Before the scheme:* the pre-feasibility study and related site appraisal which confirms the existing situation at the end of the planning phase, and
- *After the scheme is implemented:* through the Implementation Contract Completion Reports (ICCRs) as confirmed by the appropriate site appraisals and Scheme Completion Reports, in which the portfolio managers confirm the information of the ICCRs. Data can include 100% of schemes as these proposals/reports are available for all schemes. Time savings measurements taken as part of KAP can be used to cross-check results.

Mitigation of Environmental Impacts:

Data is taken from Implementation proposals and subsequently from site appraised ICCRs/SCRs, when available during the project cycle. Data can include 100% of schemes as these proposals/reports are available for all schemes.

2.4 Community Monitoring:

2.4.1 Purpose:

To enable users at the community level to monitor their own progress as per objectives they have set in their own action-planning. As such, community monitoring will stress villagers' self-assessment of changes in impact over time, but also include elements of monitoring the performance of other stakeholders (SOs, DPMU, PMU) as well as assessment of the process/interventions they have experienced as part of completing their schemes.

2.4.2 Focus:

Community level managers, and the community at large, need to measure their own progress in order to improve their situation and sustain public commitment to the investment in water and sanitation, and especially to reinforce sensitive changes in behaviour which would be required to achieve and sustain overall achievement in each scheme's objectives. As managers, villagers need to be involved in selection of focus questions themselves. However, sample focus questions may revolve around the following items:

- (i) What health benefits and improvements in personal hygiene, domestic hygiene/sanitation, and environmental sanitation practices are occurring over time in our village?
- (ii) What are the specific changes occurring in terms of the physical environment? What changes are occurring in terms of facilities being brought closer to dwellings, replacing polluted sources, or in terms of providing larger quantities of water? What sanitation improvements (latrines, wastewater, and solid waste) have occurred, and where? What is the status of physical sources, the catchment area, and their protection?
- (iii) In terms of time saved, how much have women been able to utilize free time to improve their lives? How did they use time before the project and how did they use it afterwards? What new activities, if any, are the women able to undertake?
- (iv) Are the SOs involved in the project providing services as agreed to the village? Are services of quantity, quality agreed and are they being provided on a timely basis?

2.4.3 Indicators:

In terms of Impact Monitoring, the indicators will be simpler, but similar to those used in externally led impact monitoring, except that villagers will have a choice of which indicators (personal, domestic and environmental sanitation and practices) they want to utilize. Secondly, in terms of SO performance, villagers will also identify their own indicators, but they should conform to what the community has agreed with the SO for the Implementation Phase. To some degree, verification of some milestones will also be accomplished through regular contract management, e.g., when the materials arrive the villagers will also sign that specified materials have been received and accepted. Villagers' daily logs will also be a means by which they can track achievements against targets regarding actual construction of schemes.

The following describe, in summary, sample indicators appropriate to community monitoring:

Impact:

- old water use patterns and new ones after scheme completion
- changes in use of time by village women
- changes in relative wealth status of each villager as determined by villagers
- actual physical changes (new installations, new plantations in catchment areas), i.e., actual increase in village assets
- amount of money in O&M Fund

- changes in specific hygiene and sanitation practices (e.g., handwashing, disposal of infant feces, use of latrines, improvements in food and water handling, etc.)
- changes in environmental situation (source protected, drainage around taps, nurseries started, trees planted, composting, etc.)

Performance:

- number of SO visits to the village and time spent and by whom
- technical supervision available when needed from SO
- SO has involved us (villagers) in procurement

Indicators: The SO will assist the community in utilizing a variety of participatory monitoring techniques:

- Regarding health practices, the Healthy Homes Activity, derived from PRA will be used, along with SARAR tools such as Pocket Charts which can help villagers trace their own water use/sanitation practices.
- Regarding actual physical changes in village assets, community mapping will help villagers plot actual changes before and after the project in terms of water supply, sanitation and environmental improvements. Coloured pins or markers utilized on these maps can be used to illustrate how well each components, such as each tap, is functioning.
- Time Use Analysis Cards can be used by village women to track how they used their time before and after the scheme, and as a starting point to discuss what changes it has brought to their lives.
- Community Census and Poverty ranking tools can help villagers keep their own record of improvements in the status of each family, and whether the system continues to serve the whole community.
- Wall posters can make village finances transparent, with basic information about village accounts posted for all to see.
- Daily logs are also useful tools to track construction progress.
- In terms of tracking SO performance, VWSCs can also keep a wall chart which indicates the type, quantity and ranking of different services provided as decided in regular VWSC meetings.

All the information derived from such participatory activities should be displayed as wall maps, charts and murals showing changes as they occur. Activities can also be repeated, such as healthy homes, on a regular basis, as a stimulus to actual changes of behaviour. Details of major Community Monitoring Tools are provided in Section 4.4 (Tabs L,M,N,O)

2.4.4 Scope:

Community Monitoring should be conducted by all communities, as it helps to build their own management capacity. Community Monitoring Activities begin early in the Planning Phase, just as informal cluster

groups are formed and begin to get involved in the project. Community Mapping, Healthy Homes, Wealth Ranking and similar tools are initially part of community investigation. Community Mapping will also be done after scheme completion so villagers can assess their accomplishments. The same timing would be appropriate for time-use analysis and wealth ranking. Healthy homes is also conducted before HESA sessions, and then again near the end of the Implementation Phase. However, some groups may want to continue the effort on a regular biweekly or monthly basis which can also be an incentive to keep the community clean. As such, it can become a regular community management tool.

In terms of other community monitoring, the community will keep daily logs during the implementation phase, and these should be available to the whole community. Wall charts on SO services can be kept during both phases, after the VWSC is organized. Certification of receipt of materials, and certain SO inputs, are confirmed as during performance monitoring and are a prerequisite for payments.

2.5 Strategic Monitoring

2.5.1 Purpose:

To assess the longer term impacts, as well as summary lessons learned derived from performance and process monitoring over time, in terms of the degree to which policy reform objectives of the project have been achieved. This includes ongoing assessment of the relevance and content of specific aspects, processes, or assumptions central to the Project's strategic content. Strategic Monitoring serves not only as a learning and dissemination tool within and beyond the confines of this UP RWS-ES, but also to ensure that the emerging policy promoted through the project has sound underpinnings. Information from all other types of monitoring, listed above, shall also be utilized for developing these policy/sector level lessons.

Two central Project objectives relate to Policy Reform. One is to assist the GOUP to identify and implement an appropriate policy framework to promote long term sustainability of the Rural Water Supply and Sanitation Sector—another to test alternatives to the current supply driven service delivery mechanism. **Strategic Monitoring** helps determine whether those objectives have met, as well as broader lessons which contribute to sector work on a regional and global level.

Related to these longer term policy objectives, there are a number of institutional, programmatic and policy assumptions around which the project is built. To some extent, Strategic Monitoring becomes a question of continuously exposing the project to similar efforts elsewhere by making it part of a network or 'strategic alliance' thereby both avoiding re-inventing wheels and also to gain a better understanding of the issues at stake. Such an exchange of experiences should take place both between the different

stakeholders within the project through *Consultative meetings* , and between peer-stakeholders of different projects by way of study tours and sharing of information (ibid).

2.5.2 Focus:

The main purpose of strategic monitoring is to provide a platform for learning (rather than for active decision-making). Related to the policy reform objectives of the project, several focus questions emerge. Their primary function is to inspire and inform policy by questioning the 'givens' surrounding both centralized service delivery programs in general and RWS-ES dogmas in particular. More specifically and in the context of this project, there are six focus questions that require sustained attention:

- are the alternative institutional arrangements, project rules and procedures creating the right incentives: are they conducive to providing sustainable services based on what the users want and are willing to pay for, or are they merely creating another alignment on how to gain access to public sector largesse at the community level as well as at the SO level ?
- Is the PMU, with the support and guidance provided by The Bank, able to find means to effectively partner and sustain relationships with NGOs and Communities which empower local capacities, i.e., undertake a facilitative, supportive role, or revert to overly controlling, quasi-operational roles due to pressures to retain external accountability? To what degree do, institutional arrangements, rules and procedures affect these relationships?
- Are project phasing, sequencing of interventions, participatory training and planning approaches, technical assistance and communications strategies sufficient measures for building local decision-making, technical and management capacities, promoting greater gender and minority group equity, and contributing to greater sustainability of local institutions and assets? Or do communities revert to crisis management once the project is over, only handling problems as they crop up?
- Does the shift of control in the project move as planned from the PMU/DPMUs to SOs, to communities, so that they are fully enabled to complete community action plans, choose levels of service, and prepare arrangements for project implementation and subsequent O&M ?

- are there incentives to reduce costs and obtain efficiency in service delivery including the costs of intermediation ?
- are the criteria for financial or economic viability of the schemes (e.g., the economic significance of time savings) sound arbiters for investment decisions and if so, under what contextual or behavioral circumstances?

2.5.3 Indicators :

To follow up these questions require nothing less than concurrent thematic assessments, informed by experiences elsewhere and carried out professionally on a recurrent basis, by expertise with experience in similar programmes nationally and internationally. Such assessments can best utilize the information emerging from Performance, Process and Impact Evaluation studies and subsequent analyses from Quarterly, Annual, Mid-Term and Final Reports. It is important that the assessments, even if not directly relevant for the day-to-day operations of the project, are carried out and their results disseminated throughout the project fabric, and shared with similar projects in the region and globally. The chart below proposes indicators and Instruments for Strategic Monitoring, but these should evolve with time.

Objectives/Focus	Indicators	Information Gathering/Source
<p>STRATEGIC IMPACT MONITORING</p> <p>Objectives</p> <ul style="list-style-type: none"> - To assist the GOUP to develop and implement a long term strategy to improve the overall water resources management in the State of Uttar Pradesh and to raise the living standards in rural areas by improving the delivery of rural water supply and environmental sanitation services. - To test alternatives to the current Government led service delivery mechanism by improving the capabilities of sector institutions to perform appropriate roles in support of the demand-led and community based approach. <p><i>Focus Questions:</i></p> <p>To what degree are policy impact objectives being achieved?</p> <p>Are the alternative institutional arrangements, project rules and procedures creating the right incentives: are they conducive to providing sustainable services based on what the consumers want and are willing to pay for, or are they merely creating another alignment of how to gain access to public sector largesse at the community level as well as at the SO level ?</p> <p>Is the PMU, with the support and guidance provided by The Bank, able to find means to effectively partner and sustain relationships with NGOs and Communities which empower local capacities, i.e., undertake a facilitative, supportive role, or revert to overly controlling, quasi-operational roles due to pressures to retain external accountability? To what degree do, institutional arrangements, rules and procedures affect these relationships?</p> <p>Are project phasing, sequencing of interventions, participatory training and planning approaches, technical assistance and communications strategies sufficient measures for building local decision-making, technical and management capacities, promoting greater gender and minority group equity, and contributing to greater sustainability of local institutions and assets? Or do communities revert to crisis management once the project is over, only handling problems as they crop up?</p> <p>-are there incentives to reduce costs and obtain efficiency in service delivery including the costs of intermediation ?</p> <p>Are the criteria for financial or economic viability of the schemes (e.g. the economic significance of time savings) sound arbiters for investment decisions and if so, under what contextual or behavioral circumstances</p>	<ul style="list-style-type: none"> - extent to which procedures and instruments developed by the project gains foothold in overall policies and allocations for RWS-ES, - expansion/retraction of PMU efforts - new government roles as facilitator - greater involvement of NGOs, private sector, communities (Raj Panchayat) - number of schemes maintained after project intervention, 3 years and 5 years, comparison with other projects - whether cost sharing and O&M collections continue, 3 years and 5 years, comparison with other projects - Community level initiatives taken, e.g. from WOI, as a result of project, which require community savings or investments - satisfaction of SOs/Communities with project relationships - drop out rate of SOs who are well-performing - level of demand on SOs for schemes with required contributions vs public sector schemes with no contributions - type, no and nature of instruments used after project has completed several start-up tranches - Analysis of how flexibly PMU/DPMU staff interact with SOs/Communities - sustainability of local groups 3 yrs and 5 yrs. after project completion - changes in roles of women and minorities in the management of RWS-ES assets provided after 3 yrs, 5 yrs - quality of VWSC functions after 3 yrs or 5 yrs. - integration of project with other village development activities after 3 yrs, 5 yrs. - decrease in per capita costs as the PMU/SOs gain experience - documentation of village recommendations for cost reductions on designs - documented degree to which other benefits (social/health) emerge in project communities - no. of villages with water problems excluded due economic criteria 	<ul style="list-style-type: none"> a): Policy studies (special studies by external consultants), and annual Bank review missions/ consultations; (b) Post-implementation assessments on functionality on and management (1 yr., 3yr and 5 yr impact assessments) (c) Sample area surveys (include, non-project RWSES installations (d) PMU profile assessments of schemes over batches; from MIS data (d) Profile of Third Payment reports of implementation phase' independent SO audits (yearly sample) (e) case studies

2.5.4 Scope:

These activities are mostly of a secondary nature and will use data which emerges from the rest of the system as it progresses over time.

Longer term impact assessments (3rd and 5th yr.) can only begin three years after completion of the first batch of schemes. By the completion of the third year of the project, or shortly before the Mid-Term Review, impact studies of the first batch of schemes (1st year and 3rd year repeat studies) should be repeated to provide greater evidence about Project Services Impact. This can be done on a sample basis, e.g., 20% of schemes. These results in turn will help to justify (one way or another) conclusions about process issues and their policy implications for use in the Mid-Term Review. Sample area studies, which compare the results of the UP-RWSES Project schemes with those of other/regular projects should also be conducted in time to feed into the Mid-Term Review.

Performance data (in the form of profiles of schemes over batches) by the third year should also yield clear evidence of trends and some findings about institutional arrangements, which could justify/question assumptions made in the Project design. Similarly, third payment reports (ICCRs and SCRs) can feed into mid-term analysis.

Shortly after Mid-Term Assessment, special studies should be initiated to take a closer look at policy issues which the stakeholders in the project (Communities, SOs, GOUP/GOI, the Bank) agree as being critical (having emerged from the Mid-Term Review). To be relevant, such Policy Studies can only be developed in detail once sufficient experience is gained. However, the studies should, in general terms, be looking at key issues emerging from this public/private partnership effort in terms of policy consequences. Is the government moving into more supportive roles as planned, and decentralizing service delivery? If so, how is that working? To what degree is the Project affecting policy, or the regular projects of the GOUP?

A series of Case Studies on seminal issues can also be commissioned once there is sufficient experience on the ground to make them meaningful, and once those issues which are most critical to policy analysis emerge from the evolving situation. These can be seen as supplemental to the other studies mentioned, and utilized where in depth, qualitative review is needed.

