

Process Monitoring for Improving Sustainability

A Manual for Project Managers and Staff



**Community Infrastructure
Project - North West
Frontier Province**



**Swiss Agency for
Development and
Cooperation - SDC**

July 1999

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Acronyms

BR	Block Representative
CAP	Community Action Plan
CBO	Community Based Organization
CDC	Community Development Committee
CIP	Community Infrastructure Project
DG	Director General
LGE&RDD	Local Government, Elections and Rural Development Department
M&E	Monitoring and Evaluation
MIS	Management Information System
NGO	Non Government Organization
NWFP	North West Frontier Province
P&CD	Planning and Community Development
PC-I	Planning Document-1
PE&DD	Planning, Environment and Development Department
PIU	Project Implementation Unit
PM	Process Monitoring
PMU	Project Management Unit
PO	Participant Observation
PRA	Participatory Rural Appraisal
SDC	Swiss Agency for Development and Cooperation
SO	Social Organizer
TOR	Terms of Reference
WG	Working Group
WSP-SA	Water and Sanitation Program – South Asia

CONTENTS

ABOUT MANUAL

WHAT'S INSIDE

BACKGROUND

CIP

Contents

About this Manual

What's Inside

Background

CIP

- Module 1 Introducing Process Monitoring**
- Module 2 Implementing Process Monitoring**
- Module 3 Developing Process Monitoring Indicators**
- Module 4 Process Monitoring Methods and Tools**
- Module 5 Process Monitoring Training and Skill Development**

Bibliography

Annexures

1. **Map of Project Area**
2. **TOR for Process Monitoring Staff**
3. **Process Monitoring Action Plan**
4. **LFA**
5. **Field Visit Format**
6. **Survey Form for Semi-Structured Interview**
7. **Minutes of First Working Group Meeting**
8. **Minutes of Gender Session**
9. **Field Visit Report**
10. **Sample Training Evaluation Form**

CONTENTS
ABOUT MANUAL
WHAT'S INSIDE
BACKGROUND
CIP

About this Manual...

This Manual has been designed primarily for use by project staff of the Community Infrastructure Project (CIP) and staff from other community-based projects or programs who wish to learn about implementing Process Monitoring and actors who facilitate and advise projects.

This Manual uses the experience of establishing Process Monitoring in the Community Infrastructure Project in Pakistan as a real life example. However, this should not restrict its applicability to other project settings. This Manual is also intended for wider use in programs and projects outside CIP.

This Manual will answer many questions and raise others. An effort has been made to address the concerns of laymen as well as those experienced in monitoring and evaluation. Questions raised by this Manual will be captured and communicated in a process monitoring newsletter to be published by the Process Monitoring Unit.

This Manual should be looked at as a starting point for initiating Process Monitoring rather than a prescription for how to do Process Monitoring in every possible situation. It should be seen not so much as a “cookbook” but a “road map”.

To maximize the usefulness of this Manual, actual training of staff in participatory tools and methods is a must! Training in participatory social research methods such as Participant Observation, Participatory Rural/Rapid

Appraisals are absolutely necessary.

Process Monitoring serves the minimum needs of key stakeholders in a project. It cannot, however, serve all the needs of all stakeholders at all times.

The most important prerequisites for effective Process Monitoring are an open mind and willingness to change! Project staff and in particular project management have to have an open mind to criticism for Process Monitoring to achieve what it is supposed to.

CONTENTS

ABOUT MANUAL

WHAT'S INSIDE

BACKGROUND

CIP

What's Inside...

This Manual is divided into 5 modules. Module 1, “Introducing Process Monitoring” looks at the history of Process Monitoring; description and definition of Process Monitoring, its uses, comparison with regular progress monitoring; and lessons learned during the implementation of Process Monitoring in CIP.

Module Two, “Implementing Process Monitoring”, presents a five-step approach to implementing Process Monitoring.

Module Three, “Developing Process Monitoring Indicators”, guides the user in developing key indicators and gives examples of how indicators were developed in CIP.

Module Four, “Process Monitoring Methods and Tools”, describes tools and methods used in Process Monitoring; with examples from their use in CIP.

Module Five, “Process Monitoring Training and Skill Development”, describes the training and skills needed for successfully implementing Process Monitoring.

Even though the Manual was designed to be read in a logical sequence, it is also possible to read each module separately.

CONTENTS

ABOUT MANUAL

WHAT'S INSIDE

BACKGROUND

CIP

Background

The purpose of this Manual is to provide project managers with the information and tools they need to plan and implement Process Monitoring in participatory and innovative community-based projects. The original idea for this Manual came from the UNDP-World Bank Water and Sanitation Program - South Asia (WSP-SA)*. This effort is supported by the Swiss Agency for Development and Cooperation (SDC), with WSP-Pakistan, responsible for producing and disseminating this Manual.

This Manual is based on the experience of implementing Process Monitoring in the CIP, North West Frontier Province (NWFP). The manual is, however, intended to be of interest to and used by a wider audience of project planners, managers, field staff and donor agencies within and outside Pakistan.

The material contained in this Manual is based on practical experience, and a conscious effort has been made to make it as user-friendly and “real” as possible.

This Manual is a “living” document. CIP is still being implemented, and experience from later stages in the project cycle will provide additional content for the Manual. User’s comments will also be helpful in improving this Manual for future users.

* The Water and Sanitation Program began on the initiative of the World Bank, the United Nations Development Program (UNDP) and fifteen bilateral cooperation agencies during the International Decade of Potable Water and Environmental Sanitation in the eighties. With its presence in more than twenty-eight countries, the Program supports national and local efforts to help communities with scarce resources obtain sustainable access to improved water and sanitation services.

Introducing CIP

In 1990, the Community Infrastructure Project (CIP) had its beginnings during a World Bank Shelter Sector Review, conducted with financial assistance from the Swiss Agency for Development and Cooperation (SDC). This review identified priority investment needs and policy changes to promote improved housing conditions and access for low-income rural and urban communities.

Lessons from initial surveys showed that improved housing is not always the community's highest priority. More often the communities' main priority is to meet a variety of infrastructure needs. As a result, three pilot projects to develop and test approaches, methods and procedures for shelter provision in low-income communities were proposed, which later developed into a larger project. The objective of this project, subsequently called the Community Infrastructure Project (CIP), is to increase the productivity and well-being of low-income groups in NWFP by improving their living conditions through provision of basic infrastructure. This will be achieved by:

- infrastructure upgrading and community development in existing rural and urban low-income settlements
- promoting the use of demand-driven, participatory design procedures and affordable standards for infrastructure
- strengthening the ability of provincial and local government to collaborate with communities to implement low-income infrastructure programs
- promoting sustainable arrangements for O&M of basic services

CIP is designed as a participatory project requiring a high level of interaction between the Project and the community. The project is funded by the World Bank and SDC and implemented by the Local Government, Elections and Rural Development Department (LGE&RD), NWFP.

The Project will cover 55 communities in seven Divisions of the NWFP, and is expected to benefit about 420,000 people in low-income urban and rural areas of the province. The Project is implemented in 4 phases covering 12 communities in Phase I, 14 communities each in phases II and III, and 15 communities during Phase IV. (See Annex I for Map of NWFP).

The project cycle in each community consists of [Identification](#), [Preparation](#), [Confirmation](#), [Implementation](#) and [Operation and Maintenance \(O&M\)](#). Project activities are implemented through Project Implementation Units (PIU), which comprise both technical and social staff.

CIP provides both primary* and secondary infrastructure. Primary infrastructure is implemented through contractors with no contribution from the community, while secondary and tertiary infrastructure, which is usually located within the community, requires 20 percent cash contribution from the community. The Project provides water supply, sanitation, road improvements, lanes/footpaths, storm water drainage, flood protection, solid waste disposal, and other types of productive infrastructure of importance to the community.

CIP has adopted innovative mechanisms for promoting active community participation and fostering a strong partnership between provincial government and communities. One innovative

* Primary infrastructure is meant to service the whole community and is to be managed by the concerned local councils. Secondary infrastructure is more localized and the responsibility for its O&M rests with the community. As part of its initiative to build local capacity, the project provides training in O&M procedures to community members.

feature of the project is the process of preparing Community Action Plans (CAPs), where the communities themselves discuss and prioritize their needs with project staff.

Community cost-sharing is another innovative feature introduced by CIP. Communities are required to express their willingness to participate by contributing 20 percent towards the cost of secondary infrastructure schemes chosen by them. A third innovative feature of CIP is the introduction of Process Monitoring. Process Monitoring is employed to identify problems and issues that may arise during project implementation and to take corrective actions when required. This activity is used to generate timely feedback on project operations to determine what needs to be done to improve project performance. Another innovative feature of CIP is involving NGOs, who have experience of working in the area, by sub-contracting community training, sanitation and health promotion to them.

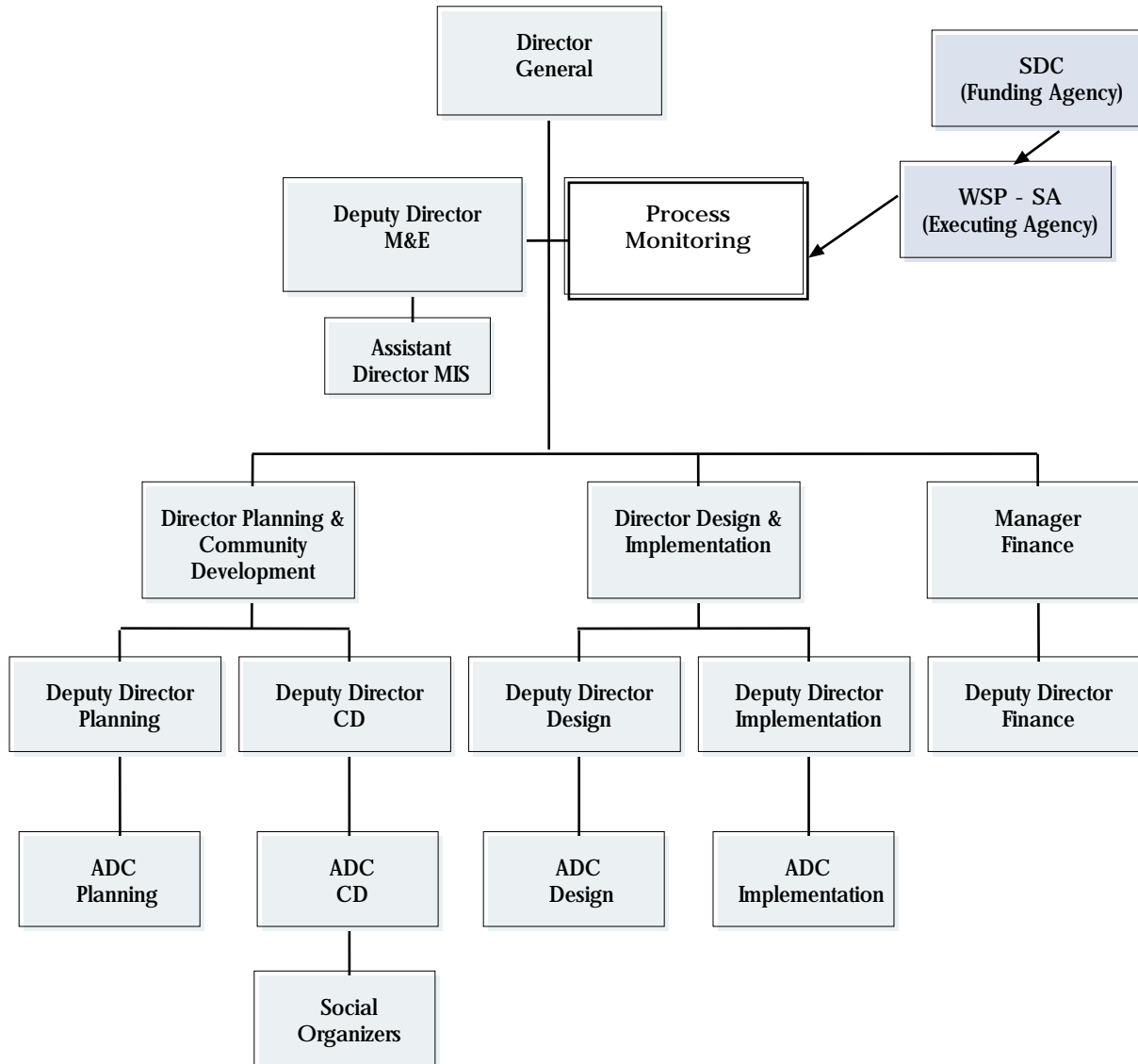
Community Infrastructure Project (CIP)	
North West Frontier Province (NWFP), Pakistan	
Started:	1995
Government Agency:	Local Government, Elections and Rural Development Department (LGE&RD)
Supported By:	GoNWFP, IDA (loan), SDC (grant), UNICEF
Main Activities (loan funded):	Infrastructure upgrading for 55 rural and low income communities of over 3,000 population
Infrastructure Provided:	water supply, sanitation/drainage, access roads, solid waste management, schools and other community buildings
Population Served:	421,000
Community Contributes:	20 percent of cost of community works
Other activities (grant funded):	Community Development, Mobilization, Health and Hygiene, Women and Children, Process Monitoring

Following is an organogram for CIP. As can be seen, the Process Monitoring Unit is well-positioned for direct access to the Director General and the M&E Unit.