In a similar pattern, profiles of existing data and new studies can be repeated in the 12 months preceding the end of the Project and its Final Review, to provide a more thorough analysis of policy implications, and to serve as a platform for future sector work and identification of projects.

Section III: Analysis, Interpretation, and Use of M & E Data



3 Introduction:

Once information is gathered, the act of analysis and interpretation begins. Plans must not wait for the collection of data, for by then it is too late. Information begins to pile up and overwhelm staff as well as managers from the community to SOs to PMU staff and other decision-makers involved. For this reason, it is critical, in terms of the tools selected, to consider how the results will be recorded, studied and ultimately used. This involves identifying the audiences and means by which analyzed information will be provided. These audiences and means will be described in the sections below for each type of UP RWSES Project evaluation.

3.1 Issues to Consider: The central questions of any analysis are “What happened?” and “Why did it happen?”. These are very closely related to “How did it happen” as well. Emerging from these questions some patterns will appear that clarify key issues and help us to answer the questions we are trying to answer. It is also useful to compare results obtained from the UP RWSES Project with other projects, so that the monitoring and evaluation are given more meaning. Issues emerging from UP RWSES Project can be studied across evaluations and agencies, with the ultimate goal of improving sector learning and performance. It is the answers to key issues which enable us to determine lessons which can regularly be plowed back into practice and management of UP RWSES Project.

3.1.1 In participatory evaluation work, which includes aspects of M&E in the UP RWSES Project, there are lessons at two levels to start with. There are the lessons which people learn as they evaluate their own progress, and there are lessons which the PMU staff learns about the process, procedures or other practices. The staff may learn, for example, which kind of training bests reduces the dominance of SOs and sessions with the community. They may learn which tools or materials evoke a participatory response or skill, and which do not. At another level, we can look at larger questions: Is the overall UP RWSES Project process improving performance and sustainability? Does the concept bring in greater cost recovery than previous approaches? What mechanisms best lead to sustainability. These are important questions for the sector as a whole.

3.1.2 There are many approaches to the analysis of information, quantitative and qualitative, from simple to complex. In most cases, we should opt for the simplest, e.g., those that rely on straightforward arrangements of numbers and other indicators along a timeline, those which involve simple mathematical operations and which use the common sense and experience of our analysts to the fullest.

3.1.3 Quantitative Analysis: Most quantitative indicators will generate numbers that can be analyzed in a few ways:

- by noting their direction up or down, and over time
- by using simple statistics, such as means or averages, and
- by determining what part of a whole certain factors represent in percentage terms

In UP RWSES Project, Cost-benefit and effectiveness analysis is important for certain evaluation issues. Occasionally, there may be a need for more sophisticated mathematical analyses. But these should not form the backbone of our regular monitoring efforts. As always, the aim should be to identify and highlight those numbers that illuminate the central issues, and that can motivate our performance, and that have meaning for community-level participants as well. It would be one test of relevance to hold graphics workshops in communities and develop pictorial statistics about community activities, which are used and posted locally in the community.

3.1.4 Qualitative Analysis: Because in UP RWSES Project we are interested in social and institutional impacts, we will want to monitor some changes less amenable to numerical description. However, there are ways to systematically track such changes as well:

- *Turn answers into numbers.* Questions in interviews and group discussion can be either closed (permitting only a defined range of responses) or open (eliciting the respondents own words). Responses to closed questions can be counted and analyzed in percentage terms easily. Answers to open-ended questions can generally be categorized as well. Have several readers review and cluster answers. Once material is clustered, the number of answers in each can be counted and the material can be studied further to see what insights emerge.
- *Use Scales:* Often the changes individuals and groups undergo follow a similar evolution. Experience can form the basis for developing scales appropriate to the attitudes or skills being studied. The scales then become a useful information gathering tool, and can serve as an aid to analysis for participants as well as others. At the individual or group level, you can use the scale in conjunction with staff to assess progress over time. At the project level, many responses can be examined for trends and to identify problems.
- *Build upon the observational and analytical skills of staff.* Use in-house sessions to help staff express and understand more precisely the changes they have observed, and these discussions can amplify the picture obtained from reading the numbers. whenever possible, the unchanged words of participants add a rich and thought-provoking element to our analysis.

3.1.5 Standards of Success: Inevitably in the process of analysis, the question arises: Can what happened be considered a success? Put another way, why did it happen? This is where our judgment and

experience, as well as that of others is brought into play. There are several ways to interpret success:

- *measure the accomplishment of goals and objectives.* The use of this standard gain more validity as project experience grows and as participants become more active in the goal setting process.
- *Use project-based comparisons.* Controlled comparisons are those in which information collected from participants is compared with that of non-participants. However, trying to establish and monitor control groups is fraught with difficulty. More possible are time-frame studies: tracking change in participants over time, using key indicators selected at project inception, and incorporated into baseline data.
- *Use standards in the field.* While the practice of development is still more of an art than a science, there are sector-specific lessons that have accumulated from experiences throughout the region and the world. Results from UP RWSES Project needs to be compared with these experiences. It is also useful to consider the use of outside evaluators who can challenge staff and participants at all levels to look at what happened in new ways.

3.1.6 Reporting and Use: Analysis organizes information so that it can be interpreted and decisions taken. These interpretations occur at the level of each stakeholder in the project, and sometimes differ. To facilitate this process, reporting must be tailored to each audience and linked to some special mechanism to stimulate use. The UP RWSES Project evaluation system is designed to help decision-making at many levels. For example, if the healthy homes study indicates that poor motivation is more a cause of bad sanitation than *cognitive understanding of germ theory*, then staff can use HESA methods which address women's lack of confidence and build group unity and confidence so that they can better alter their situation and practices. Results of studies should be fed directly into curricula, learning experiences and materials to be used. When the one project in a neighboring country found out that minimum contribution criteria led to stagnant levels of contributions to schemes, it started testing ways to introduce more competition for schemes on the basis of contributions. It is always important to analyze the audience and their information needs. We may respond to the need of village participants with new curricula and materials, and to the UP/GOI (Government) with a report, and to the lender with more analytical information.

3.2 Analysis and Use of Performance Information: Performance information regarding compliance relates specifically to the contract level with SOs/communities and also the performance of the PMU and its DPMUs. It determines whether specific contractual obligations

of communities, SOs, SAs have been met at the project implementation level, and it determines whether the PMU/DPMUs have met their obligations as a facilitator of resources in a timely and efficient fashion.

Performance information is important to communities and SOs who implement projects, so that they can monitor their own progress and take corrective action. Another audience of information from the project level are the portfolio managers who must take corrective action if SOs/communities require it. Overall, information derived from all portfolio managers is provided to PMU Management, who will take corrective actions to ensure the overall work of portfolio management. PMU management will review periodic reports of portfolio staff which compile information on each subproject. Performance of the PMU is provided to the UP/GOI (Government) and lenders. The form of this information are quarterly and annual reports. Audit information, which is closely related to performance, is discussed separately below.

In terms of assessing capacity, performance monitoring helps to point out what strengths and weaknesses the SOs have, as well as the support the PMU/DPMU provides in the form of training, guidelines and other resources. It also assesses the efficiency of the PMU/DPMU in providing resources on a timely manner. This information is useful in determining whether new measures need to be taken to strengthen SOs, as well as the efforts of the PMU/DPMU and the SAs they hire in providing support.

Performance monitoring also assesses quality of output. This assesses to what degree are inputs producing the outputs of the desired quality. Particular attention is given to whether service levels and technical quality of schemes have been achieved, and also to the quality of participation and level of mobilized village talent during and after the scheme construction. As such, the information tells us to a large degree if we are successful in achieving what we set out to do. It should also help to identify where the weak links are in quality of output, whether it be in terms of SOs, project systems, or the DPMUs/PMU, or external factors.

This data, with other kinds of monitoring, feeds into regular reporting as well as into longer term perspectives through strategic monitoring. (See Reporting, 3.6).

- 3.3 Analysis and Use of Process Information:** Process information provides analysis on how the project criteria, institutions and practices are working (or not working), and what may be done to improve them. Process information at the field level is important to community managers who need to know how their own project is

working and what might be done to improve, for example, O&M fund management. At the SO level, SOs need to be aware of how the methods, procedures and support they are providing to communities are working, and how their interventions are working. At the DPMU/PMU staff level, it is important for portfolio managers to know how the services, rules, procedures, tools and formats which support financing and other supportive roles they play are working, and what can be done to improve them.

Process monitoring feeds into regular quarterly reporting and as well into annual and mid-term/final reports. (See Section 4.6, below)
Overall, lessons derived from process monitoring of UP RWSES Project field efforts is important for contributing to best sector practices in UP and in other states/countries. As such, it forms an important input into strategic monitoring.

3.4 Analysis and Use of Impact Information: Impact information provides insight into whether the project is resulting in sustainable water and sanitation services which are effectively and efficiently provided. The information informs many levels as to whether the benefits exceed the costs of the project interventions, the level of economic benefit to communities in terms of time savings, the degree of improvement in hygiene and sanitation practices (health), and the degree to which services are sustained. Impact information (to the degree becomes available) will be provided in quarterly and annual and mid-term/ final UP RWSES Project reports at the end of each project cycle. Longer range impact studies will also be conducted one, three and five years after a project cycle has been completed, as part of strategic monitoring. The more conventional impact data will be utilized by the Bank, PMU/DPMUs, and SOs to assess their progress. Villagers will utilize community monitoring for this purpose, and they will also be involved in performance assessments of themselves and their project partners.

3.5 M&E and Audit Requirements: Audits of subprojects will be conducted at the end of the Planning phase and upon completion of the project cycle. These audits will look at performance issues as well as compliance of institutions involved (SOs/communities/SAs) to general accounting principles. Annual audits of the PMU will also be conducted. As such, these audits are overseen by the Finance Unit of the PMU and not the M&E Unit. However, the results of the audits should also feed into the M&E system in reporting on performance and process results of the Project.

3.6 Reporting

3.6.1 Performance Monitoring Reports: The following chart notes the reports emerging from field work from each of the key players. As much as possible, performance forms have been designed to serve as tools for gathering data, as well as for reporting, as well as authorization forms for payments. In fact, they could also be linked to vouchers. These tools thus become "3 in 1" forms designed to minimize paperwork and improve efficiency. (See Chapter 4, Tools for Performance Monitoring) Indicators on these forms are exactly those of corresponding agreements or contracts. Together with site appraisals, they provide the information needed to confirm capacity, compliance and quality of outputs—all issues of importance to performance monitoring. It should be emphasized that application and use of these forms must be tempered with sound judgment. Someone sitting in Lucknow may be too removed from the field and thus tempted to be judging achievements on paper instead of on-the-ground. Reporting should note discrepancies from original plans but also take stock of the broader issues, and whether the overall commitments of players have been met rather than some minor detail which may have needed to be changed once construction is underway— based on common sense and the exigencies of the situation. All reporting and evaluative tools, especially for compliance, must be used sensibly if the project is to function. Information from these reports will be synthesized as part of Quarterly and Annual Reports on project progress.

It is important that the contents of these performance assessments are shared between the three parties involved in the field implementation (the DPMU, the SO, and the VWSC) to ensure transparency in the project implementation as well as being a support to clarifying the respective roles and responsibilities. It is the responsibility of the DPMU to compile, analyse, and structure the community and SO-specific information provided into aggregate profiles useable for improving performance. These reports will be submitted to the PMU as well as shared with the SOs/VWSCs concerned. At the PMU level they shall form an input into the STAC meetings approving Implementation Phase proposals in order to enable assessment of the 'delivery' system as a whole, to determine the need for focal strengthening or support (e.g., through training) throughout the project framework, or for recommending changes in the instruments and procedures that guide the relations between the different partners in the project.

Performance Monitoring Reports: Planning Phase

Support Organization	DPMUs	Service Agencies
- 2nd Payment Narrative and Financial Reports	- 2nd Payment Visit Report	- Excess visit reports to be handled by SAs
	- "Agree-to-do" Visit Report	
- 3rd Payment Report and Implementation Proposals	- 3rd Payment Visit Reports and Site Appraisals of Implementation Proposals	-1st Audit of SO/Community Accounts - Excess Site Appraisals

Performance Monitoring Reports: Implementation Phase

VWSCs	Support Organization	DPMUs	Service Agencies
-daily work logs	-2nd Payment Narrative and Financial Reports	- 2nd Payment Visit Reports	-Excess 2nd Pmt visit reports
-daily work logs -complaint reports	-Construction Monitoring Formats		
-daily work logs	-SO 3rd Payment Narrative and Financial Reports -Implementation Completion Reports (ICRs)	- Portfolio Manger Scheme Completion Reports (SCRs) to verify ICRs	- Final Audit of SO/Community Accounts - Excess SCRs

3.6.2 Process Monitoring Reports: One for each phase of a scheme, the DPMU recruits an SA to gather information using Process Monitoring group focus formats. A report will be prepared from each visit, synthesizing information in narrative form. Across these reports, trends can be identified, and eventually lead to deriving lessons about particular process issues. It may be necessary to undertake special studies when information about a particular process issue needs greater clarification. The Process monitoring reports will also feed into Quarterly Reports.

3.6.3 Impact Study Reports: SOs conducting KAP studies and site appraisals, as well as Portfolio Managers completing SCRs, will be preparing their own reports and submitting them to the PMU. The information from these reports will be synthesized and analyzed by the PMU's M&E Unit and utilized in Quarterly and Annual Reports.

3.6.4 Community Monitoring (Reports): The Project will not require any written reports derived from community monitoring other than that the monitoring has been conducted (as part of process and performance reports). Rather, community monitoring will be reported through novel use of local media, such as wall posters, charts and maps placed in the VWSC office or household of the VWSC chairperson or designated member. Exposure to such methods will be given to SOs as part of their training so they can help introduce them to villagers. Such materials should be simple to understand even for the partially literate and illiterate members of the community.

3.6.5 Quarterly Reports: These reports provide comprehensive analysis and interpretation of information derived from performance, process and impact monitoring and evaluation. They also report on whether and with what success community monitoring is taking place, and on longer term strategic monitoring. As such, they cover all five types of monitoring which are part of the PMU's M&E System. The Report is divided into relevant sections, which should include, but not be limited to:

1. The first Section of the Quarterly Report focuses on Performance Information, and includes profiles of the SOs, and schemes as they progress throughout the project cycle. This Section also provides information on the work of the

PMU and DPMUs, as well as with associated SAs or SO/SAs. The first section provides an accurate picture of progress against what was planned for that period. A narrative section describes the actual events of the quarter in terms of planned activities. A series of standard reporting charts, as provided in the Operations Manual, provide readouts of progress that can be compared each quarter. This includes actual progress against the overall PMU workplan, and statistics about contracts and their progress.