Planning and Community Development and Design and Implementation Units are separate, vertical, hierarchies, with no formal horizontal linkages below the level of Director. The Process Monitoring Unit has successfully established linkages between planning, community development, design and implementation units at the lowest levels and, most importantly has facilitated interaction between these units and communities.

Organogram

Community Infrastructure Project

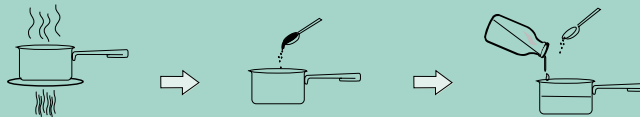


A cup of tea is a cup of tea, or is it?

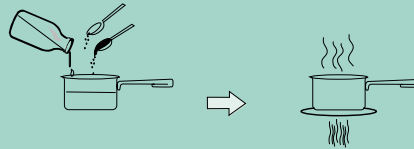


If we think of making tea...there are a number of ways in which we could go about doing it...starting with the same set of ingredients (milk, sugar, tea leaves, water and fire) we could:

Boil the water, and then put tea leaves in it, and after its cooked, put sugar and milk in it,



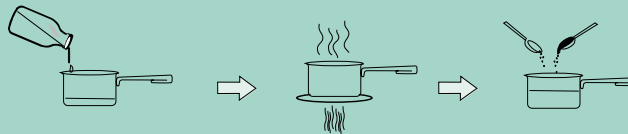
or... Put tea leaves, milk and sugar in cold water and then boil...



or... Put tea leaves in cold water, boil it and then put sugar and milk,



or... Boil the milk (not putting any water), and then put tea leaves and sugar in it...



Each one of the steps in making tea, constitutes a process; and there are at least four different processes we can follow in making tea. Each one of these processes would yield a cup of tea, but the quality of the tea in the end would vary according to the process followed. Hence, there is a desired or preferred process to follow when one is working towards producing something of a particular quality.

Introducing Process Monitoring

Process Monitoring is a management tool designed to help “ top-down ” organizations become more participatory and demand-responsive.

This Module examines the nature of Process Monitoring, its relationship to progress monitoring, how it evolved in the Community Infrastructure Project, and the experience of establishing a Process Monitoring Unit in CIP.

Process Monitoring is often confused with conventional progress monitoring. Conventional progress monitoring focuses on physical, financial and logistic aspects of projects, while Process Monitoring deals with critical processes which are directly related to the project’s objectives. For example, progress monitoring looks at the number of training sessions held, or the percentage of work completed on a water supply scheme; while Process Monitoring evaluates the quality of training or the level of community involvement in identification, design, site selection, and supervision of construction. An ideal M&E system contains elements from both progress and Process Monitoring.

Some of the main differences between conventional progress monitoring and Process Monitoring are described in the following table.

Table 1-1

Comparison of Process Monitoring and Conventional Progress Monitoring	
Process Monitoring	Progress Monitoring
Concerned with key processes for project success	Primarily concerned with physical inputs and outputs
Measures results against project objectives	Measures results against project targets
Flexible and adaptive	Relatively inflexible
Looks at broader socio-economic context in which the project operates, and which affects project outcome	Focuses on project activities/outcomes
Continuous testing of key processes	Indicators usually identified up front and remain relatively static
Selection of activities and processes to be monitored is iterative, i.e., evolves during process of investigation	Monitoring of pre-selected indicators/activities
Measures both quantitative and qualitative indicators, but main focus is on qualitative indicators.	Measures both qualitative and quantitative indicators, but main focus is on quantitative indicators.
A two-way process where information flows back and forth between field staff and management	A one-way process where information flows in one direction, from field to management
People-oriented and interactive	Paper-oriented (use of standard formats)
Identifies reasons for problems	Tends to focus on effects of problems
Post-action review and follow-up	No post-action review
Includes effectiveness of communication between stakeholders at different levels as a key indicator	Takes communication between stakeholders for granted
Is self-evaluating and correcting	Is not usually self-evaluating and correcting

Box 1-1**Example of Approaches in Progress & Process Monitoring**

A community organization from Ghalegai in Swat District complained about delays in project implementation. A conventional M&E system might have reported the delay, and the Project would have responded by instructing project staff to speed up implementation. Process Monitoring, however, examined the entire process with the community and project staff and identified the causes for delays. The main reasons for delays were late disbursement of funds by the project, and logistical constraints resulting in infrequent contact between project field staff and communities.

Process Monitoring has its roots in “Process Documentation”, first used by the Institute of Philippine Culture of the Ateneo de Manila University in 1978. It was developed in a program of the National Irrigation Administration (NIA) to organize farmers into viable irrigators’ associations. Its development was part of social science’s response to the need for field research data relevant for decision-making within a learning process approach.

Process Documentation is a tool for providing an agency that adopts a new intervention strategy continuous information about problems and issues emerging from field activities. The information fed back into decision-making is a major source for improving strategies, rules and procedures, thus helping the agency become more participatory and responsive.

Since its start, this research methodology has been adapted and used in other countries and different development settings.

Similar to Process Documentation is the concept of Process Monitoring. Process Monitoring investigates processes within the community, project and wider socio-economic context and provides timely feedback to decision-makers for change.

New patterns of interaction between communities, project staff and government agencies make systematic learning about what works and what doesn't work important.

Box 1-2

What is Process Monitoring ?

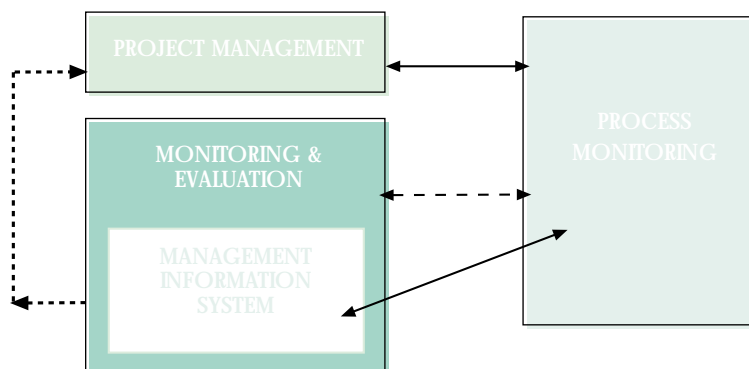
It is a process of collaborative problem-solving through generation and sharing information.

Process Monitoring helps projects learn from their own experience and adapt to improve their effectiveness over time.

Monitoring usually has low priority in government agencies, which have limited capacity to undertake monitoring of participatory, demand-responsive projects. In CIP, Process Monitoring was new to project management. It took time, consistent effort and patience to win their confidence in the value of Process Monitoring to the Project.

Since a participatory approach is critical to the success of the Project, SDC decided to support Process Monitoring to generate continuous information about key project processes for use by both project management and communities.

**Figure 1-1
Information Flow between Process Monitoring and Project Management**



The Process Monitoring Unit was established in October 1996, staffed by one female Process Monitoring Field Officer. A male Assistant Process Monitoring Officer was hired in May 1997. The Unit is located within the CIP office. The Process Monitoring Unit is managed by the Water and Sanitation Program-South Asia (WSP-SA), with part-time input provided by the Community Development Specialist.

INTRODUCTION

WHAT IS PM ?

What is Process Monitoring?

Process Monitoring informs project management of the nature of changes needed to improve project responsiveness to community demands, maximize impact and improve the likelihood of sustainable outcomes. It evaluates the **quality** and effect of project interventions and outcomes.

Process Monitoring is a continuous process of observation, interpretation, and institutional learning. It is based on the principle that the community itself is the best source of solutions for their problems, because they experience the problems and their effects first-hand and know which solutions they want and are willing to pay for.

Process Monitoring involves participant observation and critical assessment. It is a participatory approach for identifying key problems and bottlenecks caused by flaws in processes and approaches rather than a way to solve problems without addressing their underlying causes.

All actors in a project see and judge the project. Most dynamics at play within and between actors are not “visible”. Process Monitoring helps understand the motives, intentions and actions of different actors in a project.

Box 1-3

An underlying assumption

An underlying assumption of Process Monitoring is that there is an ideal way in which a process should develop; that there is an objective towards which the process ought to lead...Process Monitoring tells us if what is being observed is close to the ideal. If not, then what needs to be done to steer the process closer to that ‘ ideal’ ?

The planners of Process Monitoring in CIP defined it as:

“A management tool to generate information for institutional learning and to take corrective actions for projects which are innovative and adaptive in nature, involving a high level of community participation.”

Process Monitoring is a dynamic, interactive monitoring system, which can identify and improve key project processes. Responsive and adaptive monitoring is necessary because community processes don't conform to pre-set rules, deadlines, targets or blue-print approaches.

Box 1–4

Other definitions of Process Monitoring

“ ...the activity of consciously selecting processes, systematically observing them, comparing them with others, and communicating that in order to learn how to steer and shape the processes”

Process Monitoring: Work Document for Project Staff,
Environmental Protection, Conservation, of Natural Resources,
Dissemination of Appropriate Technologies (GATE), GTZ, 1996.

“ ...a tool which increases the capacity of project management to implement participatory, demand-based approaches by encouraging two-way communication and timely identification of potential problems”

Proposal for Support to Establishing Strategic Process Monitoring
in DANIDA-Supported RWSS Projects in Karnataka and Tamil Nadu

“ ...helps steer processes in which we participate to achieve common goals”

Process Monitoring: Work Document for Project Staff,
Environmental Protection, Conservation, of Natural Resources,
Dissemination of Appropriate
Technologies (GATE), GTZ, 1996.

The “meat” of Process Monitoring is key project processes, and identification of problems and bottlenecks resulting from them. In CIP, Process Monitoring examines the suitability and effectiveness of community processes such as social mobilization,

project implementation methodology such as community selection criteria and the impact of the Project on capacity-building in communities.

Box 1–5

Process Monitoring helps projects to...