2. The Second Section of the Quarterly Report focuses on Process Monitoring Information, and includes an analysis of process issues as they emerge from field experience. As time progresses, this analysis deepens and yields lessons learned about specific approaches, institutional arrangements, procedures, methods, criteria, or tools and can be the basis of periodic adjustment of aspects of the approach.
3. A Third Section of the Report summarizes Impact Information, as it emerges. Initially, the existing situation can be described in summary form based on analysis of baseline data from KAP studies, and Time Savings data from prefeasibility, feasibility studies and site appraisals. At the end of each cycle, this information can be supplemented in summary form with information about the villages after the 33 month cycle ends, i.e., at the end of various batches. Obviously, long term impact studies will only come later, several years after schemes have been in place. However, for the duration of the project, simple information regarding actual change in physical conditions, time savings gained, and changes in health practices can be ascertained as evidence of possible longer term benefits. Increases in local management capacity can also be identified, if not proven.
4. Strategic Lessons for the Sector as a whole may emerge later in the Project, at least in sufficient quantity and quality to indicate at mid-term the desirability to expand or to alter basic project approaches. In the two quarters preceding Mid-Term, and in the two quarters preceding the Final Report, a section on Strategic Monitoring should also be included. (Annual Reports will also have a progressive analysis of strategic impacts and lessons learned, starting with assumptions and moving towards actual lessons later in the life of the Project as evidence is obtained regarding trends affecting policy.)

Quarterly Reports are thus the main reporting mechanism of the overall operations of the PMU, and help guide its major decisions through periodic review of trends emerging in the project.

- 3.6.6 Project Completion Reports:** These are compiled by an external evaluator for clusters of subprojects for each SO involved in UP RWSES Project. They include compilation of information obtained throughout the project cycle and from all forms of performance,

process and impact information. The reports represent the history of individual communities, and clusters of communities serviced by an SO. They constitute a major unit of analysis for decision making about future collaboration with an SO, and for tracking progress of the UP RWSES Project.

3.6.7 Annual, Mid-Term and Final Project Reports: These reports will be essentially based on the Model of the Quarterly Reports in terms of Organization. Annual Reports can be based on and summarize the work of the preceding year, lessons learned regarding process, and what has been learned about the starting point and changing conditions of the Project villages. Assumptions regarding Strategic Monitoring will be clarified and evidence regarding project hypotheses presented cumulatively. In addition to basic facts, summary data on progress, results of process monitoring regarding institutional, procedural and methodological issues—Mid-Term and Final Project Reports will devote significant attention to analysis of Lessons Learned in terms of Strategic, or Policy Level issues. This is particularly important as they form the basis for additional projects and achieving the policy reform objectives of the Project.

3.7 Review Meetings

3.7.1 Annual Consultative Review Meetings

Prior to the intake of SOs for a new annual batch an annual consultative Review meeting shall take place with the participation of all SOs selected VWSC representatives, project staff (PMU and DPMUs), as well as GOUP representatives. If possible such consultative meetings shall take place during the annual Review Missions to enable a participation also of the Bank representatives.

In advance of these meetings the DPMUs, coordinated and assisted by the Monitoring Unit of the PMU, shall circulate the following materials:

- Process monitoring reports of the Planning Phase
- Process monitoring reports of the Implementation Phase
- KAP sentinel studies carried out under impact monitoring
- post-implementation scheme assessments (ICRs/SCRs)
- digests of strategic monitoring assessments
- any other information that the PMU or individual SOs see relevant for common discussion

The purpose of these meetings is to provide a platform for internal sharing of information and experience and for a joint review of the extent to which the project procedures and instruments make possible decentralised and community entrenched RWS-ES improvements.

3.7.2 Study tours

Although strictly speaking outside the scope of M&E proper, study tours and structured exchanges of information and experiences form a vital part of the overall learning process.

However, in doing so it is important to maintain a per-group or peer-stakeholder concept it makes little sense for VWSC members to visit projects that fall largely outside their frame of reference, or for PMU members to visit purely NGO operated projects with little or no concern for the public policy or the overall institutional framework.

While it is important that a degree of flexibility is maintained in designing and carrying out such study tours, the following principles should guide their planning and execution:

- The peer group principle: At the project management level (PMU, DPMU) this means that only such projects as share the basic objectives of the UP-RWSES Project should be visited, nationally or internationally, and with the active host participation of the local project management. At the SO level it means that only those NGOs that are involved in the same sectoral efforts should form part of an exchange, while at the VWSC level only those communities that share same cultural and social characteristics should form part of a study tour of demonstration programme:
- the commitment principle: When designing the study tour programme as a whole whether it involves international, regional, or local exchanges- it is vital that only those are nominated that show the greatest commitment: to the objectives and purpose of the project.
- the dissemination principle, Each study programme should be based on a clear and effective commitment to sharing the experience with others in the overall project framework - through reports or through other types of dissemination.

Section IV: Sample Tools for Monitoring and Evaluation

4. Introduction to Sample Tools:

Sample Tools are provided in the tabular sections as follows:

- 4.1 Tools for Performance Monitoring, Planning Phase: These tools are in a form which enables efficiency of documentation. The same form serves as a tool, a report and an authorization form. The Agree-to-do Visit Form is part of the 2nd Payment Report. 3rd Payment checklist and Payment Authorization is attached to the Site Appraisal of the Implementation Proposal, or main output of the Planning Phase. Sample tools, linked to Contracts, are:

- A 2nd Payment Three in One Form
- B Agree to Do Visit Report Form
- C 3rd Payment/Site Appraisal Three in One Form

- 4.2 Tools for Performance Monitoring, Implementation Phase: Three-in-one forms are also used for this Phase. Additional Construction Monitoring, performed by the DPMU and/or designated SAs, is also provided. The ICR accompanies the 3rd Payment report/authorization cover. The Scheme Completion Report consists of a prefixed checklist which is to be attached to the ICR, verifying its information or noting any discrepancies based on Site visits.

- D 1st Payment Form & how to fill it
- E 2nd Payment Three in One Form & how to fill it
- F Construction Monitoring Form & how to fill it
- G 3rd Payment Three in One Form/
Implementation Completion Report (ICR) & how to fill it
- H Scheme Completion Report Checklist (SCR) & how to fill it

- 4.3 Tools for Process Monitoring: These four tools provide sample questions for use in focus groups with SOs and Communities, once per phase.

- I Process Monitoring Focus Group Tool, Planning Phase (SO and Communities) & how to fill it
- J Process Monitoring Focus Group Tool, Implementation Phase (SOs and Communities) & how to fill it

- 4.4 Tools for Impact Evaluation: A sample health KAP and Time Use Study form is provided. SAs are encouraged to use participatory approaches with this tool. Other sources for impact data include Feasibility Reports, Site Appraisals and SCRs (See Operations and Technical Manuals)

K Health KAP &, Time Use Study

4.5 Tools for Community Monitoring: Simple, participatory tools which can help villagers conduct their own monitoring are provided as samples:

- L Healthy Homes Activity (PRA),**
- M Community Resource Mapping/Community Social Mapping**
- N Time Use Analysis Cards**
- O Wealth Ranking**

4.6 Tools for fortnightly and monthly reporting: Sample formats are provided based on which fortnightly and monthly reporting can be done by DPMU as well as SOs. Monthly formats for reporting are mainly based on the project's scheme cycle, while fortnightly reporting formats are visit based.

- P Fortnightly reporting format & how to fill it**
- Q Monthly reporting format & how to fill it**
- R DPMU first visit information report & how to fill it**

4.7 Strategic Monitoring: This primarily uses the results of all the other forms of monitoring, and analyzes it in terms of policy level issues. Special Studies should be evolved after the Project gains experience (by the 2nd or 3rd year) and as required.

Section V. Summary Charts of M&E System

5.1 Summary Chart of M & E System

5.2 Summary Chart of Performance Monitoring

Type and Focus of M&E	Indicators	Information Gathering/Timing	Analysis, Interpretation and Use
<p>Performance</p> <ul style="list-style-type: none"> - Capacity of Parties to fulfill their responsibilities <p>- Contractual Compliance with respect to inputs, outputs and activities, Financial Management with respect to sound accounting, procurement and asset management</p> <p>- quality standards or improvement criteria laid down for procurement; design and construction of key components; and extent and scope of community involvement underlying scheme proposals and their execution</p>	<p>(a) community/VWSC</p> <ul style="list-style-type: none"> - records and accounts available - existence of time sheets, daily logs or construction journals - functional arrangements for O&M (regular O&M Collection, scheme mechanics, tapstand caretakers) <p>(b) SO</p> <ul style="list-style-type: none"> - permanence of staff deployed - time spent in the community - frequency of spontaneous interaction with the DPMU <p>(c) DPMU</p> <ul style="list-style-type: none"> - permanence of staff - frequency and distribution of site visits - lead time between request for assistance and response <p>(d) PMU</p> <ul style="list-style-type: none"> - permanence of staff, rate of project processing <p>(a) Community</p> <ul style="list-style-type: none"> - fulfillment of "agree to do" provisions - O&M Plan and caretaker arrangements <p>(b) SO</p> <ul style="list-style-type: none"> - degree to which 2nd and 3rd Pmt actual payment indicators are met <p>(c) DPMU</p> <ul style="list-style-type: none"> - technical and financial support as per stipulation and time plan - support/supervisory visits in connection with critical components <p>(d) PMU</p> <ul style="list-style-type: none"> - technical and financial support as per stipulation and time plan <ul style="list-style-type: none"> - relative existing service levels of proposed sites - number of qualified proposals vs rejections - number of schemes having inappropriate deviation from designs, and why - number of participatory sessions held as part of planning - incidence of substandard critical construction points - number of trained village volunteers functioning after completion of scheme 	<p>PLANNING PHASE</p> <ul style="list-style-type: none"> - Proposals and Contracts - DPMU second pmt visit with "Agree to Do" visit - DPMU 3rd Pmt. visit - DPMU periodic support visits - PMU Site Appraisal Format - Auditor Financial Review <p>IMPLEMENTATION PHASE</p> <ul style="list-style-type: none"> - Proposals and Contracts - SO progress reports in conjunction with payment claims - DPMU 2nd pmt visit reports - PM's Project Completion Reports - DPMU Post-Implementation Visits - VWSC time sheets, store ledgers and accounts, records of meetings - 2nd Financial Audit Report 	<ul style="list-style-type: none"> - Regular Contract Management by Portfolio Managers, including direct remedial action to improve performance and capacity to perform - shortlisting of well-performing SOs for future tranches, rejection of poorly performing organizations - Quarterly Report Analysis of performance of project stakeholders - Annual Review Meeting of Stakeholders to analyze and improve performance, instruments, procedures, technical and training support and communication among all stakeholders - performance data feeds into strategic analysis of relevance of project to sector

5.3 Summary Chart of Process Monitoring

Summary Chart of M&E System, Continued

Type and Focus of M&E	Indicators	Information Gathering/Timing	Analysis, Interpretation/ Use
<p>Process M&E <i>If, and the degree to which the Instruments, Procedures, Processes, technical support, training and communication of the Project Promote</i></p> <ul style="list-style-type: none"> - A demand led approach, with participatory decision-making in all phases of project implementation, including a choice and range of water and sanitation technologies, reflecting community preferences - effective ownership, management and sustained operation and maintenance of RWS-ES assets by village communities - enhancement of the role of women - user cost contribution and cost recovery for O&M costs respectively - environmentally sound approaches - a balanced approach between improved hygiene behaviour and sanitation on the one-hand, and augmentation of water supplies on the other - a decentralized, community based approach to RWSES with strengthened role of local organizations in service delivery and role of Government as facilitator, regulator, monitoring agency³ 	<ul style="list-style-type: none"> - No. of CAP Sessions Undertaken - If/how Participatory Tools used in CAP - nos. and types of technology choices discussed by communities as part of CAP - Use of Indigenous knowledge and technical practices in the Design - % households participating in CAP Sessions - % households participating in community monitoring - Regularity of VWSC Meetings - No. of disputes vs successful resolution - mechanisms in place for regular collection of O&M - Utility and simplicity of mgt and reporting tools used by VWSC - No and proportion of women in construction work, tapstand committees, VWSC, NFE/HESA, and in PRIGs/EHG's related activities - types of decisions taken by women as part of community action planning - Women's role in M&E - % women in PMU/DPMU Mgt. - percentage of communities agreeing to make contributions and actually providing at end of Planning Phase - % communities successfully raising capital contributions - % households making regular O&M contributions - % proposals meeting environmental requirements - types of mitigation measures employed - % village discussions of water supply vs sanitation and health - quality and quantity of sanitation and health and environmental sanitation education activities built into CAPs - nature and instance of support asked for by, or given to, the SO - SO's increased technical and social development capacity - increased roles of communities and local SOs in service delivery - comparisons with other projects in sector - No and type of new roles assumed by PMU and Gov't agencies in facilitating, regulating and monitoring RWS-ES activities 	<p>PRE-PLANNING PHASE</p> <ul style="list-style-type: none"> - Site Appraisal Information of prefeasibility Information <p>PLANNING PHASE</p> <ul style="list-style-type: none"> - Use of Structured Dialogues with the Community focus groups using participatory tools during informal visits by SAs (not payment Approval Visits) <p>IMPLEMENTATION PHASE</p> <ul style="list-style-type: none"> - Use of Structured Dialogues with the Community focus groups using participatory tools during informal visits by SAs (not payment Approval Visits) - Regional Review Stakeholders Meeting - Annual Review Stakeholders Meeting 	<ul style="list-style-type: none"> - Assessment of extent proposals actually reflect community demand, and whether project needs to include more advance marketing or preparatory information - Quarterly Reports on Lessons Learned about Project Training and Communication Strategies, Technical Assistance, Phasing, Processes, Instruments, and Procedures, used in regional review meetings - Annual analysis and report profiling findings for use in annual stakeholders meetings - Reports of regional review and Annual Stakeholders Meetings - Special case-studies or assessments of particular RWS-ES instruments, procedures, processes, phasing, training and communication interventions

³ /This final indicator will be studied only after several batches of projects have been completed



5.4 Summary Chart of Impact Monitoring

Type and Focus of M&E	Indicators	Information Gathering/Timing	Analysis, Interpretation and Use
<p>Impact M&E (Project Services) <u>-sustainable health and hygiene benefits</u> to the rural population through improvements in water supply and environmental sanitation</p> <p><u>Economic Impact</u> - time savings and reduction in domestic drudgery through greater accessibility - ERR, BCR - Strengthened base and potential for gender-sensitive economic development through time-savings and enhancing income earning opportunities for women</p> <p><u>- Increased sanitation awareness and local environmental management capacity</u></p>	<p><u>Health</u> Diarrhea morbidity Diarrhea mortality</p> <p><u>Source of Water Use</u> -type of water source - Animal/human waste around source - water quality test</p> <p><u>Personal Hygiene</u> - hand washing practices - frequency of bathing and washing</p> <p><u>Domestic Hygiene</u> -improved water handling storage and use - Food handling and use - absence of children's feces around house - animals are penned - latrine use by children and adults</p> <p><u>Time Savings</u> - average number of trips per day per household to carry water - average size of vessel used - weighted average length of time needed for round trip to the source, including going, waiting time and returning - average household size - wage rate - cost of scheme - increased time available for income generation - linkages made to credit opportunities and markets for women in project villages - no. of women participating in NFE activities - training opportunities for women in RWS-ES</p> <p><u>Environmental Sanitation and Environmental Mitigation</u> - Waste water absent around house - use of compost pits - drainage around water source - protection of water sources - nature and instances of community preservation of catchment areas</p>	<p>- Purposefully selected KAP/ sentinel studies at end of project and on 3 year recurrent basis (post implementation)</p> <p>- proposals - Pre-feasibility Study Format - Project Completion Report and site appraisal - focus groups - process and performance reports - class attendance records</p> <p>- KAP - proposals - PCRs</p>	<p>- KAP study report of 20% villages before and after project and in limited no villages after 3 years - Feedback to SOs - Quarterly Reports on Lessons Learned - Comparison studies - RWSES Project Evaluation</p> <p>- Quarterly Reports on Lessons Learned - Comparison studies - RWSES Project Evaluation - Feedback to SOs/VWSCs</p> <p>- Feedback to SOs - Quarterly Reports on Lessons Learned - increase/decrease supervision - RWSES Project Evaluation</p>

5.5 Summary Chart of Community Monitoring

Type and Focus of M&E	Indicators	Information Gathering/Timing	Analysis, Interpretation and Use
<p>Community Monitoring</p> <p>What health benefits and improvements in personal hygiene, domestic hygiene/sanitation, and environmental sanitation practices are occurring over time in our village?</p> <p>What are the specific changes occurring in terms of the physical environment? What changes are occurring in terms of facilities being brought closer to dwellings, replacing polluted sources, or in terms of providing larger quantities of water? What sanitation improvements (latrines, wastewater, and solid waste) have occurred, and where? What is the status of physical sources, the catchment area, and their protection?</p> <p>In terms of time saved, how much have women been able to utilize free time to improve their lives? How did they use time before the project and how did they use it afterwards? What new activities, if any, are the women able to undertake?</p> <p>Are the SOs involved in the project providing services as agreed to the village? Are services of quantity, quality agreed and are they being provided on a timely basis?</p>	<ul style="list-style-type: none"> - old water use patterns and new ones after scheme completion - changes in specific health practices (e.g , handwashing, disposal of infant feces, use of latrines, improvements in food and water handling, etc) - actual physical changes (new installations of water and sanitation technologies, new plantations in catchment areas), i.e., actual increase in village assets - changes in environmental situation (source protected, drainage around taps, nurseries started, trees planted, composting, etc) - changes in relative wealth status of each villager as determined by villagers - changes in use of time by village women - amount of money in O&M Fund - number of SO visits to the village and time spent and by whom - technical supervision available when needed from SO - SO has involved us (villagers) in procurement 	<ul style="list-style-type: none"> - healthy homes exercise - pocket charts on water and sanitation practices - three pile sorting - mapping (before/after) - mapping (before/after) - VWSC records - water testing - VMW records - wealth ranking - Time Use Analysis Cards - VWSC records - daily logs 	<p><u>Community Uses</u></p> <ul style="list-style-type: none"> - Immediate use of community monitoring in promoting behaviour change in community - Preparation of wall charts for VWSCs for tracking impact progress - Use in planning new initiatives in community - use to analyze best use of time benefits by women - use maps as resource for other planning - increase awareness of local development needs of each household by VWSC - resource for other ventures - remedial maintenance action - changed behaviours



5.6 Summary Chart of Strategic Monitoring

Type and Focus of M&E	Indicators	Information Gathering/	Interpretation /Use
<p>STRATEGIC MONITORING</p> <p>Objectives: - To assist the GOUP to develop and implement a long term strategy to improve the overall water resources management in the State of Uttar Pradesh and to raise the living standards in rural areas by improving the delivery of rural water supply and environmental sanitation services - To test alternatives to the current Government led service delivery mechanism by improving the capabilities of sector institutions to perform appropriate roles in support of the demand-led and community based approach.</p> <p>Focus Questions To what degree are policy impact objectives being achieved?</p> <p>Are the alternative institutional arrangements, project rules and procedures creating the right incentives: are they conducive to providing sustainable services based on what the consumers want and are willing to pay for, or are they merely creating another alignment of how to gain access to public sector largesse at the community level as well as at the SO level ?</p> <p>Is the PMU, with the support and guidance provided by The Bank, able to find means to effectively partner and sustain relationships with NGOs and Communities which empower local capacities, i.e., undertake a facilitative, supportive role, or revert to overly controlling, quasi-operational roles due to pressures to retain external accountability? To what degree do, institutional arrangements, rules and procedures affect these relationships?</p> <p>Are project phasing, sequencing of interventions, participatory training and planning approaches, technical assistance and communications strategies sufficient measures for building local decision-making, technical and management capacities, promoting greater gender and minority group equity, and contributing to greater sustainability of local institutions and assets? Or do communities revert to crisis management once the project is over, only handling problems as they crop up?</p> <p>-are there incentives to reduce costs and obtain efficiency in service delivery including the costs of intermediation ?</p> <p>Are the criteria for financial or economic viability of the schemes (e.g., the economic significance of time savings) sound arbiters for investment decisions and if so, under what contextual or behavioral circumstances</p>	<ul style="list-style-type: none"> - extent to which procedures and instruments developed by the project gains foothold in overall policies and allocations for RWS-ES, - expansion/retraction of PMU efforts - new government roles as facilitator - greater involvement of NGOs, private sector, communities (Raj Panchayat) - number of schemes maintained after project intervention, 3 years and 5 years, comparison with other projects - whether cost sharing and O&M collections continue; 3 years and 5 years, comparison with other projects - Community level initiatives taken, e.g., from WDI, as a result of project, which require community savings or investments - satisfaction of SOs/Communities with project relationships - drop out rate of SOs who are well-performing - level of demand on SOs for schemes with required contributions vs public sector schemes with no contributions - type, no. and nature of instruments used after project has completed several start-up tranches - Analysis of how flexibly PMU/DPMU staff interact with SOs/Communities - sustainability of local groups 3 yrs and 5 yrs. after project completion - changes in roles of women and minorities in the management of RWS-ES assets provided after 3 yrs, 5 yrs - quality of VWSC functions after 3 yrs or 5 yrs. - integration of project with other village development activities after 3 yrs, 5 yrs - decrease in per capita costs as the PMU/SOs gain experience - documentation of village recommendations for cost reductions on designs -- documented degree to which other benefits (social/health) emerge in project communities - no. of villages with water problems excluded due economic criteria 	<p>a) Policy studies (special studies by external consultants), and annual The Bank review missions/ consultations,</p> <p>(b) Post-implementation assessments on functionality on and management (1 yr, 3yr and 5 yr impact assessments)</p> <p>(c) Sample area surveys (include, non-project RWSES installations</p> <p>(d) PMU profile assessments of schemes over batches; from MIS data</p> <p>(d) Profile of Third Payment reports of Implementation phase independent SO audits (yearly sample)</p> <p>(e) case studies</p>	<p>(a) Use for planning follow-up investments and additional phases of RWS-ES Projects</p> <p>(b) Use for further policy changes and reform of institutional arrangements</p> <p>(c) Use in changing project design or components</p> <p>(d) For use in Mid-Term Review of the Project</p> <p>(e) for informing GOI policy on RWS-ES</p> <p>(d) to serve as model for replication in other states of India</p> <p>(e) As a resource in global and regional learning in the sector</p>

4.1 Tools for Performance Monitoring, Planning Phase

[Redacted]

[Redacted]

4.2 Tools for Performance Monitoring, Implementation Phase

4.3 Tools for Process Monitoring

4.4 Tools for Impact Monitoring

4.5 Tools for Community Monitoring

4.6 Tools for Monthly Reporting

[Redacted]

[Redacted]

TAB A

Date :.....

To,
Operation and M&E Unit, PMUFrom,
Portfolio Manager, DPMU**Subject : Recommendation for the First Payment of the Planning Phase**

This is to request you to release the first payment as mentioned above of the following SO and the schemes as per the contract:

1. Name of Support Organization:
2. Number of Community(ies)/Scheme(s):
3. First payment contracted amount: Rs.
Percentage of Total Contracted Amount.....
4. Contracted date:
5. All the CVs have been received. Yes No
(Except for Senior Engineer and Community Workers)
6. SO has submitted the revised Planning Phase proposal. Yes No

The first payment is recommended. Thank you.

TAB A 1**How to fill the form:**

- This form is to be filled by the Portfolio Manager separately for all the SO villages, before the 2nd payment of Planning Phase, after verification from the community/VWSC.
- Field visit of atleast 1 day per village is required before filling this form.
- Portfolio Manager reviews and verifies progress reports submitted by SOs by talking to the community/VWSC members.
- Take the Planning Phase agreement and list of SO staff and verify if there is any change in the SO staff.
- Meet the SO field staff to verify whether they are properly trained or not.
- Portfolio Manager attends the final meeting of VWSC formation in all the villages of the SO.
- Atleast VWSC staff should have been trained. This should be ascertained by talking to the VWSC staff. Note the duration of the training and number of men and women trained.
- Verify with the villagers about the SARAR tools used in the village, any WDI/NFE activities started in the village, number of tapstand groups formed in the village.

TAB A 1

Date :.....

To, Operation and M&E Unit, PMU From, Portfolio Manager, DPMU

Subject: Report/ Recommendation for 2nd Payment (Planning Phase)- Villagewise

The SO has completed the following requirements mentioned in the contract and TOR for the third or the final payment of Planning phase:

1. Name of Support Organization:
2. Name of Community/Scheme:

Payment Indicators :

Payment #2: The following must be completed to PMU/ DPMU satisfaction to receive 2nd Payment on the Planning Phase :

- | | |
|--|--|
| 1. Narrative progress report being sent regularly: | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| 2. Financial report is submitted: | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| 3. Project staff fully trained: | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| 4. HESA activities underway as planned: | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| 5. CAP Sessions underway at Cluster level: | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| 6. Informal tapstand/cluster groups formed: | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| 7. Optional NFE Classes underway as planned: | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| 8. WDI activities underway as planned: | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| 9. VWSC has been formed in the village with :
at least 30% women and 20% SC/ST as
subcommittee of Gram Panchayat and have
elected their own chairperson and treasurer | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| 10. VWSC training has commenced as planned : | Yes <input type="checkbox"/> No <input type="checkbox"/> |

1. Have there been any changes in staff since contracts for Planning Phase were agreed? If so, what are the implications regarding SO's performance ?
 Staff Changes Yes No
 Description/ Implication:

2. Have all staff deployed been through appropriate training ?. If not, describe what is being done to remedy the situation. Yes No
 Describe:

3. Have groups been established in each cluster for HESA activities ? How many HESA sessions were planned and how many actually held ?
 No planned no. held (cumulative)

4. CAP Sessions : Were all clusters involved in CAP Sessions ? Did villagers conduct participatory investigation, i.e. mapping in each cluster ? Yes No
 Describe:

5. What SARAR, PRA tools were used by the SO? Were all clusters involved?
 Yes No
 Which tools ? Describe :

6. Any other innovative tools used by the SO?

7. Did villagers analyse & solve any problems related to scheme?
 Yes No
 Describe :

8. What community monitoring activities did the community undertake with help of SO?
Describe :

9. Whether and when tapstand (cluster) groups formed?
Yes No
When
Describe :

10. Any/ all optional activities (NFE) underway.
Yes No Not Applicable

11. Whether any WDI activities initiated? Any training needs identified?
Yes No

12. Whether VWSC(s) formed by correct process and proper representation?
Yes No

13. Has the VWSC training commenced? What were its contents and duration?

14. Is the narrative progress report sent by the SO satisfactory?

13. Any other problems/ remarks/ comments/ suggestions.

14. Overall performance rating.
 Highly satisfactory satisfactory Unsatisfactory

TAB B

How to fill the form:

- This form is to be filled by the Portfolio manager after he attends the "Agree to do" meeting held with VWSC, SO staff- CDS, CF, CW, JE and community members.
- This form is not to be filled in presence of the community and the SO staff, however, some points in a small handbook can be noted during the meeting and later the form can be filled based on the observations during the meeting.
- Note carefully about the manner in which the technical options are discussed with the community.

TAB B
DPMU VISIT REPORT
“Agree To do Meeting”

1. Were all clusters represented at the meeting ?

2. Did the community members prepare the scheme layout plan ?

3. Provide no of each attending “agree to do” Meeting.
Total men’s women SC/ST

4. Note any problems in preparation of the scheme layout plan. Were there any disputes ?
How were these resolved ?

5. How did the engineers participate ? Did they listen and accept to what the villagers wanted
or tried to impose their own ideas ?

6. How did the CDS & CF facilitate? What was their levels of participation Vs. villagers.

7. What were the engineers specific remarks about the villagers scheme layout plan ?

8. How many technical options (water supply, sanitation, drainage) were discussed ? On what basis were the technology options selected by the villagers ?

9. Did the villagers and engineer(s) agree to use the scheme layout as a basis for the technical field survey and detailed design & cost estimates ?

10. Remarks/ Suggestions

TAB C

Date :.....