- Become more innovative, flexible, adaptive and responsive
- Develop a sense of accountability in project staff towards the beneficiaries and towards their own development needs
- Learn from experience
- Facilitate changes within the project, local institutions and government agencies
- Solve problems through better identification, analysis and communication of causes and appropriate solutions
- Improve planning and monitoring skills
- Improve effectiveness and sustainability
- Provide continuity of information and knowledge in situations where high staff turnover affects institutional memory and project implementation
- “Empower” communities by linking the efficiency and appropriateness of the project to community needs and demands

There are a number of factors which affect project performance, both internal and external to the project. Process Monitoring looks at both internal and external processes. Process Monitoring can be used at different levels and to analyze the interaction between these levels. These levels are:

- **Individual**

Individual household and community activities. For example, construction and use of on-site sanitation; community management of O&M.

- **Within the project**

Looking at internal project processes such as decision-making, rules and procedures and information sharing.

- **Interaction between the project and other actors**
Dynamics resulting from relationships between project, communities, local government, line departments, and CBOs/NGOs.
- **Wider institutional and socio-economic context**
Assessing the relevance of government policies, change in laws and political agenda on the project.

It is important that Process Monitoring operates at **all** these levels. The temptation to focus only on processes at the community level should be resisted. Focussing only on one level can be misleading by obscuring the impact of other forces on project effectiveness.

Box 1–6

How to Observe?

- Processes must be observed at different points in time, so that changes become evident
- Observations made by different actors at different locations must be comparable, i.e., methodology must be consistent
- Observations must be made on the assumption that results which emerge are useful for decision- making

Views of CBO in Islampur about Process Monitoring

(Translated from Urdu)

Activities under the auspices of the Community Development Committee (CDC) are depending upon the Process Monitoring. Problems/issues which were not included in the socio-economic and topographic surveys, could be solved through the Process Monitoring. Process Monitoring checks the quality of the CDC. If the CDC has any problem in implementing activities, Process Monitoring is going to help solve the problem with the help of the CDC members. The main purpose of Process Monitoring is to solve the problems of CDC or CBO. The formats developed by Process Monitoring are very useful. For example the number of participants in the meetings, the problems faced by the CDC, solution for the problems and the contribution that is collected by the Block Representatives are included in the format.

If the CIP took interest in the arrangement of Process Monitoring, the progress of the CDC would become better day by day.

We are satisfied with the performance of the Process Monitoring.

Coordinator
CDC Islampur Swat
NWFP, Pakistan

IMPLEMENTATION
EXPERIENCE
FIVE STEPS
LESSONS
CONCLUSION

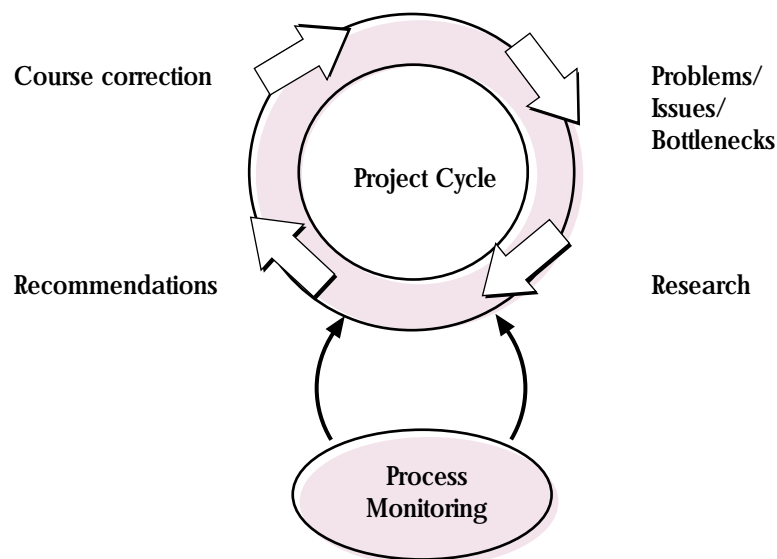
Implementing Process Monitoring

In this Module, CIP' s experience with implementing Process Monitoring is described. Key steps in this process are: Establishing the Process Monitoring Unit, Selecting Key Project Processes and Indicators, Observing Key Processes, Reflecting/Analyzing, and Follow-up Action.

Process Monitoring observes key processes in each project phase and provides feedback to project management for making necessary changes and adjustments in the next phase.

The following diagram illustrates how Process Monitoring works in CIP. Process Monitoring is carried out during all stages in the project cycle. When problems arise, Process Monitoring investigates to find causes, and then reports on its findings and offers recommendations to project management. Changes in implementation strategy, rules or procedures are then made to improve project implementation

Figure 2-1
Process Monitoring and the Project Cycle in CIP



IMPLEMENTATION
EXPERIENCE
FIVE STEPS
LESSONS
CONCLUSION

Early Experiences of Process Monitoring in CIP

In the beginning, most Process Monitoring activities were carried out with the Project's Planning and Community Development Unit, which is responsible for community mobilization and action planning. The Project's approach called for extensive community mobilization prior to construction of physical facilities. However, in practice, construction did not start as planned due to delays in approvals by authorities. This caused tension between the communities and the project, which affected the community's confidence in the Project.

Box 2-1

Initial Confusion

Project staff were initially confused about the role and responsibility of Process Monitoring staff in the Project, as were the Process Monitoring staff themselves. Process Monitoring was looked at as just another conventional monitoring system, to be used to monitor project progress. The Process Monitoring Unit was seen as a proxy for the Project's own M&E Unit.

This confusion underlines the importance of a need for shared understanding of the purpose of Process Monitoring from the very beginning of the Project.

The Process Monitoring Unit identified areas needing improvement, such as community needs assessment and the community mobilization process. For example, Process Monitoring revealed that the Project's Social Organizers (SO's) were engaged in lengthy, laborious data collection and processing instead of actually mobilizing communities! This problem was then effectively addressed by Project management.

As the credibility and confidence of the Process Monitoring Unit grew, Project management started to request the services of the Processing Monitoring Unit for more in-depth assessments of Project performance. This was evidence of a growing acceptance of Process Monitoring by Project management.

Box 2-2

Problem-solving

The Project discovered that over one-third of communities selected to work with the Project later dropped out. Many Project staff saw the drop-out rate as due to lack of motivation and interest on the part of the communities.

Upon investigation by the Process Monitoring Unit, however, it was discovered that the problem was due to ambiguity in project rules and lack of clarity in communicating these rules; inappropriate community selection criteria; inconsistency between technical and social feasibility assessments; bureaucratic procedures leading to delays; community conflicts; and competition from other projects with “softer” eligibility criteria.

IMPLEMENTATION
EXPERIENCE
FIVE STEPS
LESSONS
CONCLUSION

A Five-Step Approach to Implementing Process Monitoring

Presented below are the five steps followed by CIP in introducing Process Monitoring into the project cycle.

1. Establishing Process Monitoring
2. Situation Review and Selecting Key Project Processes and Indicators
3. Observing Key Processes
4. Reflecting on/Analyzing Findings
5. Follow-up Actions

Step-1

Establishing Process Monitoring

Hiring Staff

The first step in establishing a Process Monitoring Unit is to recruit suitable staff. An ideal staff profile is gender balanced, with different professional backgrounds (See Annex 2.). Staff should be experienced in community development and M&E. One staff should be a team leader while other staff assist in field work and data analysis.

It is crucial to the success of Process Monitoring that staff members have adequate training and/or experience with participatory methods, in particular participant observation, conflict resolution, etc.

The Process Monitoring Unit can be supported by an external supervisor who assists in planning Process Monitoring activities, represents the Process Monitoring Unit at meetings with government and donors, and provides professional backup to Process Monitoring staff. The supervisor should have a background in social and/or institutional development.

Experience of Process Monitoring in CIP suggests that it is useful for Process Monitoring to be both “internal” to the project, but with “external” linkages and independent reporting channels. This reduces bias and protects the Process Monitoring Unit from possible pressure to gloss over issues, and ensures that staff’s time is used for Process Monitoring, and not non-Process Monitoring related project work. It also promotes a broader perspective on issues by allowing Process Monitoring staff to see the project from both inside and outside.

In CIP, Process Monitoring staff was recruited and managed by an “external” actor, WSP-Pakistan, while physically remaining “internal” to the Project and functioning as a Project unit for all practical purposes. The Process Monitoring Unit should have office space within the project, but ideally have its own budget for transport, office equipment and communication.

Linking with other Project Units

It is important that Process Monitoring staff develop good working relations with staff from other project units.

The extent to which Process Monitoring can make a positive contribution to Project effectiveness and sustainability is directly related to the confidence Process Monitoring enjoys with project management and key staff.

Once the Process Monitoring Unit has been established, the Unit must establish channels and procedures for information flow to and from the Unit. Methods of communicating information, such as meetings, Field Notes, progress reports, work review discussions, and Working Group meetings should be used. (See Module 4 for a description of these methods.)

In addition to formal information exchange, Process Monitoring staff can learn from informal discussions with project staff. The value of informal discussions in a friendly environment can not be overestimated.

Process Monitoring can not be carried out independently of progress monitoring. Process Monitoring should be an integral part of the project's own M&E system. Process Monitoring relies heavily on information generated by the M&E Unit, and feeds information back to it. Information flow between the Process Monitoring and M&E Units is critical to the effectiveness of Process Monitoring in projects.

The Process Monitoring Unit should have close links and regular exchange of information with the project's field staff, who are the main link between the Project and communities.

Defining the Scope of Process Monitoring

Process Monitoring staff need to be strategic about what information they collect and when. There is no point in trying to collect all or even most of the information generated by the project.

It is important to define the scope of Process Monitoring from the very beginning. The definition should not be rigid and can be altered as the project context changes. It is necessary that what Process Monitoring can, should and cannot do, and how it is likely to contribute to project effectiveness is clearly outlined and understood by all parties. This can be done in a brainstorming session between Process Monitoring staff, project management and staff, donors and other key stakeholders.

Process Monitoring activities focus on project rules and procedures, and communication between key actors and levels. Process Monitoring is also used to assess the impact of changes in project strategies, rules and procedures.

Documentation and Information Sharing

It is important that Process Monitoring information is recorded and shared with key stakeholders, including communities. Process Monitoring findings should be shared with project staff through presentation at Working Group meetings, project planning meetings, or in project progress reports.

The ultimate test of the success of Process Monitoring is whether the information it generates leads to concrete

decisions and actions to address critical issues to improve project performance.

Process Monitoring findings should be presented in an easily readable and usable form. Results can be documented through publications such as case studies, newsletters and field notes.

Step-2

Situation Review & Selecting Key Project Processes and Indicators

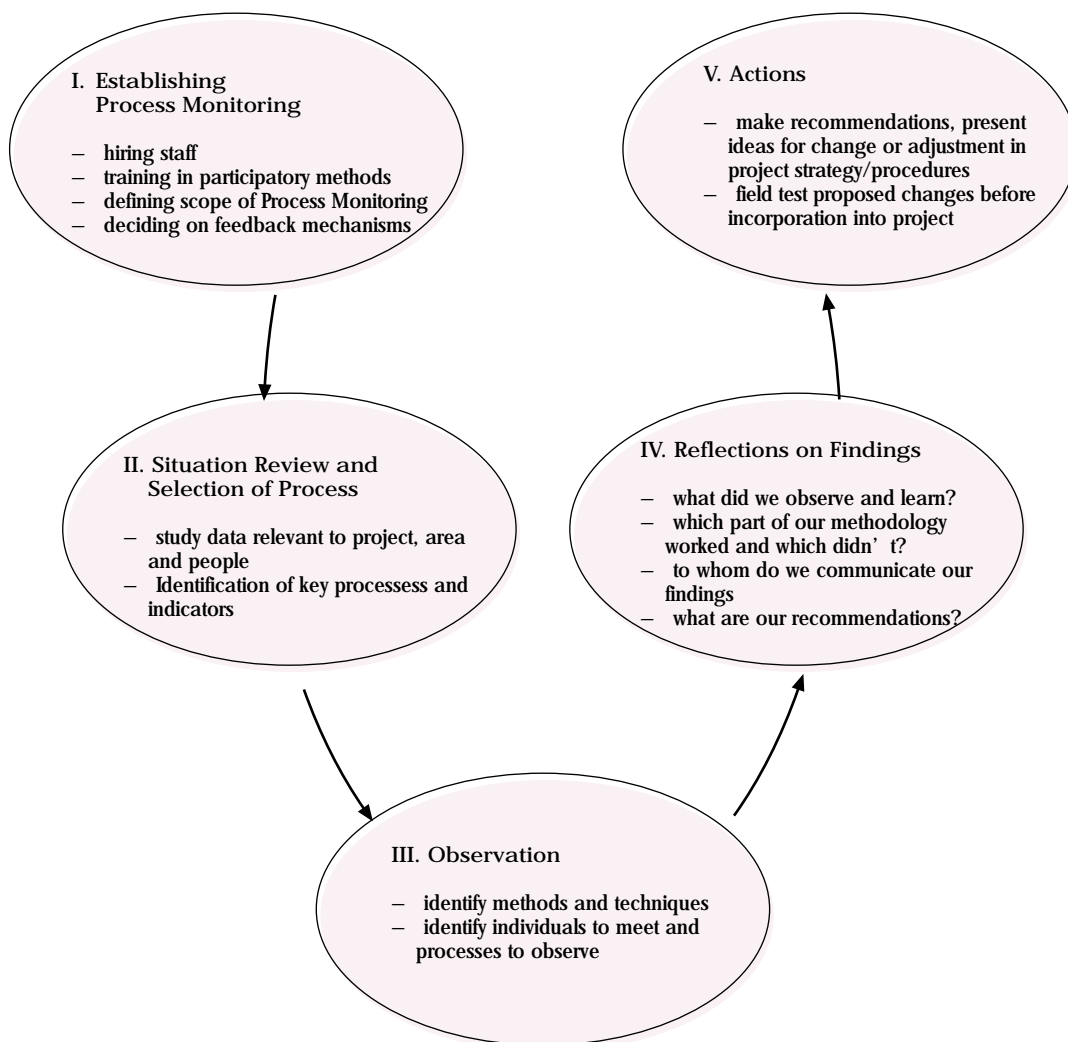
The next step in implementing Process Monitoring consists of:

- Collecting data relevant to the project, project area and beneficiaries.
- Discussing issues with key resource people to get more information and a broader view of the situation.
- Using existing monitoring information to assess the importance and scope of issues and problems. To do this, breaking down the project cycle into key activities and processes is useful.

These steps will help Process Monitoring staff and other stakeholders understand issues/problems suitable for Process Monitoring, and more importantly, to reach a common understanding of which processes are important and why. (See Annex 3 for Process Monitoring Action Plan developed by Process Monitoring Unit.).

The figure below describes the steps involved in implementing Process Monitoring.

Figure 2-2
Steps involved in Process Monitoring



Selecting Key Processes

There are two ways in which key processes can be selected. First, key processes should be closely linked to project objectives and the project cycle. For example, in CIP the Process Monitoring Unit selected the five stages of the project cycle: Identification, Preparation, Confirmation, Implementation and O&M as the starting point for identifying key processes. Key indicators were then identified for each stage in the project cycle. The number of processes selected should be limited.

Secondly, processes not previously identified for monitoring, but in which the project experiences problems and/or bottlenecks may be added to the key processes identified earlier. For example, group dynamics in the community may not have been identified as a key process at the start of the Project. However, if problems arise with project implementation which are due to conflicts in the community, Process Monitoring should investigate to understand the nature of the conflict, how it affects project implementation and how to solve it.

The selection of processes should take place in consultation with project management, staff, consultants and beneficiaries. This will help to ensure ownership of Process Monitoring activities by key stakeholders.

Step-3

Observing Key Processes

It is important to understand the limitations within which Process Monitoring operates. Obviously, it is not possible for anyone, especially outsiders, to observe **all** processes in a given situation. There is an in-built bias in most people which prevents them from seeing certain things and predisposes them to see others. Specialized training is crucial to minimize biases in people's ability to observe objectively. Collection and analysis of qualitative information also requires relevant skills and experience. Therefore, it is important that Process Monitoring staff receive appropriate training before they begin work.

Who observes, what methods are used and the best methodology should be identified and agreed in advance. In Module Four, important Process Monitoring methods and tools are presented. One or more of them can be used, depending upon the requirements of the situation. If the issue concerns **community processes**, methods such as transect walks, participatory needs assessment, participatory discussions and participatory resource mapping are suitable.

Step-4**Reflecting on/Analyzing Findings**

When observation is completed, it is time to assess the information collected. Process Monitoring staff has to answer questions like: What turned out differently than expected? Which part of the strategy to gain insights into the processes produced desired results and which didn't? Was a cross section of views sought? With whom do the findings need to be shared? In what form should these be presented? Answers to these questions should be documented and communicated to relevant project staff and key external stakeholders.

Step-5**Follow-up Actions**

From its observations, the Process Monitoring Unit should make recommendations for changes to project management. The Process Monitoring Unit should also identify what results can be expected from the proposed changes.

IMPLEMENTATION
EXPERIENCE
FIVE STEPS
LESSONS
CONCLUSION

Lessons Learned about Process Monitoring

Implementing Process Monitoring in CIP shows that for Process Monitoring to be most effective, the following must be present:

MIS/M&E System

Process Monitoring can help the project's M&E/MIS systems capture and communicate critical processes and outcomes. Process Monitoring is not meant to be a parallel monitoring system or a substitute for routine project monitoring. When the project's M&E system becomes fully functional and incorporates Process Monitoring methods and indicators, the Process Monitoring Unit can be phased out.

Adequate Logistics

To improve coordination, communication and implementation, it is important that the Process Monitoring Unit is located within or closely linked to the Project's M&E Unit. The Process Monitoring Unit should have adequate logistics, including office space, equipment, and access to information, files, communication facilities and transport.

Clear Scope

It is critical for the success of Process Monitoring to identify a limited number of key processes. Observations of these processes should be recorded and communicated clearly

and in a timely fashion to concerned parties.

There should be clear criteria for monitoring processes, with clearly defined roles, responsibilities, methodology and a realistic time frame for implementation. The purpose and procedures for Process Monitoring should be documented and clearly communicated to relevant project staff and community members.

Working with Others

The Process Monitoring Unit needs to invest considerable time at the beginning to develop a positive working relationship with all project units. The Process Monitoring Unit in CIP built and expanded its links with other project units through Working Group meetings, monthly planning and progress review meetings and joint field visits.

Recognizing Process Monitoring

To ensure maximum effectiveness of Process Monitoring, project management should be aware of its purpose and importance and committed to it as an integral and important part of the project.

Open Mind

An **essential** prerequisite for effective Process Monitoring is open-mindedness and willingness among project management and staff to listen to the views of other stakeholders, accept criticism and take action to address their concerns.

IMPLEMENTATION
EXPERIENCE
FIVE STEPS
LESSONS
CONCLUSION

Conclusion

Process Monitoring assesses the quality of project intervention and expected outcomes and reports findings and observations to project management for improving project performance. Process Monitoring cannot be a rigid, centralized and bureaucratic process, but must be flexible and adaptive in response to changes in the project environment and stakeholders' interests.

Because Process Monitoring focuses on improving relationships and communication between key actors, from project management through district units to field staff and community members, it should operate at all levels simultaneously.

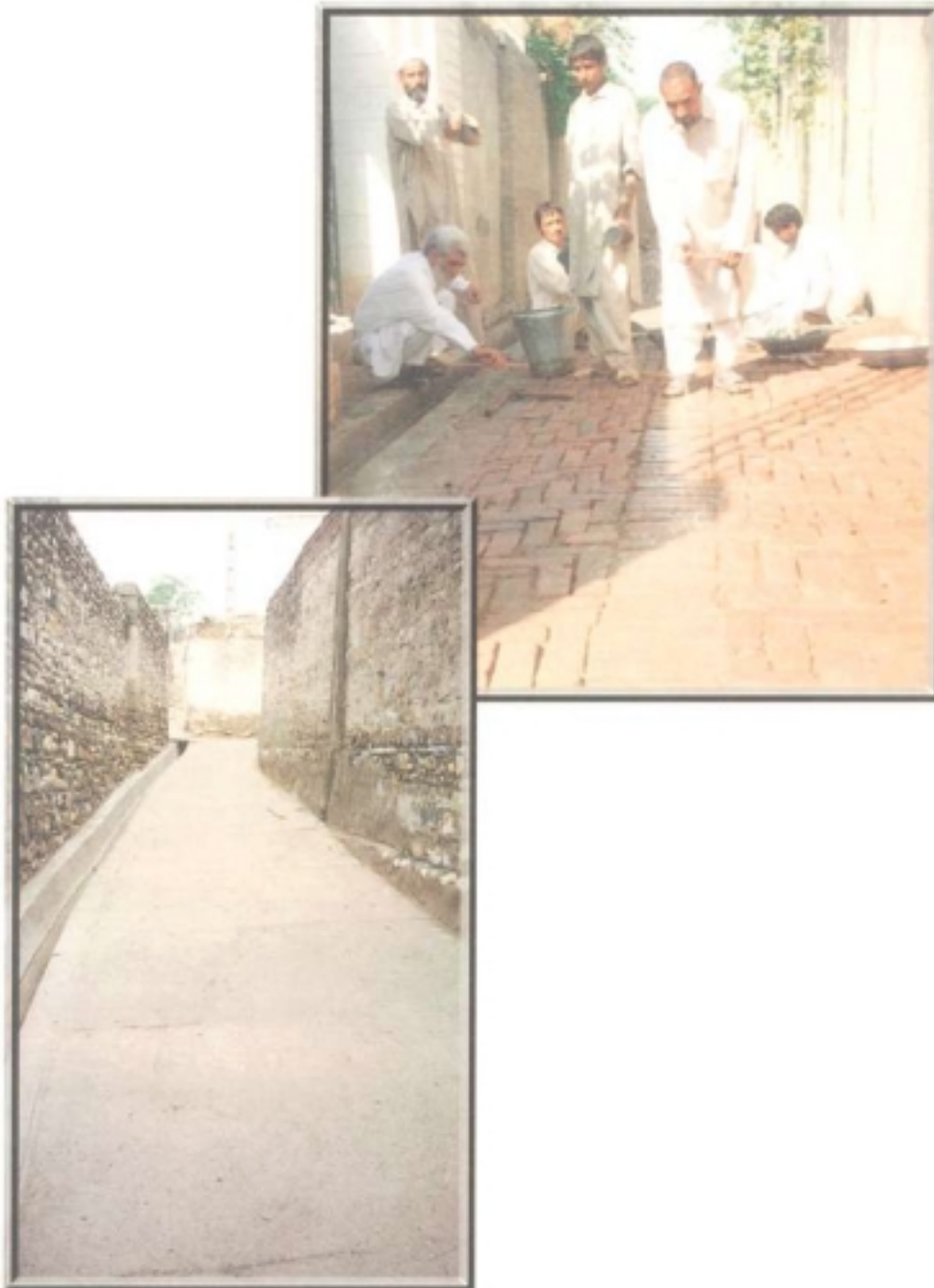
One should not expect Process Monitoring to yield immediate, dramatic results. It requires time to build confidence and win acceptance among both project management, staff and communities. Also, understanding complex issues requiring in-depth knowledge takes time. But once Process Monitoring is accepted by the project and communities, it will yield valuable results which can greatly improve project performance and the community's satisfaction with project outputs.