To, Operation and M&E Unit, PMU

From, Portfolio Manager, DPMU

Subject: Recommendation for Third Payment (Planning Phase)

The SO has completed the following requirements mentioned in the contract and TOR for the third payment of the Planning Phase:

- 1. Name of Support Organization: Rs.
- 2. Name of Community/Scheme

Payment Indicators :

Payment #3 : The following must be completed to PMU/ DPMU satisfaction to receive 3rd Payment on the Planning Phase :

- 1. The Community Action Plans and Scheme Layout plans are approved by the community in a successful community-wide "Agree to do" meeting; Yes No
- 2. Satisfactory audit report is received; (to be filled by PMU) Yes No
- 3. Formation of VWSCs is completed: Yes No
- 4. VWSC bank account has been opened; Yes No
- 5. Feasibility form along with the proceedings of the "Agree to do" meeting is submitted; Yes No

TAB C 1

Date :

To, Operation and M&E Unit, PMU From, Portfolio Manager, DPMU

Subject: Recommendation for Last Payment (Planning Phase) (Attach Site Appraisal of Implementation Proposal)

The SO has completed the following requirements mentioned in the contract and TOR for the fourth or the final payment of the Planning Phase:

- 1. Name of Support Organization: Rs.
2. Name of Community/Scheme

Payment Indicators :

Payment #3 : The following must be completed to PMU/ DPMU satisfaction to receive 4th Payment on the Planning Phase :

- 1. VWSC and SO joint account has been opened and requisite capital cost contribution has been deposited by the community: Yes [] No []
2. All water sources have been re-measured and the reports submitted/ water point survey has been undertaken; Yes [] No []
3. The technical design, cost estimate and bill of quantities have been submitted: Yes [] No []
4. Implementation phase proposal is submitted: Yes [] No []
5. All the nine Community Action Plans have been documented and submitted; Yes [] No []
6. All the Planning phase activities are completed: Yes [] No []

Supplemental Questions:

1. When was the capital contribution collected ? Where is it being kept (Specify Bank, account no. and amount)?

2. Describe in detail what O&M collection has taken place. What is the plan for future collections ?

3. Have all CAP Plans been developed ? Which, if any, of the 9 plans are missing.

4. Attach Site Appraisal Report of Implementation Proposal

TAB D

Date :

To, Operation and M&E Unit, PMU

From, Portfolio Manager, DPMU

Subject : Recommendation for the First Payment of the Implementation Phase

This is to request you to release the first payment as mentioned above of the following SO and the schemes as per the contract:

- 1. Name of Support Organization:
- 2. Name of Community/Scheme:
- 3. First payment contracted amount Rs.
Percentage of Total Contracted Amount
- 4. Contracted date:
- 5. The SO has submitted satisfactory documents, in the form of copies of the appointment letters, verifying that the full time staff specified in Chapter C paragraph 11, have been appointed:
- 6. The SO has provided satisfactory written authorization to the nominated SO field staff member who will be responsible for assisting the VWSC in the operating of the VWSC/ SO Joint Books of Accounts.
- 7. The SO has provided satisfactory written clarification regarding the technical staff member who is to be responsible for the quality of the construction and for ensuring that all materials used conform to the standards specified.



TAB E

Date :.....

To,
Operation and M&E Unit, PMU

From,
Portfolio Manager, DPMU

Subject : Report/ Recommendation for the Second Payment of Implementation Phase

The SO has completed the following requirements mentioned in the contract and TOR for the second payment of the phase as mentioned above:

- 1. Name of Support Organization.
- 2. Name of community/scheme: Rs.
- 3. Narrative report is submitted and accepted: Yes No
- 4. Financial report is submitted and accepted: Yes No
- 5. That all conditions for Part Payment #2 for constuction materials have been met. Yes No
- 6. The PMU is satisfied that all activities relating to the Plans A1-A9 of the Implementation Phase proposal are being undertaken in all clusters of the communities concerned, in accordance with the Implementation Proposal the Terms of Reference and the required standards of the PMU. Yes No
- 7. The PMU is satisfied that all HESA activities have been undertaken in all clusters of the communities concerned. Yes No
- 8. The PMU is satisfied that the VMW "on-the-job", training the WDI workshop, VWSC construction management, VWSC treasuer training and all other trainings specified in the Implementation Proposal and the Terms of Reference have been carried out, in accordance with the Implementation Phase Proposal, the Terms of Reference and the required standards of the Borad. Yes No
- 9. The SO together with the VWSC, have filled the Payment #2 formats and have together certified that all the activities and construction relating to Part 1 of the construction has been carried out, in accordance with the Implementation Phase Proposal, the Terms of Reference and the required standards of the PMU. Yes No

10. The SO has submitted satisfactory documents, as follows :
- i. Payment #2 formats
 - ii. VWSC and SO certification that non local materials purchased for Part 1 of the construction schedule and all tools have been delivered on site, are of the same brand names specified in the pro-forma or credit invoices, and further that they conform to the required standards of the Borad.
 - iii. evidence that the WDI and HSL Subsidies have been transferred to the VWSC's Account
 - iv. the statement of the Joint VWSC/ SO's Joint Book Accounts
 - v. pro-forma or credit invoices for all remaining non local materials required to complete the construction works. The Pro-forma invoices must specify the brand names the quantity and the unit prices of the individual items to be purchased. Yes No
11. With reference to Community Action Plans (A1-A9) which, if any, are villagers having trouble initiating ?
Describe :
12. Describe the no. of HESA sessions per cluster and their content in brief.
13. Describe VWSC, VMW and other trainings. What were their contents and quality ?
14. Overall performance of the SO is :
- | | | |
|------------------------------------|------------------------------------|-------------------------------|
| <input type="checkbox"/> Excellent | <input type="checkbox"/> Very Good | <input type="checkbox"/> Good |
| <input type="checkbox"/> Fair | <input type="checkbox"/> Poor | |

TAB G

Date :.....

To, Operation and M&E Unit, PMU

From, Portfolio Manager, DPMU

Subject : Report/ Recommendation for the Third Payment of Implementation Phase

The SO has completed the following requirements mentioned in the contract and TOR for the third payment of the phase as mentioned above:

- 1. Name of Support Organization:
- 2. Name of community/scheme: IRs..
- 3. Project completion report is submitted and accepted: Yes No
- 4. Financial report is submitted and accepted: Yes No
- 5. All the activities of the phase are completed: Yes No
- 6. Impact survey has been completed: Yes No
- 7. The SO together with the VWSC, have filled the Payment #3 formats and the SO and the VWSC have together certified that all the activities have been carried out in all clusters of the communities concerned, in accordance with the Implementation Proposal, the Terms of Reference and the required standards of the PMU. Yes No
- 8. The SO together with the VWSC have filled the Payment #3 formats and the VWSC and the SO have certified that all the activities relating to the plans of the Implementation Phase Proposal have been carried out in accordance to the required standard to the PMU. Yes No
- 9. The PMU is satisfied that all activities A1-A9 and all construction has been completed in accordance with the Implementation Phase Proposal, the Terms of Reference and the required standards of the PMU. Yes No

10. The brand names of all the non local materials used in the constcution are the same as those specified in their respective pro-forma or credit invoices.
Yes No

11. The PMU is satisfied that the following trainings have been undertaken to the required standard :

- i. VMW refresher training
- ii. VWSC refresher and VWSC treasuer training
- iii. Post construction VWSC and VMW training
- iv. VMW "on-the-job", WDI workshop and VWSC construction management training.

Yes No

12. The SO has submitted satisfactory documents, as follows :

- i. Payment #3 formats
- ii. the statement of the expenditure and the statement of the VWSC/ SO's Joint Book of Accounts.
- iii. the statement of the VWSC Book of Accounts providing evidonoo that the regular system of O&M fund collection is operational
- iv. Evidence that any saving in the VWSC and SO's Joint Bank Account is to be transferred to the VWSC's own account.

Yes No

13. Summarige major funding of ICRs/ SCR's

TAB G, Part II

UP Rural Water Supply & Environmental Sanitation Project

Project Management Unit, Lucknow

IMPLEMENTATION CONTRACT COMPLETION REPORT (ICCR)

Name of SO :

Address:

Name of the Scheme

Location of Scheme

District

Gram Panchayat

Village

**Cluster/
Habitation Name**

1. Implementation Phase Contract Contents

1.1. Time span agreed in the contract

Contract was signed on the _____.

	Time span agreed in the contract	Actual time span
Work started		
All activities completed		

1.2. Contracted cost:

Proposed Cost of Contract : Rs.

Negotiated Cost of Contract : Rs.

Item	RS
PMU cash toSO	
Cash fromvillage	
Contribution in kind fromvillage	
TOTAL contracted cost	

1.3. Technical (Salient features):

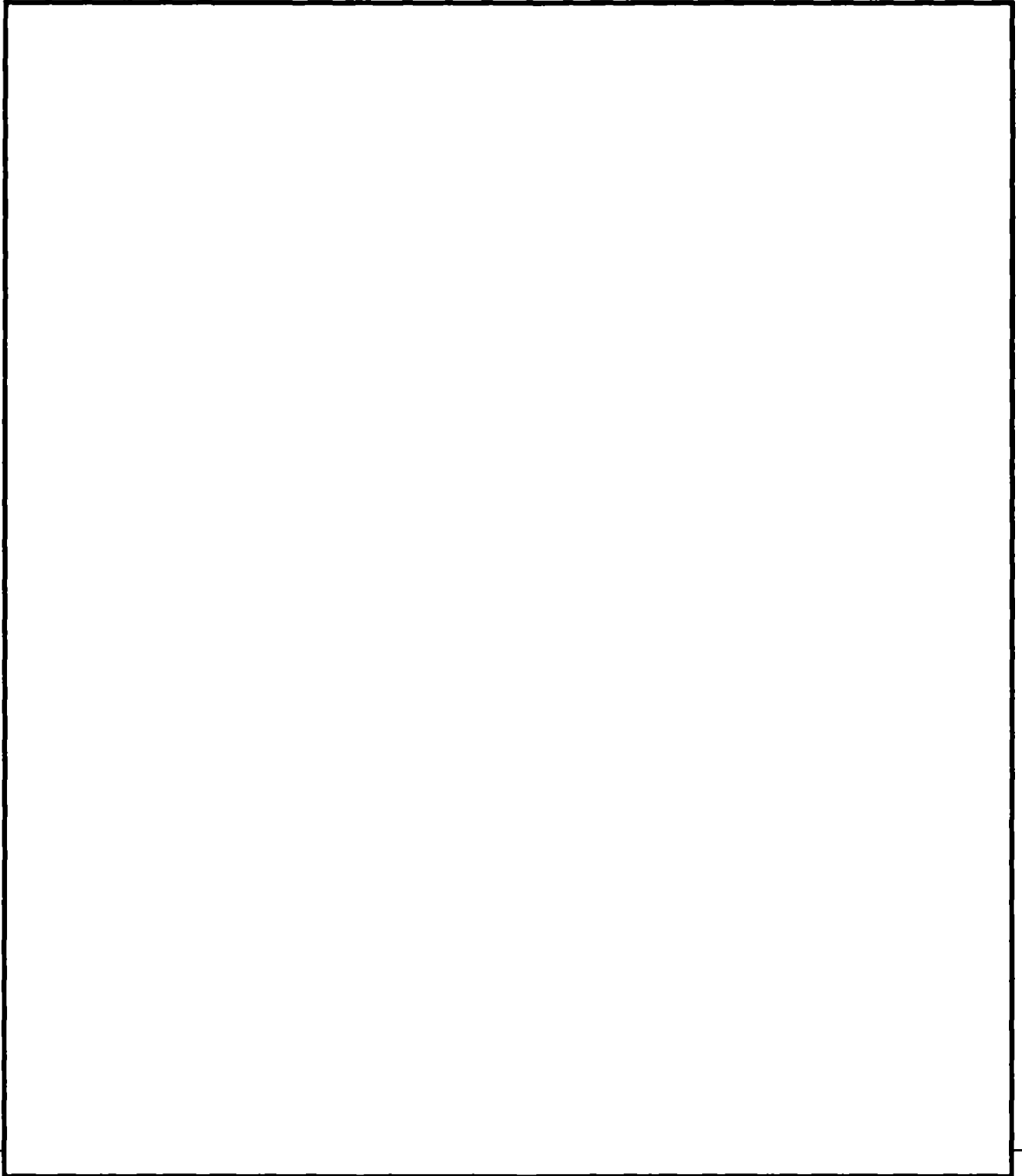
Item	Unit	Designed	Actual
Present population			
Population growth rate	%		
Design period			
Design population			
Per capita demand on design population	l/capita/day		
Gravity systems			
Total demand	l/s		
Dry season measurement	l/s		
Date of measurement			
Total length of mainline	m		
Total length of distribution line	m		
No of public stand posts			
No of private connections			
No of reservoirs			
Type of reservoirs	Ferrocement/masonry		
Capacity	m ³		
No of valve chambers			
No of interruption chambers			
Number of BPT			

1.4. ENCLOSE LAYOUT WITH PIPE SIZES AND PIPE FLOWS

(THIS LAYOUT DRAWING SHOULD ALSO INDICATE TIME OF A ROUND-TRIP FOR THE CLUSTERS)

1.5. Sketch Map

SO: _____ Scheme: _____ Village _____
 Gram Panchayat: _____ Block: _____ District: _____
 Project Batch: _____ Prepared Date: _____ Prepared By: _____
 Title: _____ Associated Organization: _____
 Prepared During (Type of Visit): _____



	Proposed Source		Chautara (resting place)
	Distance to Proposed Source		Temple
	Narrow Path		Health Post
	Path to Water Source		School
	Bridge		Going, Waiting and Returning time in Min
	River		

1.6. Fund Collection

Name of the bank money is deposited in:

.....

Name of the Signatories :

1

2

Amount Deposited in the Bank: Rs.....

Current Balance Amount in Bank Rs :

1.7. Proposal submission

Date of Proposal submitted to PMU:.....

Date of Site Appraisal:

Site Appraisal Undertaken by :

1

2

1.8. Payments

Payment No	Amount Rs	%	Date of payment	Site appraisal or field visit reference/other documentation supplied to justify the payment
Part Payment		%		
First payment		%		
Second payment		%		
Third payment		%		

1.9. Software activities undertaken in the village

Training/other activities conducted in the village	Contents (briefly)	Duration	Number of participant s	Describe the participants of the group

If the above are different from the proposed in the Implementation phase / post implementation proposal, please give reasons for deviation form the plan:

1.10. Sanitation Subsidies

Amount deposited with VWSC for sanitation subsidy utilisation: Rs.

Number of household latrine constructed by

use of sanitation subsidy :
 without use of subsidy :

Subsidy utilisation Mechanism:
 Plans for Latrine construction in future:

1.11. Other software activities

Other software activities (e.g. non-formal education or women's development initiatives) describe in short and quantify if possible.

1.11.1. HESA activities

Activities	Content (brief)	Duration	Number of Participants	Describe the participants of the group

1.11.2. Post health KAP survey

ConductedNot conducted

1.11.3 WDI

Are the trainees for WDI linked with related organization Yes No

If Yes, Name of Organization :

1.11.4. Source Protection

What measures are taken for the protection of the water source and its environment ?

1.11.5. Literacy Program

Was any literacy program implemented during the implementation / post implementation phase in the community ?