A clear understanding by both project staff and communities of selection criteria, project rules for scheme identification and selection, and the roles of key actors is important. Problems caused by a poor understanding of project rules, combined with unsuitable rules can restrict a project's ability to respond to community needs. For

example, rules regarding the type and costs of primary, secondary and tertiary infrastructure limited CIP's ability to respond to the demand from communities, particularly in instances where communities were willing to contribute more than required by the Project.

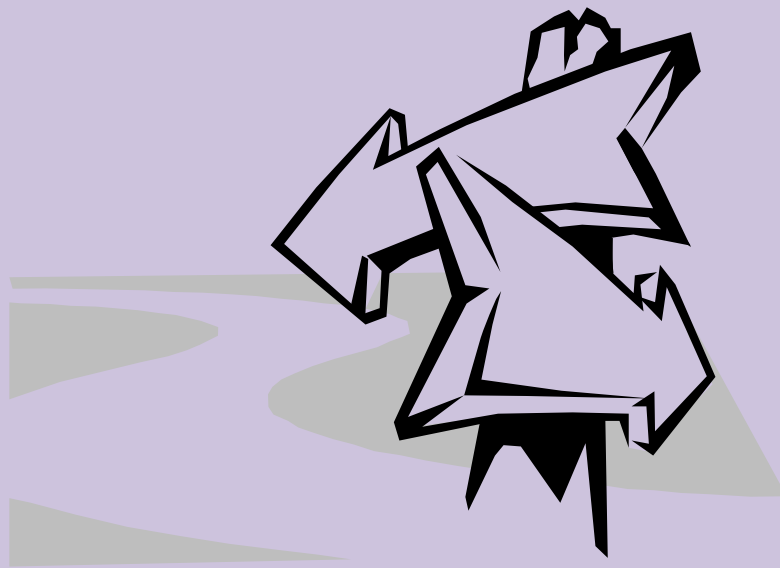
In addition, Process Monitoring revealed that:

- **Linking, sequencing and coordinating social and technical activities is critical for effective implementation.**
- **Communities must be adequately motivated and aware of the roles, rules, costs, obligations, and sources of potential delays in implementation.**
- **Consistent, supportive policies and effective coordination are required between government line departments and the project to prevent delays and waste of time and resources.**
- **The presence of an M&E system which includes appropriate process indicators and mechanisms for feedback and remedial action is necessary to allow problems to be identified, reported and addressed at an early stage.**



“ Measure what can be measured, and make measurable what can not be measured.”

Galileo Galilei



PM INDICATORS

Developing Process Monitoring Indicators

This module is divided into two parts. The first part discusses what indicators are, their types and characteristics, and how to develop indicators. The next section presents process indicators developed for CIP by Process Monitoring.

I. Developing Indicators

What are Indicators?

Indicators are variables that describe or measure change in an activity or situation over time. They are a useful tool for monitoring the effects of a process or intervention.

Indicators provide information which open doors to understanding. Indicators can be compared to road signs which give information that tell the traveller how far it is to his/her destination. The traveller can then estimate the time and the route they will take to get there.

Box 3-1

Defining Indicators

“ Indicators provide insight into matters of larger significance and make perceptible trends that are not immediately detectable”

“ Indicators help you understand where you are, which way you are going, and how far you are from where you want to be”

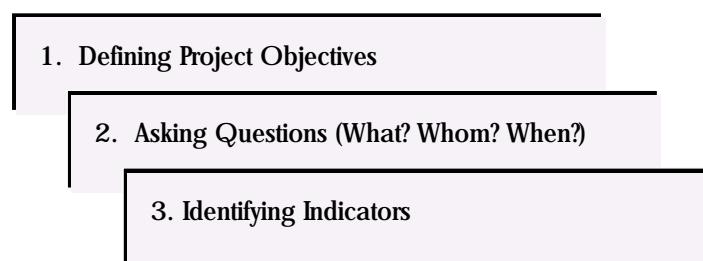
“ Indicators reflect the status of a system, for example an oil pressure gauge on an engine or the number of owls in a forest”

“ Indicators highlight what is happening in a large system. They are small windows that provide a glimpse of the ‘ big picture’ ”

Source:
Changing Views on Change: Participatory approaches to monitoring the environment,
SARL Discussion Paper 2, July 1998

II. A three-step approach to developing indicators

Developing indicators follows a three-step approach:



1. Defining Project Objectives and Activities

It is impossible to identify indicators and use them if the objectives, activities and outputs of a project are not clearly defined or understood. Developing an ‘objectives tree’ to distinguish between and prioritize immediate, intermediate and long-term objectives is a good way to start. A useful tool for defining objectives is the Logical Framework Analysis (LFA). A LFA shows the logical relationship between project objectives, activities and outputs. (See Annex 4.).

2. Asking Questions

After project objectives have been identified and agreed upon, it is useful to make a list of questions about each objective, activity and output. Developing indicators requires agreement upon what information needs to be collected, from where, by whom and

how often. Ask questions like:

- What do we want to know (and how does it relate to the project's objectives)?
- What information do we need?
- What is the minimum number of indicators that will tell us this?
- How and by whom can this information be collected?

3. Identifying Indicators

The next, and more difficult step, is identifying key process indicators. This should be done as a participatory process with project staff, Process Monitoring staff and other relevant actors.

Three things make identifying indicators difficult. First, as each objective or activity can be measured by different indicators, it is hard to choose which indicators best communicate what we want to know **and** are easy to observe and collect. This task is further complicated when one has to decide which aspect(s) of a process one wants to observe, i.e., actors, rules, or outcomes.

Secondly, indicators may change over time as the project's internal and external environment changes and as project activities change. Because of this, indicators need to be reviewed periodically to insure that they are still relevant.

Thirdly, developing useful indicators is a process of negotiating between different and sometimes conflicting interests. Bringing different people together in a participatory process to identify indicators reveals their different needs and expectations. It also

generates discussion about what each stakeholder considers ‘relevant’ and ‘trustworthy’ information.

Box 3-2

Scope of Indicators

For any activity, there are many possible indicators and many ways of classifying them. For example, indicators can show changes in:

- the presence of something (such as, number of community organizations or O&M committees)
- the impact of change (such as, are people better or worse off since the innovation/service was introduced?)
- usage (such as, the frequency with which credit is accessed)
- extent of coverage (such as, the number of people actively participating in meetings, or number of households receiving water regularly)
- quality of an intervention (such as, do people feel the training they received is practical and useful? Do communities see the Community Action Plan as being useful?)
- how representative are needs (Do project staff consult a wide range of community members when carrying out needs assessment?)

The previous steps will help in asking questions from which indicators can be developed. A useful way to make a final selection is to ask if the indicators are SMART, i.e., Specific, Measurable, Attainable, Relevant, and Timely. This may seem like demanding criteria, but applying them will save time and resources spent collecting imprecise or unnecessary information.

Selecting 'SMART' indicators

Specific

Does it measure what we think it ought to measure? Is the indicator attributable, i.e., is there an unambiguous link between the activity/process and the indicator? There should be a direct link between what we are trying to observe and the indicator chosen for it. If we choose percent increase in household income as an indicator for increased production of wheat, it would be a 'non-attributable' indicator, as there could be many other reasons for the increase in household income other than income earned from sale of wheat.

Measurable

Can the indicator be measured? The number of households participating, percentage of people paying user charges and procedures for O&M in a community are measurable indicators. However, the intention behind an action or community perceptions about the project are not measurable indicators.

Attainable

The identified indicator maybe measurable, but is it attainable? If an indicator chosen requires that information be collected on the income earned and/or assets owned by a household in a village, one might find communities unwilling to provide this information. As a result they may either refuse to answer or provide incorrect information. In such cases, the indicator is 'unattainable'.

Relevant

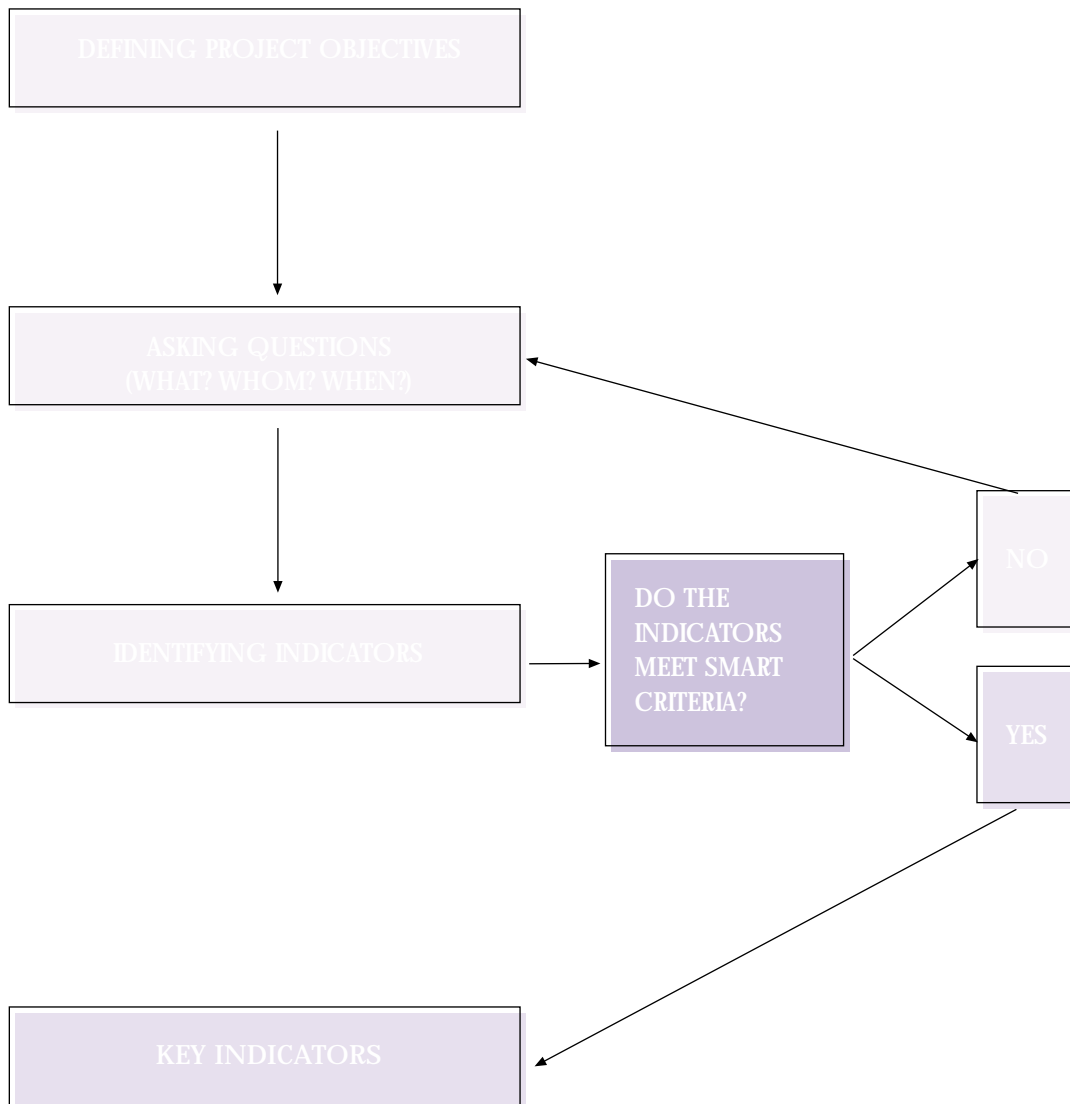
Do actors, especially those involved in collecting information, see the indicator as being practical and relevant to the project and their own work?

Timely

Can the information be collected in a timely manner and at regular intervals? Is it cost-effective? The time and resources involved in collecting and processing the information is crucial. Are the time, effort and resources spent collecting the required information proportionate to its usefulness?

From " Changing Views on Change" , SARL Discussion Paper No. 2, 1998.

Figure 3-1
Process of Developing Key Indicators



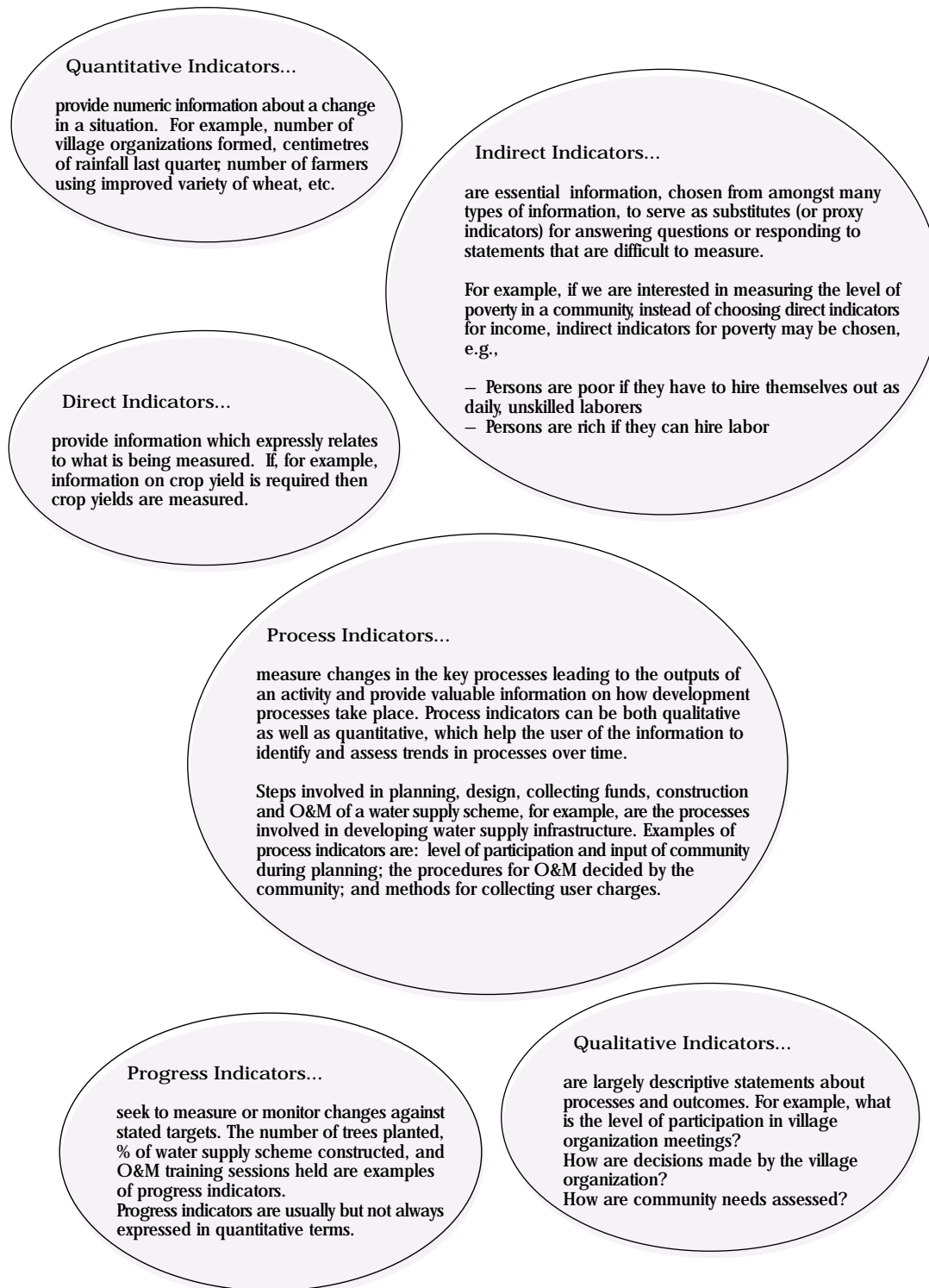
Types and Characteristics of Indicators

There are various types of indicators, each designed to measure a specific aspect of processes. The following figure describes different types of indicators.

These indicators are not mutually exclusive. For example, a qualitative indicator can serve as a proxy indicator for a quantitative indicator, an indirect indicator can be quantitative or qualitative, and so on. A good set of indicators should include as many different types of indicators as possible.



Figure 3-2
Types of Indicators



Use of Indicators

Indicators can communicate complex changes in a simplified manner to a diverse audience so that they are understandable, relevant and useful.

The most crucial issue in selecting indicators is to identify users of the information. Will the indicator give users information they need to solve important problems? Since indicators must communicate, they must be presented in a language or form that is familiar and understandable.

Box 3-3

Remember ...

Evolving, not static...

- Indicators are not static and are not meant to be! To arrive at the most efficient and meaningful indicator, field-tests of indicators need to be conducted. After field testing and over time some indicators might be dropped, others discovered and still others modified.

Time consuming but worth it...

- Initially establishing Process Monitoring can be a very laborious and resource intensive activity. However, with time and increased experience with Process Monitoring, indicators can be reduced in number

Listen to communities...

- Communities should have a voice in developing indicators: Community members can provide valuable insights into processes and potential indicators otherwise invisible to an outsider
- By “owning” and using these indicators, communities can monitor project activities as they happen in the community. Process Monitoring information in the hands of the community can be a powerful tool for promoting ownership of project benefits by the community and increasing accountability of the project to the community.

III. Developing Process Indicators in CIP

Using knowledge about processes in various stages of the project cycle and a preliminary set of indicators identified in the Staff Appraisal Report (SAR), the Process Monitoring Unit developed a set of process indicators in consultation with Project management and staff.

As a first step, project objectives were defined by developing a LFA for the Process Monitoring Unit (See Annex 4.). Secondly, for identifying key processes, the project cycle was broken down into stages and process indicators were identified for each stage.



Below is the process followed in indentifying indicators:

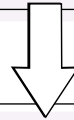
Step I: Defining Project Objectives

Project objective:

Increase the productivity and well being of low-income groups in NWFP through improving their living conditions by provision of basic infrastructure and community development.

Key questions flowing from the above objective guided the development of indicators. They were:

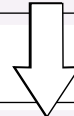
- Are low-income groups being targeted?
- Are a majority of the community members benefiting from the infrastructure provided?
- Are project interventions having an impact? What? On whom? How?
- Have deserving communities (those badly in need of community infrastructure) been selected?



Step II: Asking Questions

What do we want to know about the processes at the Identification Stage?

1. Was there sufficient time (from the date of advertisement till the deadline) in which the communities could respond?
2. Is there any confusion about what the project seeks to do and how?
3. Did the project staff make an effort to learn about the community and its problems during the site verification visit?
4. What is the level of participation of communities at different stages in the project cycle?
5. Are project staff making an effort to involve all groups in communities or are they mainly dealing with rich, influential and articulate community members?
6. What is the level of participation in decision-making at the community level?
7. Are 'real' needs of communities being identified and responded to?



Step III: Identifying Indicators

From the questions raised in step two above, the following indicators were developed:

- Time allowed for interested communities to respond
- Clarity of selection criteria in public advertisement and among project staff and community members
- Criteria and process for short-listing. Who project staff contacted during field visits
- Proportion of geographically marginal and infrastructure poor communities selected

Table 3-1

Process and Progress Indicators in the Project Cycle		
Project Stages	Process Indicators	Progress Indicators
<p>1. Identification</p> <ul style="list-style-type: none"> • Advertisement in newspapers; applications from communities which meet selection criteria • Short-listing applicant communities • Site verification short-listed communities with line departments • Approval of final list of communities by project steering committee • Inform selected communities 	<ul style="list-style-type: none"> • Time allowed for interested communities to respond • Clarity of selection criteria in advertisement, among project staff and community members • Criteria and process for short-listing • Who project staff contacted during field visits • Proportion of geographically marginal and infrastructure poor communities selected 	<ul style="list-style-type: none"> • No. of communities applying • No. of communities short-listed • No. of field visits • No. of communities selected
<p>2. Preparation</p> <ul style="list-style-type: none"> • Mass meeting with community to explain project objectives and strategies • Explanation of Terms of Partnership (ToP) between communities and the project. • Demarcation of village into Blocks of approximately 20 households each • Selection and training of Block Representatives • Formation of Community Development Committee (CDC) • Collection of socio-economic data by Block Representatives • Needs prioritization based on data collected • Rough cost estimates of prioritized needs 	<ul style="list-style-type: none"> • How many showed interest in the project and why? • Did those attending the meeting understand project objectives, methodology and ToP • Who participated in demarcation? • How were Block Representative selected? • Satisfaction with training • Method of selecting office bearers to CDC • Who was included in sample? • Level of participation in needs prioritization? • Community involvement in assessing cost-estimates 	<ul style="list-style-type: none"> • Percent of households represented in meeting • ToP signed? Yes/No • Block formation carried out? Yes/No • No. of Block Representatives trained • CDC formed? Yes/No • No. of Households from which data was collected • Needs prioritized? Yes/No • No. of cost estimates prepared

Table 3-1 Continued...

Process and Progress Indicators in the CIP Cycle		
Project Stages	Process Indicators	Project Indicators
<ul style="list-style-type: none"> Developing Community Action Plan (CAP) CAP signed 	<ul style="list-style-type: none"> Level of participation of communities in preparing CAP 	<ul style="list-style-type: none"> CAP prepared ? Yes/No CAP signed? Yes/No
3. Confirmation <ul style="list-style-type: none"> Detailed topographic survey Training in accounts and record keeping for CDC office bearers Preparation of Planning Document (PC-1) Community collection of 20% for secondary (community) infrastructure 	<ul style="list-style-type: none"> Who participated in survey? Are trainees satisfied? Who participated in planning? How was the community contribution decided and collected? Did all households contribute? Percent of households not contributing and why? 	<ul style="list-style-type: none"> Survey conducted? Yes/No No. trained No. of Planning Documents approved Community share deposited in bank? Yes/No
4. Implementation <ul style="list-style-type: none"> Community Financial Agreement (CFA) signed Management Committee formed for implementing secondary infrastructure Contracts for primary works awarded by project Work started 	<ul style="list-style-type: none"> How was Management Committee selected? Was contract awarded to the lowest bidder? Did work start as planned? 	<ul style="list-style-type: none"> CFA signed? Yes/No Management Committee formed? Yes/No Date/amount of contract awarded? Date work started
5. Operation and Maintenance <ul style="list-style-type: none"> Training communities in O&M O&M Committee formed 3% of cost of secondary infrastructure deposited in O&M account 	<ul style="list-style-type: none"> Are community members satisfied with O&M training? How was O&M committee formed? How and from whom were O&M funds collected? 	<ul style="list-style-type: none"> No. trained No. of O&M committees formed Amount deposited in O&M account

Selected indicators were included in a monitoring format for Process Monitoring. A sample monitoring format is shown in Annex 5.

Process Monitoring Methods & Tools



Process Monitoring Methods & Tools

This Module describes participatory tools and methods which have been tried and found to be effective in Process Monitoring in field situations. The tools described in this module are being continuously developed and refined jointly with communities, the Project and consultants. Through this process the Project has discovered new ways to obtain information, identify bottlenecks and potential problems and find realistic solutions which would not have been possible with conventional progress monitoring.

I. Important Participatory Tools

The following tools have been tried and found to be effective in implementing Process Monitoring in CIP:

- A. Participant Observation
- B. Participatory Discussion
- C. Semi-Structured Interviews
- D. Transect Walks
- E. Participatory Resource Mapping
- F. Participatory Needs Assessment
- G. Process Monitoring Working Group
- H. Project Planning Meetings
- I. Special Studies
- J. Topical Sessions

This Module will describe each of the above tools and provide practical examples of their use in field situations.