Location of the classes	Nos. of Participants		commencing date	completion date
	enrolled	graduated		

Funding sources for the literacy program

Name of the Agency supporting the literacy class	Number of classes	Funded amount in Rs.	Actual expensed amount in Rs.

1.12. Promotional Latrines:

Are any promotional latrines built in the community Yes..... No.....

If yes, how many have been built

Location of the Promotional Latrine:

1.13. Water Users Committee

Name of the VWSC:

Is the present VWSC different than that during the Planning / Implementation phase, or is it likely that the VWSC will change in the near future ? If yes state reasons ?

1.14. Operation and Maintenance**1.14.1. Village Maintenance Worker**

Name/s of the VMWs :

How much is he / she been paid cash / kind

1.14.2. Operation and Maintenance Plan

What are the plan for regular fund collection as a part of future operation and maintenance ?

2. Inputs**2.1. Total cost of the scheme****2.1.1. Estimated costs**

Estimate (BOQ):

Particulars	Contribution by		
	PMU	SO(??)	Community

Estimated per capita costs:

2.1.2. Actual costs

	Contribution by					
	PMU		SO (??)		COMMUNITY	
	Rs	%	Rs	%	Rs	%
Hardware cost:						
Pipe						
Cement						
Fittings						
handpumps						
other construction materials e.g. timber etc.						
tools						
Skilled labor						
Unskilled labor:						
for construction						
for local materials collection.. portorage						
for sludging, digging, drilling etc.						
Transportation						
Technical supervision and Management						
SUBTOTAL						
Software Costs:						
Community mobilization						
Health & sanitation						
WDI						
Sanitation subsidy fund						
Supervision costs:						
SUBTOTAL						
TOTAL						

Actual per capita costs:

Main reasons of deviation between the planned and actual:

2.2. Community contribution

2.2.1. Contribution in Cash

Method/mode of collection: ..

Who was the in-charge of organizing the community collection: ..

How much was the actual collection as a percentage of the actual costs..

Capital costs	
Total Rs collected	
Rs per household	
Rs per capita	
Total hardware cost	
% of hardware cost	
Total project cost	
% of total project cost	

O & M cost	
Total Rs collected	
Rs per household	
Rs per capita	
% of capital cost	

Note: Costs included in capital costs are the following: all non-local and local materials, transportation, portorage, all labor, including the community contribution, technical supervision.

2.2.2. Contribution in kind

Labor Contribution

Activity	Labor	
	Male/No of days	Female/No of days
Porterage of non-local materials		
Porterage of local materials		
Trench digging and back filling		
Digging of foundations for structures		
Tree planting		
Building of school latrine		
Total :		

2.2.3. Village Local Labor Rate:

Labor Type	Unit	Men		Women	
		with meal	without meal	with meal	without meal
Skilled Labor	Rs./manday				
Unskilled Labor	Rs./manday				
Porter	Rs./manday				
Agriculture labor	Rs./manday				

2.3. Personnel costs

2.3.1. Staff recruited by the SO for the Implementation / Post Implementation Phase & their costs

Staff position	Actual Total months/weeks	Time spent in the field months/weeks	Rate per month	Total cost invoiced

2.3.2. Staff training of the SO

Staff position	Training received	Duration	Organized by

3. Impact Assessment

The following information is necessary for the calculation of the economic impact:
(after the scheme construction)

3.1. Present Water Supply after the establishment of the new water scheme

Cluster	House Holds	Source Tap Nos.	Trips in Nos.	Round trip time in Min.	Flow		Yield	
					continuous	intermittent	enough	not enough
1		a)						
		b)						
2		a)						
		b)						
3		a)						
		b)						
4		a)						
		b)						

(Note: refer sketch map)

Present population:

Average number of liters carried per trip:.....in.....Gagras (1 gagra = Liters)

Does any community / cluster (other than the planned beneficiaries) use one or more of the above mentioned source / tap ?

If yes please mention name the community / cluster and the source / tap they use. Please also mention the reasons on why they prefer to do so ? Mention the reasons on why they were not included for the scheme ?

Present weighted average of time per round trip after water supply system:

Weighted average of time per round trip in the Pre-feasibility proposal:

3.2 Impact on Environment

- a. Any soil conservation measures taken
- b. Cleanliness
- c. Reduction in water pollution
- d. Is the water source protected
- e. Proper drainage around taps
- f. Any nurseries started
- g. Any plantations done
- h. Use of garbage, cow dung, waste material for preparation of manure

4. Problems encountered during the implementation and other relevant information

5. Remaining Balance of Materials and Cash

	Distribution of the Balance			
	SO(??)		COMMUNITY	
	Amount	%	Amount	%
Hardware				
Pipe				
Cement				
Fittings/handpumps				
other construction materials				
tools				

SUBTOTAL				
Balance Cash:				
SUBTOTAL				
TOTAL				

6. Signatures

We, the undersigned, certify that the above mentioned scheme has been completed in all respects and the information provided above are true to the best of our knowledge and understanding :

Signature of VWSC representative :

Name :
 Designation :
 Date :

Signature of SO representative :

Name :
 Designation :
 Date :

7. Portfolio Manager's Assessment/Recommendation (to be filled by PM)

Submission date of proposal to STAC

- 1
- 2
- 3

Date of Final Approval by STAC :.....

Date of Submission to Resident Mission :.....

Date of Return from Resident Mission :.....

Date forwarded to SO & WUC for signature :.....

Date of contract return from SO :..

Date of First Payment:

Date of Part Payment:

Date of Balance Part Payment:

Date of Second Payment:

- 1. All the information provided above are true
- 2. Not all the information provided above are true

If 2, please indicate the information that need changes or update

- a) ..
- b) ..

The scheme has been site verified and the information received is not / is different that the information mentioned above.

Therefore,

I recommend for final payment

I do not recommend for final payment and suggest the following is complied by the SO:

- a)
- b)

The above mentioned are fully complied by the SO / WUC by (date) . Therefore, I recommend for the Final payment.

Signature of Portfolio Manager
 Name :
 Date :

Endorsement by Head of Operation Unit
 Name :
 Date :

Approved by CTA/CED
 Name :
 Date :

TAB H

UP Rural Water Supply and Environmental Sanitation Project (PMU), Lucknow.

**Scheme Completion Report (Prefix to ICCR)
(To be completed by Portfolio Manager)**

With reference to the attached ICCR, the following represents confirmation/ or discrepancies with the report based on my observation/ or that of SA assisting in monitoring of the completion of the scheme.

Portfolio Manager,

date _____

Item of ICCR	Data confirmed (Yes/ No)	Discrepancy if any
1. Time span agreed vs. actual completion		
2. Contracted/ negotiated cost		
3. Technical/ salient features		
4. Layout		
5. Sketch map		
6. Fund collection		
7. Proposal submission		
8. Payments		
9. Software activities undertaken in villages		
10. Sanitation activities		
11. Other software		

Item of ICR	Data confirmed (Yes/ No)	Discrepancy if any
HESA/ NFE/ WDI		
12. Promotional features		
13. VWSCs		
14. O&M plan		
Inputs		
15. Total cost of scheme (actual costs)		
16. Community contribution (actual)		
a. Cash		
b. Labour		
17. Personnel costs		
Impact		
18. Present water supply after new scheme		
19. Impact on Environment		
20. Problems encountered during Implementation		
21. Remaining balance of materials and cash		
22. Other remarks/ Comments based on site performance		

 PMU, DPMU

<p>TAB I</p> <p>Process Monitoring Focus Group</p> <p>Questions - Planning Phase,</p> <p>Community Level</p>
--

- | | | |
|----|------------------------------|--|
| 1. | Name of community | |
| 2. | Date | |
| 3. | Reported by
(DPMU/ SA) | |
| 4. | Name of SO providing Support | |

FOCUS GROUP QUESTIONS

1. Decentralising RWSES

1.1 How many meetings of VWSC were held ? Participation % of

- VWSC members
- Other Community members
- SO representatives
- women
- SC/ST

1.2 What is the composition of your VWSC ? How many women ? How many representative of each caste ? Are all clusters represented ?

1.3 Do all women members and other castes participate in regular meetings ?

1.4 What decisions has the VWSC taken ? What decisions has the SO taken ?

1.5 What are your experiences with the SO ? (note level of autonomy)

1.6 Note level of self confidence among VWSC members

high good fair poor very poor

Describe.

2. Local planning and ownership

2.1 Note level of knowledge regarding management principles of the project, e.g. CAP Plans; O&M Collection; Capital Cash Contributions; Role of VMWs.

2.2 Are there any local knowledge or indigenous practices incorporated into your scheme design ?

2.3 What planning activities did you carry out and how ?

- 2.4 How are you raising the capital cash contribution and O&M funds ? How do you plan to do so in the future ?

3. Role of women

- 3.1 How are women active in the project ?
In tapstand groups (how)

In the VWSC (how)

In community monitoring (how)

Others (describe)
- 3.2 Are women active in HESA, WDI and NFE sessions ? (how)
- 3.3 What decisions have women taken and which have been taken by men ?
- 3.4 Have the women formed any credit and saving groups or other such groups and how active are these ?
- 3.5 How the project interventions have helped the women to solve their problems related to sectors other than water and sanitation?
- 3.6 How the men feel about women's involvement in the project?

3.7 Had there been a freedom to change, what changes the women would like to be made in the project norms and procedures?

3.8 What the women feel about the adequacy of assistance provided by the SOs?

4. Participatory decision making

4.1 In designing your scheme and other plans, which decisions are being taken by you and which by SOs ?

4.1.1 Did you prepare the community map yourselves ? Please tell us how it happened.

4.1.2 How many technical options did you discuss ? Can you remember them.

4.1.3 What problems did you identify in your community ?

- Source disputes
- Bad drainage
- Erosion
- Insanitation
- Health
- Others

4.1.4 Did you develop your own scheme layout ? What technologies will you incorporate ?

- * Water Supply
- * Sanitation
 - Latrines
 - Solid waste
 - Drainage
- Environment

- * Others

4.2 How many sessions have you attended with SO and how many meetings have you had on your own ?

4.3 When did the SO start work in your village?

4.4 When did the following events happen in your village:

- Formation of VWSC
- 'Agree-to-Do' meeting
- Finalisation of CAP

4.5 What do people know about cost sharing in your village?

4.6 Do you receive 'Swajal Samachar' regularly i.e. every quarter?

Remarks/ comments/ suggestions :

TAB I
Process Monitoring Focus Group
Questions - Planning Phase
SO Level

Name of SO : _____

Date : _____

Village : _____

Reported by : _____
(DPMU/SA)

FOCUS GROUP QUESTIONS :

1. Decentralising RWSES

- 1.1 What difficulties as an SO are you facing in starting up the project activities? Why ? Mention all staffing or management problems you are having.

- 1.2 How has this project changed your roles, if any, in providing RWSES services ?

- 1.3 How do you think that role of Government has changed in this project ?

- 1.4 Have you been building on (strengthening) existing local groups in the village, if any ? How ?

- 1.5 Is this approach beneficial ? If yes, in what way ?

2. Local Planning and Ownership

- 2.1 How often are VWSC meetings taking place ? Do you feel the group will continue after the project ? What factors will influence this ?
- 2.2 Were there any disputes so far related to the project ? If so, how were they resolved or why are they still pending ?
- 2.3 Have villagers developed plans for collecting O&M fund ? What are their plans ?
- 2.4 How useful are the tools for VWSCs, eg. community monitoring tools
- Community mapping
 - Time use exercise
 - Healthy home exercise
 - Visit/meeting registers,
 - Others

3. Role of Women

- 3.1 How many women and how many men are involved in active planning ? At cluster level and at VWSC level ?
- 3.2 Are women active in Tap Stand committees, HESA sessions, WDI sessions, NFE sessions ? Describe.
- 3.3 What decisions have women taken and what are being taken by men ?

- 3.4 What is the role of women in Monitoring & Evaluation ? Has healthy home or other PRA/ SARAR activities changed their self esteem or status in the eyes of others ? Describe.
- 3.5 How the project interventions have helped the women to solve their problems related to sectors other than water and sanitation?
- 3.6 How the men feel about women's involvement in the project?
- 3.7 Had there been a freedom to change, what changes the women would like to be made in the project norms and procedures?

4. Participatory Decision Making

- 4.1 What types of CAP activities are being done by communities and which by SOs ?
- 4.2 What are the types and quantity of decisions about technology options being made by community as part of CAP ? Is the first draft scheme layout made by the community or by the SO ?

- 4.3 What is the duration of CAP process and how many sessions have been conducted uptill now ? Until the end of the Phase ?
- 4.4 What participatory tools have been used as a part of the CAP ? Enlist.
- 4.5 How have they worked ?
- 4.6 Have any indigenous practices or knowledge been incorporated in plans ? How ?
- 4.7 % households participating in CAP _____
% households contributing for O&M _____
% households participating in community monitoring _____
- 4.8 % women participating in CAP _____
% women contributing for O&M _____

Remarks/ comments/ suggestions :

<p style="text-align: center;">TAB J</p> <p style="text-align: center;">Process Monitoring Focus Group</p> <p style="text-align: center;">Questions - Implementation Phase</p> <p style="text-align: center;">SO Level</p>
--

Name of SO : _____ For Which 2 villages

Date : _____ Village # 1. _____

Reported by : _____ Village # 2. _____
(DPMU/ SA)

FOCUS GROUP QUESTIONS :

1. Decentralising RWSES

1.1 What is your role in the implementation phase ? What problems are you facing - staffing/ management.

1.2 What do you think is the role of villagers in this phase ?

2. Local Planning & Ownership

2.1 How often are VWSC meetings taking place ?

2.2 How are the decisions taken in VWSC meetings ? (% of people participating in decision making).

% of men _____

% of women _____

2.3 How are the contributions for cash/ labour decided in the VWSC ?

2.4 Have any plans been discussed for O&M after construction ? Describe.

2.5 What percentage of households are active in trench digging or drainage digging ?

2.6 How have you involved villagers in procurement of non local materials ?

3. Role Of Women

3.1 What is the number and percentage of men and women actually participating in the construction work ?

% men

% women

3.2 How is community monitoring taken up by the women in the villages ? Describe.

3.3 Which of the participatory tools have proved effective for encouraging participation of women ?

Remarks/ comments/ suggestions :

<p>TAB J</p> <p>Process Monitoring Focus Group</p> <p>Questions - Implementation Phase, Community Level</p>

1.	Name of community	<input style="width: 100%; height: 60px;" type="text"/>
2.	Date	<input style="width: 100%; height: 60px;" type="text"/>
3.	Reported by (DPMU/ SA)	<input style="width: 100%; height: 60px;" type="text"/>
4.	Name of SO providing Support	<input style="width: 100%; height: 60px;" type="text"/>

FOCUS GROUP QUESTIONS

1. **Decentralising RWSES**
 - 1.1 How many meeting of VWSC were held ? Participation % of
 - VWSC members
 - Other Community members
 - SO representatives
 - 1.2 In organising construction what decisions has VWSC taken ? What decisions has so taken ?
 - 1.3 Have you been involved in procurement. Please describe in detail.

- 1.4 What is the role of SO in implementation process ? What is your role as the community ?

- 1.5 Have there been any changes during Implementation in the design finalised by you ? If so, why ?

2. Local Planning and Ownership

- 2.1 What activities have been undertaken by you for starting construction work ?

- 2.2 After construction, what plans do you have to continue for O&M collections ? Please describe in detail.

- 2.3 How have labour contributions been planned for the construction work ?

- 2.4 Have any plans been discussed for the protection of source ?

3. Role of Women

- 3.1 What is the number and proportion of women in construction work ?

3.2 What role are women playing in community monitoring during this phase ?

3.3 What decisions are taken by women and what by men in the meetings ?

3.4 Are the women involved in any training ? What kind :

- Technical
- Income generation
- Health and Environment sanitation
- Others

Remarks/ comments/ suggestions :

TAB K

IMPACT MONITORING TOOLS

Collection of Baseline Health Data

Introduction to Health KAP & Time Use Study

The following survey format is meant for use by Community Worker (preferably a women). It covers changes in health status and practices, as well as time savings information. .

A sampling approach is suggested in Annexure I. SOs will incorporate other participatory tools to gather information provided by villagers and accompanied by the SO's own observation.

Guidelines for Health KAP & Time Use Study

- 1- 30% of the schemes of each SO & 20% of the population in each scheme has to be studied.
- 2- Population is to be selected randomly. (See Annex 1).
- 3- This study has to be initiated after you have established rapport in the village & community mapping is done.
- 4- The atmosphere at the time of the survey has to be informal.
- 5- The date and time should be mentioned on each form.
- 6- Question no. 1 to 6 should be asked informally.
- 7- For Question number 9, the respondent should be asked whether or not she can read the form. If she can, then you ask her , the educational qualifications.
- 8- For Question number 11. accompany the women to the source.
- 9- In Question number 11.10 total number of trips made in a day are to be cross checked with number of trips made in last 24 hours by all members of the family.
- 10- The quantity of water filled by a child /trip will differ from that of the adult, on an average the water filled by the women /trip has to be taken into consideration .
- 11- You should measure the quantity of water in the women's container with your own container
- 12- For question number 14, first ask the seasons (rains, summer ,winter). Then bring it down to the two main months for example Disease 'x' is most common during rains. Ask the respondent whether it is in the beginning of rainy season , towards the end etc. This way you will be able to bring it down to exact two months .
- 13- Don't give options in question number 16 .
- 14- Tick "Yes" only if the respondent gives the correct method. One single mistake should be taken as 'No' in question number 18 .
- 15- For filling the information in question number 19, ask for health / immunisation cards.
- 16- The questions on 'Personal , Domestic Hygiene & Environmental Sanitation are to be filled by observation.'

Format for Health KAP & Time Use Study

A. General

Date:.....

1. District	2. Block.....
3. Village Name	

4. Name of SO	Interviewer Mr/ Ms
5. Designation of Interviewer	

6. Household No. (Identify from Community Map), Caste:
--

7. Respondent (talk to adult male only if there are no adult females)	Adult Male (Name)	Adult Female (Name)

8. Main Sources of Income of household				
Agriculture	Service	Business	Daily Labour	Others(Mention it)

(Kindly tick)

9. Education level of Respondent	Illiterate	Primary	Secondary	Higher

Request respondent to read questionnaire, only if able to read ask education level & fill appropriate box.

10. Household size :

	Adult	Children 5-15 yrs.	Children < 5 yrs.
Male			
Female			
Total			

B. Water Collection

11A. Water collection (Hauled Water Only)

		Purpose					
		Drinking/ Cooking		Animal Use		Bath/ Laundry	
		Source I	Source II	Source I	Source II	Source I	Source II
11 1	Source(s) type * (Source type Naula /Ghadhera /River /Spring/handpump/Well/others)						
11 2	Source name						
11 3	Availability of source (months)						
11 4	Walking time to source (min) (a) *						
11.5	Waiting time (min) (b) *						
11 6	Filling time (min) (c) *						
11 7	Return time from source (min) (d) *						
11 8	Total time per trip = a+b+c+d (min)						
11 9	Water collected per trip (litres) **						
11 10	Total no of trips made by your household in last 24 hours						
11 11	Total water collected/ day/ household (to be determined by interviewer in litres)						

* Walk with respondent to the source and record time to and from source, and waiting and filling time. Also observe source area and fill* Q. 29

** Measure the respondents water container(s) used to haul water.

11B. Water used at source:

	Purpose

		Animal Use		Bath		Laundry	
		Source I	Source II	Source I	Source II	Source I	Source II
11.1	Source(s) type * (Source type Naula /Ghadhera /River /Spring/handpump/Well/others)						
11.2	Source name						
11.3	Availability of source (months)						
11.4	Walking time to source (min) (a) *						
11.5	Waiting time (min) (b) *						
11.6	Return time from source (min) (c) *						
11.7	Activity/ task performing time (d) *						
11.8	Total time per trip = a+b+c+d (min)						
11.9	Total no of trips made by your household in last 24 hours						

* Walk with respondent to the source and record time to and from source, and waiting and filling time.

12. Generally who collects water in your household ? Write number of trips made in a day by each person (cross validate with 11.10).

	Adult	Children
Male		
Female		
Total		

C. Diarrhoea & ORS

13. In the last 1 month, how many people in your household have suffered from the following diseases :

Diseases	Children < 5 yrs.		Children 5-15 yrs.		Adult	
	Male	Female	Male	Female	Male	Female
Diarrhoeal diseases						
Skin infection						
Eye infection						
Typhoid						
Jaundice						
Malaria						
Worm infestation						

14. In which months do the following diseases occur most

Diseases	Months/ Seasons
Diarrhoeal diseases	
Skin infection	
Eye infection	
Typhoid	
Jaundice	
Malaria	
Worm infestation	

15. Has any member of your household died of diarrhoea in the last year ?

	Children < 5 yrs	Children > 5 yrs.	Adult
Male			
Female			
Total			

16. What do you think is the cause of diarrhoea ?
(tick the following boxes unaided)

Contaminated water	Dirty hands	Flies/ animals (dogs, chickens)	Traditional belief	Other (specify)

17. With what do you treat diarrhoea ?
(tick the following boxes unaided)

ORS	Traditional healer	Health post	Others

18. Do you know how to prepare ORS correctly ?

Yes

No

(tick yes only if respondent is able to say the correct recipe for ORS)

19. Have your children (<1 yrs.) been immunised for the following (ask for a Health card) ?

	Yes	No
BCG		
DPT*		
Polio Drops*		
Measles		

(* tick yes only if DPT has been administered 3 times (at 6 weeks, 10 weeks and 14 weeks) and Polio drops are given thrice)

D. Personal Hygiene

20. How often do you wash the clothes ?

Daily	At least once a week	At least twice a week	At least once a month

21. How often do you take a bath ?

Daily	At least once a week	At least once a month

E. Sanitation

22. Where do you usually defecate ?
(tick the following boxes unaided)

Latrine	Forest/ field	River bank	Any where	Other

23. If the house has a latrine ask
Why did you build a latrine ?
(tick the following boxes unaided)

Convenience	Cleanliness	Health	Pressure from others	Other

24. Who in your household uses the latrines ?

	Children < 5 yrs	Children > 5 yrs.	Adult
Male			
Female			
Total			

25. If you build a toilet and the pit becomes full after some time, what would you do ?
(tick the following boxes unaided)

Abandon the latrine	Cover the pit and later, reuse as a compost fertiliser	Cover the pit and later, plant a fruit tree	Build another latrine somewhere else	Other (specify)

26. If there is no latrine ask reasons for not building one.
(tick the following boxes unaided)

Lack of space	No need	Cannot afford	No know how	Other

27. How are infant/ child faeces disposed of ?
(tick the following boxes unaided)

Throw it in the	Throw it in the yard	Other (specify)

yard	and cover with ash	

28. Please list the number of animals in your household

Name	No.

29. Water quality (observe the source area)

	Yes	No
Standing water around source area		
Human/ animal waste around source		
Handpump/stand post has a platform		

Checklist for observation (Health KAP Survey)

Personal Hygiene	Domestic Hygiene	Environmental Sanitation
<p>A. Washes hands</p> <p>Before cooking</p> <p>Yes _____ No _____</p> <p>Before serving food</p> <p>Yes _____ No _____</p> <p>Before eating</p> <p>Yes _____ No _____</p> <p>After eating</p> <p>Yes _____ No _____</p> <p>B. Washes hands with soap/ ash</p> <p>After defecation</p> <p>Yes _____ No _____</p> <p>After cleaning baby bottoms</p> <p>Yes _____ No _____</p> <p>C. Finger nails clipped</p> <p>Yes _____ No _____</p>	<p>A. Water storage</p> <p>Container is covered</p> <p>Yes _____ No _____</p> <p>Cleans container with ash/ soap inside before filling it</p> <p>Yes _____ No _____</p> <p>Container is free of slime</p> <p>Yes _____ No _____</p> <p>Water stored is out of reach of children</p> <p>Yes _____ No _____</p> <p>B. Cooked leftover food is covered</p> <p>Yes _____ No _____</p> <p>Place of cleaning utensils is clean</p> <p>Yes _____ No _____</p> <p>C. Children's faeces are in the house</p> <p>Yes _____ No _____</p> <p>D. Cows/ buffaloes kept inside the house</p> <p>Yes _____ No _____</p> <p>Goats kept inside the house</p> <p>Yes _____ No _____</p> <p>Chickens penned inside the house</p> <p>Yes _____ No _____</p>	<p>A. Waste water present around the house</p> <p>Yes _____ No _____</p> <p>Animal/human excreta present around the house</p> <p>Yes _____ No _____</p> <p>B. Latrine usage by adults</p> <p>Yes _____ No _____</p> <p>C. Faeces around the pit hole</p> <p>Yes _____ No _____</p> <p>D. House has a compost pit to dispose domestic refuse</p> <p>Yes _____ No _____</p>

Tab L

Community Monitoring Tool

GUIDE to Healthy Home Survey

Tab L

Community Monitoring Tool

GUIDE to Healthy Home Survey

GUIDE to the Healthy Home Survey
A LEVEL ONE Impact Monitoring Tool
Required of all communities

The purpose of this activity is for a group of community women to decide among themselves the ten or more attributes of a healthy home and then survey the homes in the community and rate each according to the criteria they have chosen. The steps are:

1. A group of women first brainstorm the features they consider to be important in a healthy home. This might include a roof in good repair, good ventilation, food properly covered jar, and so on. It is important that the facilitator be non directive and let the women list whatever attributes they want. After they have discussed the issue, they make a list of the ten or so features of a healthy home. The attributes should be categorized into three main headings of PERSONAL, DOMESTIC or ENVIRONMENTAL. A literate member of the group can write the items on a flip chart or they may use available materials sticks, beans, leaves as symbols.
2. The facilitator then introduces the cards with pictures of the attributes selected by other communities in the project. The next activity is just to familiarize the participants with the cards. They are asked to discuss each one and see if they consider it very important, important or not so important. They can then compare the list with the one they did earlier.
3. The participants are then given three tasks:

For the Personal Attributes:
 They use a secret voting system to indicate how often they personally wash their hands with soap each day, how often they bathe, and so on. The totals are tallied and divided by the number of women to find the average for the group. This can be done with hidden pocket charts or some other "secret" ballot so that the group does not know how each woman answered.

For the domestic Attributes:
 They inspect all the homes and decide whether each home is healthy or unhealthy for that attribute. These scores are then depicted on large wall charts so the community can see changes over time.

For the Environmental Attributes:
 Participants are asked to walk around their community and observe. They should rate the overall community and specific areas in the community as "healthy" or "unhealthy" for that attribute.
4. The summary information should be made available to those SO staff who are planning the hygiene education program for the community so they can learn the most frequent unsanitary situations and target those for

educational programs. You will want to keep the individual home surveys to use when you do the follow-up after the system is installed.

The survey should also be repeated six months to one year after the water system has been installed. In that case, women should review their original criteria and see if they still like their original list. They may wish to add some attributes but for evaluation purposes, they must inspect for original attributes again.

UP RWSES DATA COLLECTION FORM
SAMPLE Healthy Homes Survey REGISTERS

Village: _____

Household Number from Community mapping or Name of Household:

S.N.	Attribute	No. Homes		Total Homes
		HEALTHY	Not HEALTHY	
1.	Food is kept covered			
2.	Fresh food is used			
3.	Hands washed after contact with baby feces			
4.	Cooking area and utensils clean			
5.	Water carried and stored in a clean container			
6.	Water not touched by hands in collection or carrying			
7.	A smokeless stove is used			
8.	Vegetables and other foods are washed with clean water before eating			
9.	The house is well maintained, and the roof is sound			
10.	The beds are clean and free of insects			
11.	The courtyard around the house is kept swept and clean			
12.	The house is well ventilated			
13.	Children are bathed weekly			
14.	Sleeping and cooking area is free of flies, rodents, and animals			
15.	The floor is clean (lipnu)			
16.	Children have all been vaccinated			
17.	The sleeping area is separate from the storeroom and kitchen			
18.	Children and adults do not urinate or defecate in or near the house			
19.	Household has a latrine			
20.	A separate place for disposal of garbage			
21.	A separate pen for animals			
22.	Baby feces disposed of in latrine or garbage dump			
	TOTAL			

UP RWSES REPORT FORM
Environmental Attributes

S. N.	Attributes	Healthy	Unhealthy
1.	Specific places for garbage away from the houses and water source		
2.	No defecation in or near paths where people		
3.	Children's feces is disposed of in latrines or garbage		
4.	Animals feces is cleaned from public areas		
5.	No stand water near houses		
6.	Water sources clean and free of standing water		
7.	Animals do not use the same water source as humans		
8.	Private bathing areas for men and women		
9.	Public areas free of garbage, feces, and vermin		
10.	Latrine and water source near school		
	TOTAL :		

**UP RWSES REPORT FORM : Healthy Home Survey
of Personal Hygiene**

S. N.	Attributes	No Answering		
1.	Wash hands with soap/ ash after defecation			
2.	Wash hands with soap before preparing food			
3.	Bathe and wash hair once a week			
4.	Clean teeth daily			
5.	Use a latrine for urination			
6.	Use a latrine for defecation			
7.	Wear shoes when going to urinate or defecate			
8.	Cutting nails			
	TOTALS :			

Number of women participants: _____

Tab M

Community Monitoring Tool GUIDE to Community Mapping

Purpose :

The community mapping exercise is an essential planning and monitoring tool so it should be undertaken with broad community participation. If the community is large, smaller maps can first be made at the cluster level, to ensure participation and achieve a level of adequate detail. There should be representation of women and men of all castes, and ethnicities. It should be done at a time when people are not rushed. The community map is one major tool of the CAP Process, but it also needs to be integrated with other tools which break down issues related to environment, health, and their relation to water supplies and sanitation into manageable learning activities. Maps are an investigation tool, a planning tool, and also an M&E tool. As a community monitoring tool, maps made before and after the scheme provide a major vehicle for enhancing community management.