A. Participant Observation

Participant observation is one of the most important and useful methods to identify critical areas and weaknesses in processes taking place within communities and between the project and communities.

An important advantage of participant observation is that it focuses on actual behavior and dynamics between people. This information is not available in secondary data, which relies on written records and the judgement of people external to the process being studied.

Participant observation is the act of gathering data through observations and inquiries. A good participant observer should listen and learn without offering views or opinions of his/her own. While this may appear an easy task to carry out, experience shows that it is anything but! An open mind is the most important asset when doing participant observation.

Most of us have biases and prejudices which affect what we see, hear and do. Putting aside our own conscious and subconscious views requires discipline and training in objectively observing events and processes.

Participant observation (PO) enables the “participant” to be an integral part of a process, rather than an external entity or an occasional “visitor”. PO requires that good rapport be developed with those being observed, and that its purpose and procedures and how information will be used are made clear to all involved.



Purpose

Participant observation produces immediate information, often qualitative, which is often more valid than secondary data such as official records and statistics. PO goes beyond numbers, providing insights into peoples' perceptions of the quality of a facility or service or how a project impacts people's lives.



When?

At any stage and time in the project cycle



How long?

The time taken for PO may be shorter than the actual process being studied, but it should at least cover the key stages, situations and actors in the process.



Materials

- Writing material
- Tape recorder and camera if required



Participants

- Project staff
- Consultants
- NGO's/CBO's
- Communities
- Process Monitoring staff



Outputs

- Field visit report
- Minutes of meetings
- Knowledge and interest of participants improved
- Common understanding of key concepts achieved



Box 4-1

Remember ...

- Don' t impose your own expectations about the outcome of the situation or process
- Inform participants of the purpose of PO
- Ensure timing is appropriate (i.e., not when community members are busy with other work)
- Ask probing questions and cross-check with direct observation to ensure accuracy of observations



Box 4-2

Questions you should ask before and during PO

- Is there enough relevant information about the background of the issue/process being observed?
- Is the discussion “ democratic” , or do only a few people, or only men, dominate?
- Are relevant people (project staff, line agencies and CBO representatives) present?



Living Examples

During community planning in Village Ghorazai, Process Monitoring staff observed through the actual behavior of key actors; Project staff and community leaders and members, that existing Project procedures were not resulting in participation of all groups in the community. Women were not being included in decision-making. For example, in the development of the Community Action Plan (CAP) women were not even aware of what CAP was.

Process Monitoring staff also learned that the needs assessment administered by the Project’s Social Organizers was done using a standardized format at the individual/household level.

Community needs prioritization is an activity of negotiation and consensus building among community members and between community members and the project. Needs assessment carried out at the household level is more likely to reflect individuals’ own priorities and not the views of the community as a whole.

It emerged from participant observation in the field that:

- **Project staff were not fully aware of or trained in participatory concepts, methods and tools.**
- **There was a lack of coordination between Project staff; each appeared to be doing their work independently of the other rather than as a team.**

These reflections along with recommendations were shared with Project management for taking action to correct the situation. In response, Project management decided to send social and technical teams together to villages rather than separately.

B. Participatory Discussion (Focus Group)

Unlike participant observation, where the observer should not have a pre-set agenda or expectations as to the outcome, participatory discussion (PD) is used to discuss a predefined issue or problem. PD is an informal dialogue on an issue of importance to the community and/or the project. It is conducted with a small group of individuals representing different viewpoints on the issue or question at hand.





Purpose

The main purpose of participatory discussions is to arrive at a **common** understanding of concepts and issues and/or reach a decision through consensus.



When?

At any stage of the project cycle



How long?

Depends on the nature of topic, but it should not be so long that participants lose interest. Generally, sessions should not be longer than 1-1 ½ hours.



Materials

- Writing materials
- Visual materials



Participants

- Community members
- Project and Process Monitoring staff



Outputs

- Minutes of meetings
- Agreed actions/decisions made
- Field visit report

**Box 4-3****Remember ...**

- Inform participants of the rules and code of conduct for the session
- Explain the purpose and expected outcomes clearly
- Do not rigid, be flexible and accommodate the wishes of others to give them a sense of involvement and responsibility
- Encourage participation of all relevant stakeholders
- Ask probing questions
- Ask participants to draw conclusions/sum up at the end of the discussion
- Make sure minutes are recorded and distributed to participants afterwards

**Living Examples**

The community of Garah Baloch developed differences with the Project after signing the Community Action Plan (CAP) because their drinking water needs were not adequately addressed by the CAP. The community wanted to drop out of the Project.

Project management asked the Process Monitoring Unit to study the situation in Garah Baloch and to identify causes and solutions to the problem. Process Monitoring staff held participatory discussions with the CBO where the Project's concerns about the technical and financial viability of providing a water supply scheme were presented and discussed. Finally, after considerable discussion, the community agreed to accept environmental sanitation improvements as an alternative input from the Project. Process Monitoring staff communicated this to Project management, who accepted the community's decision.



What happened at Garah Baloch is a good example of how Process Monitoring can play a diagnostic and problem-solving role in support of a project's objectives and community's needs.

Resolution

Community Development Committee Garah Baloch

Name of President: Khizer Hayat

Date: 20-03-1998

Total Nos. of members: 31

Total savings: Rs. 26,000/-

General Secretary: Zahoor Husain Shah

Meeting Proceedings No. 07

Nos. of members present: 28

Meeting Proceedings: As usual the meeting was held at Imam Bara Hazrat Imam Husain. Ms. Tayyaba Samina of Process Monitoring participated in the meeting. All the present members thanked Ms. Tayyaba for visiting and giving due weightage to our community. CIP after signing the CAP has not been able to start any work with the community. Anyhow we demand that CIP must make contact with our community on regular basis. It was agreed upon by the meeting participants that if the supply of drinking water is not possible for CIP then our other demands such as Street pavement, Drainage, Latrines etc should be worked on as soon as possible. Our Community has saved and contributed Rs. 26,000/- and are waiting for the physical work to be started. As the work starts, people will contribute the remaining share.

Decision: In today' s meeting, it was agreed upon that all the streets and drains in our village must be constructed on priority basis and the community has decided that if the Provision of drinking water is not possible, then it should be left out.

Signatures:

Khizer Hayat

S.ZahoorH. Shah

C. Semi-Structured Interviews

Semi-Structured Interview (SSI) is a guided interview where some questions are pre-determined. SSI allows for focussed, conversational, two-way communication. SSI's can be used both to give and receive information. They can also be used for cross-checking accuracy of information. The interview format should be flexible and allow for probing and open-ended questions to capture as much relevant information as possible (See Annex 6).



Purpose

- Obtain specific quantitative and qualitative information from a sample of community members
- Obtain general information relevant to specific issues
- Gain a range of insights on specific issues



When?

As required. The interview can be conducted either before or after a particular activity, depending on the purpose of the interview.



How long?

Not more than one hour



Materials

- Interview schedule
- Writing materials
- Tape recorder (optional)



Participants

- **Community or CBO members**
- **Project staff**
- **Process Monitoring staff**
- **Other stakeholders**



Outputs

- **Field visit report**
- **Information on how interviewees perceive the issues being studied**
- **Study report**
- **Improved understanding of key issues by project management and staff**
- **Improved project plans and activities**

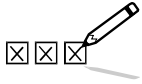


Box 4-4

Remember ...

- **Decide the purpose of the interview in collaboration with relevant project staff**
- **Prepare interview schedule**
- **Explain the purpose of the interview to all participants**
- **Ask probing questions to capture as much relevant data as possible**
- **Conduct the interview in a relaxed, informal atmosphere**

Box 4-5



Checklist ...

- Design an interview framework with relevant topics and questions.
- Decide the sample size, list of interviewees, and method of sampling.
- If visiting the community for the first time, take a map, background information and list of important people to meet.
- Inform all interviewees of the time, purpose, and subject of the interview.
- Record only brief notes during the interviews. Immediately after the interview is over elaborate upon the notes.
- Do not ask sensitive questions directly, e.g. about religious or social norms, and unnecessarily personal or gender-sensitive questions.
- Be patient and don't argue if participants ask or tell irrelevant questions/information.
- Discuss the results of the interview with participants so that they can challenge the perceptions of the interviewer. This will go a long way in making the process participatory.





Living Example

Early in the project, Project management noticed that the drop-out rate of communities was very high, even though the Project had invested considerable human and financial resources in community mobilization. It was decided that the Process Monitoring Unit should conduct a study to look into the problem and make recommendations.

The Study identified a number of shortcomings in the community mobilization process and recommended several solutions. The Project changed its community mobilization procedures as a result of recommendations from the Study. The community dropout rate has since decreased considerably.

Box 4-6

Two Perspectives on High Community Drop-Out Rate

Project Management's Perspective

- Another development project working in the area was offering “softer terms” to communities.
- Social conflicts within the community/lack of cohesion
- Selection criteria were inappropriate.

Process Monitoring's Findings

- Lack of clarity among project field staff about project objectives/methodology and policies.
- Lack of understanding about project objectives and policies in communities
- Lack of coordination between technical and social sections of the project

D. Transect Walk

A transect walk is a good way to make a visual observation of a community. It is a "walk and talk" activity used to collect first-hand information about the type, location and condition of existing natural resources, vegetation, water, land, geography, topography, soil, infrastructure, etc. in a community. It is a guided tour, where the observer is shown around the village by a few knowledgeable community members.



Purpose

- to identify and plan appropriate infrastructure improvements in the community
- monitoring implementation and O&M and supplementing participatory mapping
- can serve to establish benchmarks for assessing impact of project



When?

Anytime during the project, but the most suitable time is during the preparation and implementation stages.



How Long?

One-two hours depending upon the size and terrain of the area covered



Materials and Participants

- Writing materials

- **Community members**
- **Process Monitoring staff**



Outputs

- **Selection of communities who are more in need of project interventions**
- **Field visit report**
- **Assessment of key project processes from community mobilization to implementation (e.g. ensuring that construction of physical infrastructure conforms to prior agreements, plans and specifications)**
- **Assessment of quality of implementation and effectiveness of O&M**

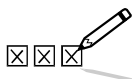


Box 4-7

Remember ...

- **Brief the community about the purpose of the transect walk**
- **Ask community representatives to accompany Process Monitoring staff**
- **In smaller villages, the whole village should be visited**
- **In larger villages boundaries, main paths/roads to major resources/infrastructure/street, poor neighborhoods should be visited**
- **Ask the community to take the lead, but if there are certain people who have a vested interest in misleading visitors, politely ignore them and involve other people.**
- **Conduct the walk in an informal and friendly atmosphere**
- **Make inquires and write extensive notes**
- **Probe participants during the transect walk about issues and possible solutions**

Box 4-9



Checklist for Transect Walk during the Planning Phase

- What is the number, type, location and condition of infrastructure like roads, drains, water systems and sanitation facilities?
- What is the condition, size, and reliability of water supply facilities and sources of water? What improvements are needed?
- What is the extent and condition of the existing drainage system? Are there any potential health or environmental hazards?
- What is the average access time to and use of basic infrastructure like water, toilets, solid waste disposal, etc.?
- What are existing practices and sites for solid waste disposal, frequency of emptying, condition of facilities, etc.?
- What is the average vehicle load on main roads/streets?
- What restrictions are there on female mobility and activities?



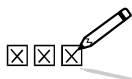
Living Examples

- In the village Garah Baloch, prior to construction of streets and pavements it was virtually impossible to move around the village because of dirty, stagnant water in most streets and lanes. The Project assisted the community with construction of street pavement and drainage facilities. A transect walk after construction of the infrastructure revealed the vast improvement which came about in the daily lives of the inhabitants of the community as a result of the Project's intervention.
- In the village Narian a transect walk revealed that the majority of the houses were “pucca” houses (built of cement and bricks) indicating that the community was fairly well-off. This was contrary to community claims of being extremely poor, and hence unable to contribute to the

cost of infrastructure. A transect walk, therefore, served to cross-check earlier information.