During Prefeasibility, maps were made by the SOs to help identify villages. Later, SOs will prepare maps again as part of Feasibility studies. Those maps provide the formal data for making decisions and are the source of Impact data.

Community Maps are for use by the villagers to enhance their own management and decision-making, but obviously if there are discrepancies with the PVMs these should be sorted out in discussion with the villagers. At first, villagers develop a draft if necessary using the ground, drawing on sandy soil or soil and using found objects to represent different features of the map. In most cases, villagers will prefer to work directly on posterboard. Sets of multi-colored markers and/or crayons are needed, along with varying sizes of black markers. It is preferable to use several sheets of posterboard so the map is of sufficient size to show details and to promote effective interaction between villagers.

Several kinds of maps can be made, the first detailing the existing situation at each cluster, including detailing of habitations. These can be summarized in the overall village map, or if there is space, all details should be included.

Have several sheets of newsprint and makers available before you start.

How to conduct the exercise :

1. Go to a high elevation where you can see the whole community or if possible, walk around the boundaries of the community determine what the outer limits are. As you walk, discuss with community members the layout of the community and notice any water sources, sanitation problems, or geographical features. Make cluster maps first if necessary, according to the size of the community. Take care that no cluster is left out specially the SC/ST and women in particular.
2. Overall village map. The mapping must be done by community members only, with guidance from the community facilitator. The J.E. can also be present, but should remain an observer.
3. Ask the group to use the materials to make a map to represent their community.

4. The map should include:

- the boundaries of the community
- any major geological features such as hills, rivers, forests, roads, irrigation canals, level grounds, etc.
- important community centers such as temples, government buildings, power and telephone transmission lines, health centres, sports fields, and similar facilities
- all water sources and the number of months each has water indicated. The use of these sources for irrigation and/or drinking water should be marked on the map. Water sources include springs, streams, rivers, lakes, naulas, canals, tanks. Potential water sources for further development should also be marked.
- any incidence of soil erosion, afforestation and deforestation should be noted.
- locations of all houses and number of people living in each (use the attached sheet)
- ethnicity/ castes of all houses
- location of main defecation areas of men and women, and areas for solide waste disposal, existing drainage facilities
- location of any other areas the community identifies as unsanitary such as garbage dumps, swamps, ponding, unsanitary canals, etc. should be noted.
- land use patterns, such as agricultural land, forest, grazing, barren and land for habitations. Major vegetation covers should also be noted.
- estimate of the amount of time it takes to walk, come back from each household to source as well as congestion time at the source.

The maps, together with a sample wall chart on village demographics, can be kept in the VWSC office or with a VWSC person assigned to take care for them and bring them to meetings. The community census activity can also be used to gather demographic information and indicated on the maps. That data can be shown on the map but also transferred to a poster, as per the chart on the next page.

A social map and a problem map can also be prepared. On a social map, villagers would be free to indicate anything they wanted about the village and its people. They can mention problems, needs, incidents that happened, festivals and social activities, and how people use different parts of the village. The main community map can also be used to discuss specific problems in the existing situation. These may be with regard to water deficiencies, water quality, human and cattle waste disposal and drainage, fodder and fuel wood collection and deforestation, water ponding and mosquito breeding, erosion and deforestation in the water

catchment, economic problems. However, maps are not the only tool, but should be used in conjunction with other tools.

In terms of community monitoring, maps made before the scheme and afterwards become one vehicle by which villagers track progress, especially with regard to physical changes. Other tools help to link these more to health and behavioural practices, and also to the environment and change in status of women, and the population as a whole.

More detailed maps (prepared by technical staff) are described as part of the Feasibility Studies (See technical manuals). These include detailed land use studies. To the degree possible, information from these maps should also be shared with villagers to help them assess their situation in terms of land uses, vegetation covers, erosion assessment, soil types, etc., before and after the project.

Use of Maps for Planning is discussed in Training and Technical Manuals. It is also possible to use maps showing the CAP plan as a before and after assessment tool, or community monitoring tool. A wall chart could also be made showing what exists, what is planned, and, after time, what was achieved.

Sample VWSC Chart

1. House, population and woman headed household by Caste :

Caste	No. of houses by Caste	No. of population by Caste	No. of woman headed households

2. Total population :

	Male	Female
a. Below 10 years		
b. 10 to below 15 years		
c. 15 to below 50 years		
d. 50 +		

3. List on depict major problems/ resources identified during mapping :

Tab N

Community Monitoring Tool

GUIDE to Time use Exercise

Time Use Exercise

Definition :

This exercise is used to help women identify their own time use pattern in a day and thereby their time availability for new activities, before and after scheme completion.

Purpose of the exercise :

To determine the tasks women perform, the sequence in which they do them, how long each activity takes. This exercise will also help to understand women's/ men's specific activities, which time of the day women/ men can be free to attend meeting, training, etc. Furthermore, this will also help to identify where to introduce time saving methods. This will help to monitor the change in activities and time allocation if it is carried out before and after the implementation.

How to conduct the exercise :

This exercise can either be done by using cards or just by finding at our asking them to systematically describe their activities from morning to evening and they will also give the approximate time for each activities. Atleast ten households need to participate. If the community is small, all household can participate. If women are not used to hours they can indicate in terms of whole morning, half a day, from noon to evening, evening to night. The facilitator will have to help with this and translate that time into hours and minutes after discussion with women.

The exercise is repeated after the construction of water & sanitation. Women analyse and plan how time will be used, and differences noted.

Cards should be prepared that depict different tasks which women perform during their daily routines.

1. Lay the cards on the ground
2. Ask each member of the group to sequence the cards by the order in which they normally perform the activities. Provide blank cards for drawing any extra choice the women may describe. Record similarities & differences between the responses of the participants.
3. Next, provide the group with match sticks. A full match stick represents one hour; a half match stick represents one half hour. Ask the group to determine how long each chose takes by planing match-sticks on the respective cards
4. Discuss the findings with the group & let them summarise what was learned.

A wall chart (which can be placed at VWSC's meeting venue) can be prepared to summarise these activities and to find out which are the most time consuming activities. A repetition of this exercise before and after the construction of water scheme will help the community to find out the change in their time use pattern and how efficiently are they able to utilise the time saved.

Checklist of Activities

- Water collection
- Fodder collection/ Fuel collection
- House cleaning
- Animal care
- Making dung patties
- Cooking
- Washing utensils
- Washing clothes
- Child care
- Agricultural activities
- Rest during day
- Socialising
- Income generating activities
- Developmental work
- Sleeping at night
- Other activities

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- Rest during day
- Socialising
- Income generating activities
- Developmental work
- Sleeping at night
- Other activities

TAB O
Community Monitoring Tools
GUIDE to Wealth Ranking



Purpose :

To involve local people in ranking the relative wealth and poverty of families in the community based on their own criteria, for purposes of helping the VWSC better targeting project assistance, and to enable the community to understand who are the most needy and poor people in the community and how they can be benefited most.

How to conduct the exercise :

1. Write down the name of all the households on different cards as identified by the community map.
2. Select an elderly community member and ask him to rank different families in the community on basis of comparison.
3. Ask him the criteria on which he is ranking different households. These will be the criteria which he feels are important for a person to be wealthy, it can be land, money, cattle, agriculture, serving out, owning a tractor, owning a water pump etc.
4. These criteria can be listed down and prioritised accordingly.
5. This exercise can be repeated on few other community members.

This information can then be used to categorise the most needy people in the village and community/ VWSC can accordingly help them by emphasising activities in support of these people.

MONITORING & EVALUATION SUMMARY

Focus	What to Monitor	Indicators	Methods/Tools	Responsibility
Improvements in Health & Hygiene situation	<ul style="list-style-type: none"> -Water storage practices -Personal hygiene -Domestic hygiene -Environmental sanitation -Water consumption -Water source -Awareness of Disease transmission routes 	<ul style="list-style-type: none"> -Absence of slime in water -Water container covered -Washes hand with ash/soap after defecation -Cooked food is covered -Latrine use by children & adults -Absence of children faeces around house -No stagnation of water around house -Per capita consumption of water -Use of protected water source -Prevalence of diarrhoea -Skin & eye infection -Worm infestation -Participation in Primary Health Care (PHC) activities 	<ul style="list-style-type: none"> Healthy Home survey Health Baseline Data (KAP) 	<ul style="list-style-type: none"> Community members with SO facilitation Data collection by SO (community worker) and Analysis by DPMU staff
Economic Benefits	<ul style="list-style-type: none"> -Time savings 	<ul style="list-style-type: none"> -Total time spent per household per day in water collection -Time taken per trip -Increased vegetable production -Increased participation in income generating activities -More leisure time -BCR 	<ul style="list-style-type: none"> -Time Use Analysis -Wealth Ranking Exercise -KAP 	<ul style="list-style-type: none"> Community with facilitation of SO staff
Environmental Sanitation	<ul style="list-style-type: none"> -Increased sanitation awareness 	<ul style="list-style-type: none"> -No waste water around houses -Use of compost pits -Proper drainage -Use of latrines -Absence of faeces -Tree plantation -Source protection/fencing 	<ul style="list-style-type: none"> Healthy Home Survey 	<ul style="list-style-type: none"> Community with facilitation of SO staff
Impact on women	<ul style="list-style-type: none"> -Gender Awareness -Time savings -Development of skills for income generating activities 	<ul style="list-style-type: none"> -Reduction in work load -Women are in position of authority -Increased opportunities for income generation -Linkages with other groups 	<ul style="list-style-type: none"> Time Use Analysis 	<ul style="list-style-type: none"> Community with facilitation of SO staff
Sustainable Water Supply schemes	<ul style="list-style-type: none"> -Knowledge & skills regarding sustainable water supply -Management abilities 	<ul style="list-style-type: none"> -Collection of regular O & M fund -No of repairs undertaken 	<ul style="list-style-type: none"> Process and Performance Monitoring Tools 	<ul style="list-style-type: none"> DPMU & SO

TYPES OF MONITORING

Types	Purpose	Focus	Frequency	Responsibility	Utility	Methods/Tools
Performance Monitoring	To identify areas where corrective measures or improvements may be required	-Capacity building -Contractual compliance of SOs -Quality standards laid down for project outputs	Two per phase	DPMU	-For monitoring the performance of various participating agencies -For making payments	-Formats / Questionnaires -Field visits -Meetings -Observations -Narrative reports
Process Monitoring	To assess the content, usefulness and efficiency of methods/tools used in service delivery			PMU, DPMU, SO , VWSC		-Focus group formats -Meetings
Impact Monitoring	To assess the extent to which the project objectives have been achieved and the factors which have effected outcome.		In the early stage of Planning phase; After construction of water supply scheme	DPMU, SO, VWSC		
Community Monitoring	To enable users monitor their own progress as per objectives they have set in their own action planning and to study the changes in impact over time.		Regular fortnightly or monthly basis	VWSC		
Strategic Monitoring	To determine whether the objectives of the project have been achieved as well as broader lessons which contribute to sector work on a regional & global level		After 1, 3 & 5 years of completion of the project	PMU		

TAB A

How to fill the form:

- This form is to be filled by the Portfolio Manager before the 2nd payment of Planning Phase, after verification from the community/VWSC.
- Field visit of atleast 2 days per village is required before filling this form.
- Portfolio Manager reviews and verifies progress reports submitted by SOs by talking to the community/VWSC members.
- Take the Planning Phase agreement and list of SO staff and verify if there is any change in the SO staff.
- Meet the SO field staff to verify whether they are properly trained or not
- Atleast VWSC staff should have been trained This should be ascertained by talking to the VWSC staff. Note the duration of the training and number of men and women trained.
- Verify with the villagers about the SARAR tools used in the village, NFE activities started in the village, number of tapstand groups formed in the village

TAB B**How to fill the form:**

- This form is to be filled by the Portfolio manager after he attends the "Agree to do" meeting held with VWSC, SO staff- CDS, CF, CW, JE and community members.
- This form is not to be filled in presence of the community and the SO staff, however, some points in a small handbook can be noted during the meeting and later the form can be filled based on the observations during the meeting.
- Note carefully about the manner in which the technical options are discussed with the community.

TAB C

How to fill the form:

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- Meet the SO field staff and community to verify whether the cash contribution has been made or not.
- Verify whether the whole community has participated in the formulation of Community Action Plans by talking to the villagers. Ask whether the community is aware about all the nine Community Action Plans and are they ready to implement them.

TAB R**How to fill the form:**

The DPMU first visit information report form is to be filled by the DPMU/PMU staff, whoever is first visiting the village and the information is to be obtained informally from the community and the SO staff. The form can be filled later based on the observations and some points noted down. At least one whole day visit to the village is required for filling this form. SO staff should also be informally asked regarding various queries

TAB P

How to fill the form:

- This is a monthly reporting format which is based on the project's scheme cycle.

A village wise report in this format is to be submitted by the SO staff to the Portfolio Managers in the DPMUs The Portfolio Managers will write their comments on the same form and send it to PMU for reviewing the monthly progress of scheme cycle activities.

TAB D**How to fill the form:**

- This form is to be filled by the Portfolio Manager before the 1st payment of Implementation Phase, after verification from the community/VWSC.
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TAB F**How to fill the form:**

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-

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- This form is in two parts One is for the SO level and the other is for the community level.
- Both the forms are to be filled based on the informal interactions and the observations in the field

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How to fill the form:

Tab Q contains three forms. First is a narrative report format from SOs to Portfolio Manager, second is from Portfolio Managers to Counterpart Portfolio Managers and third is a DPMU visits made format. This is a narrative monthly reporting format, focusing on the process part of the activities going in the village, which is to be sent by the SO to the Portfolio Managers in the DPMU and PMs will send their report in the same format along with their comments to the Counterpart Portfolio Managers assigned in the PMU along with a report on visits made by them during that month.

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