- In another case, a community demanded a hospital. By means of a transect walk and discussions following it, the community realized that many diseases they suffered from were caused by stagnant water and drains, and it was this problem rather than an absence of a hospital which could improve the villagers health.



**Box 4-9****Checklist for Transect Walk during the O&M Stage**

- Does the community have the infrastructure facilities agreed with the project?
- Is the community satisfied with the facilities ?
- Is the community maintaining them properly?
- Is there reduction in access time and increase in use of the new infrastructure?
- Is there an increase in female mobility and use of facilities?
- What environmental changes have occurred?
- Are there other spin-off development activities? If so, what?
- What is the quality and adequacy of construction works?
- What is the general standard of work? (Is the contractor using proper construction materials, following project designs and time plans, etc.)?
- Is the community adequately involved in O&M?

E. Participatory Resource Mapping

Participatory resource mapping, which can be done as part of a transect walk, gives community members a better understanding of their own natural and physical resources to use in selecting and planning improved infrastructure. Community members draw a map of the village and its physical layout, social structure and natural resources as they see it.



Purpose

- to identify main resources in a village
- to create a record of existing resources in the village
- to assist in choosing and locating physical infrastructure



When?

In the Preparatory Stage



How Long?

One to two hours



Materials

- Large sheets of paper (or alternatively, draw map on ground using stones, sticks, leaves, etc. and then copy on to paper)
- Charts and markers



Participants

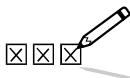
- Community members
- Project staff
- Process Monitoring staff



Output

- Field visit reports
- Identification of important natural and physical resources in the community
- Visual presentation of resources available to the community
- Understanding how available resources can be used for future planning

Box 4-10



Checklist for Resource Mapping ...

- Explain the purpose and procedure of the exercise to all participants
- For smaller communities, mapping can be done in a single group, while in larger communities, tasks can be given to several groups.
- Maximum participation of the community should be ensured; no individual or group should dominate
- Participation of relevant project staff should be ensured
- Ask the community to nominate one of its members to draw the map and others to help
- Choose a wide and level piece of open ground so that all participants can see, observe and contribute to the map
- Ask community to select material for drawing, i.e. on ground, on note pad or chart
- Do not try to take control...let community members make the map!



Living Examples

In Ghorazai Village in Kohat District there was disagreement between community members over the layout of the village when drawing the resource map. A heated discussion between the mapmakers and those giving periodic input into the exercise continued. During this discussion, Process Monitoring staff did not intervene but merely observed what was going on. After a considerable period of time, the individuals making the map came to an agreement and the map thus produced proved to be very accurate.

The lesson from this exercise is that it is more useful to observe rather than intervene in community dynamics. In this way one

is more likely to gain accurate insights into community issues and dynamics.



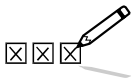
E Participatory Needs Assessment

Participatory Needs Assessment uses a ranking matrix as a tool for helping communities clarify their priorities. Through the matrix, community members determine their main problems or preferences and rank them using agreed criteria. To obtain a cross section of views, this exercise should be carried out with three or more groups and results compared to see similarities and differences.



Purpose

The main purpose of Participatory Needs Assessment (PNA) is to enable participants to identify and prioritize their needs, constraints and actions required. This information is useful both to communities and project staff to capture community rather than individual demand.



Box 4-11

Procedures for Participatory Needs Assessment

- Brief participants on the purpose, procedures and outputs of the exercise.
- Ask community members to present and discuss resources and needs.
- Ask them to list data on a chart.
- Based on the above “ Data Analysis” the community should be asked to list their needs.
- Discuss options available to community using practical, everyday examples.
- Ask the community to match their priorities with options offered by the project.
- Present and discuss the advantages and disadvantages of each preferred option.



When ?

During the preparation stage, well before technical surveys begin.



How Long?

1-2 hours



Materials

- Chart paper
- Markers
- Tape, etc.



Participants

- Community members
- Project staff
- Consultants
- Process Monitoring staff



Outputs

A negotiated list of issues, problems, and needs of the community, and the priority attached to each.



Living Example

Following is an example of a Ranking Matrix prepared by a CIP village:

Box 4-12

Sample Ranking Matrix

Needs Water Supply	Drains	Roads	Hospitals	Schools	Com. Centers	Solid Waste	Score	Rank
Water X Supply	WS WS		WS WS		WS WS		6	1
Drains	X	D	D	D	D	D	5	2
Roads		X	R	R	R	SW	3	4
Hospital			X	S	CC	SW	0	7
School				X	S	SW	2	5
Com. Center					X	SW	1	6
Solid Waste						X	4	3

SW = Solid Waste, D = Drains, R = Roads, S = Schools, CC = Community Centers,
 WS = Water Supply, H = Hospital



G. Process Monitoring Working Group



Purpose

The main objective of the Process Monitoring Working Group is to provide a forum for discussing Process Monitoring findings and to reach agreement on ways to improve key project processes and identifying key areas for future research (See Annex 7).



When?

Regularly during all stages of the project cycle



How Long?

1-2 hours



Materials

- Stationery
- Meeting place
- Visual aids
- Handouts if required



Participants

- Project staff
- Consultants
- Process Monitoring staff



Outputs

- Minutes of meeting including decisions made
- Increased knowledge and awareness of issues, options and solutions among participants
- “Ownership” of agreements and decisions



Living Example

Initially the size of the Process Monitoring Working Group in CIP ranged from 15 to 20 members (with representation from all Project units). It was soon observed that important and complex issues could not be thoroughly and effectively discussed in such a large group. It was therefore decided to invite only those people directly involved with the issue being discussed. The average attendance at Working Group meetings now is around 10.



H. Project Planning Meetings



Purpose

The purpose of this activity is to review project progress and plans based on feedback from the field. Project planning meetings provide a good forum for Process Monitoring staff to communicate Process Monitoring findings to project management and staff.



When?

Throughout the project cycle



How Long?

One day including preparation time





Materials and Participants

- **Stationery**
- **Project staff**
- **Consultants**
- **NGO's**
- **Process Monitoring staff**
- **Donors (occasionally)**



Outputs

- **Minutes of meetings including main decisions**
- **Increased knowledge and awareness of key issues among stakeholders**
- **“Ownership” of decisions by project management and staff**

I. Special Studies



Purpose

Process Monitoring staff can conduct special studies at the request of the donors, project management or even the community. The main purpose of these studies is to provide in-depth knowledge about a complex and important issue or process, or document project successes and failures and reasons for them. This information is useful for planning and decision-making to improve project effectiveness.



When?

Any stage in the project cycle



How Long?

Depends upon the type and nature of the study, but should not be rushed



Materials and Participants

- Existing documentation/data
- Community leaders and members
- Process Monitoring staff



Outputs

- Study report
- Stakeholder Workshop to present findings

**Box 4-13****Remember ...**

- Explain the purpose and procedure of the study to all participants
- Choose an appropriate sample
- Develop data collection instruments; questionnaires, interview schedules, etc.
- Review existing processes and identify bottlenecks
- Analyze causes and remedies for the bottlenecks
- Identify solutions in consultation with relevant project staff
- Follow up on uses of study results and decisions made by project management

**Living Examples**

A detailed study of the Community Action Planning process identified bottlenecks such as inadequate community participation, lack of an agreed strategy and unclear rules, no real identification of community needs and time constraints for mobilization, all of which seriously affected the quality of community mobilization.

Following the Study, both positive and negative aspects of existing community mobilization procedures were discussed at length with Project management and staff. Most recommendations from the Study were accepted by Project management; for example, rationalization of data collection by shifting some data collection and processing from preparation to later stages in the project cycle.

The following box presents the main findings and lessons from the special study of Community Action Planning.

Box 4–14

Key lessons from a Process Monitoring study of Community Action Planning ...

- Sufficient time has to be spent on community mobilization and awareness raising prior to making agreements with the community and for the community to participate as an equal partner in project activities.
- There should be separate and effective measures for giving women "voice" and "choice", and involving them from the beginning of the planning process, to increase “ ownership” of facilities provided and increase their participation in the development process.
- Special attention has to be given to how to best capture and aggregate community rather than individual demands.
- Social mobilization staff’ s time, particularly time used in data collection and processing, has to be rationally planned, and adequate logistic support provided to maximize their effectiveness.

J. Topical Sessions



Purpose

Topical sessions are a way to address important topical issues during a project. These issues may be identified by project management, government, donors or Process Monitoring staff themselves. Usually issues crucial to the success or failure of the project or specific lessons important for dissemination to a wider audience are dealt with.



An example from CIP involves the lack of women's participation in project activities. This issue was identified by Process Monitoring staff, supported by donors and brought to the attention of Project management. A session on gender was arranged and conducted by the Process Monitoring Unit. Following is a description of the Gender Session.



Gender Session



Purpose

The purpose of this activity is to promote gender-balanced participation in the project, both among community members and project staff.

The Project operates in a cultural environment where the mobility and participation of women is limited. Gender issues have been repeatedly raised, both with the community and within the Project. There is a clear need to focus on gender, to increase women's and other disadvantaged group's participation, and to improve the Project's ability to identify women's priorities and reach women with information about Project benefits (See Annex 8 for the result of the gender session).



When?

At all stages in the project cycle



How Long?

1-2 hours



Materials and Participants

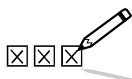
- Stationery
- Project staff
- TA consultants
- Process Monitoring staff (women in particular)



Outputs

- **Minutes of meeting**
- **Field visit report**
- **Including gender aspects in all major project activities**
- **Improved gender balance within the project**
- **Empowerment and confidence building among female project staff and community members**
- **Consensus among all actors about the importance of gender in project activities**



**Box 4-15****Checklist for organizing a Gender Session ...**

- Invite and brief project management on the purpose and agenda for the session
- Explain the purpose and expected outcomes of the session to all participants
- Ask project staff and community members to list the roles of females in the project and community
- Review the project' s activities involving females and identify gaps and shortcomings
- Analyze reasons for gaps and shortcomings
- Encourage gender sensitive approaches and allow time for involvement of women/gender aspects in the project

Presentation of Process Monitoring Findings

The presentation and effective communication of Process Monitoring findings are important to ensure an awareness and use of this information. Process Monitoring findings can be presented through:

- A. Informal and Formal Meetings
- B. Field Visit Reports
- C. Process Monitoring Working Group Meetings
- D. Field Notes
- E. Progress Reports
- F. Supervision Missions



A. Informal and Formal Meetings

As Process Monitoring staff work closely with project management and are located within the project office, findings are often discussed in formal and informal meetings called by either party. The value of this contact should not be underestimated.



B. Field Visit Reports

Field visit reports are prepared by Process Monitoring staff from information obtained during visits to communities. These reports contain observations on critical project processes, and are the basis for recommendations made to project management and sometimes to donors. These reports are a useful historical record of issues arising during the lifetime of the project. (See Annex 9.)

C. Process Monitoring Working Group Meetings

The PM Working Group is a forum where Process Monitoring staff present findings to project management and staff. It provides the most direct and quickest feedback and discussion of Process Monitoring findings. (See Annex 7).



D. Field Notes

Field Notes are usually prepared by external consultants who have the perspective of an outsider looking at the project. Preparing Field Notes is itself useful to the project, because it gives the project an opportunity to see the project as others see it.

Field Notes are a good way to document and disseminate the results of Process Monitoring activities to a wider audience outside CIP. (Examples of Field Notes are in the pocket inside the front cover of this Manual.)

E. Progress Reports

Progress reports present and discuss important Process Monitoring findings during a specific time period, usually quarterly. They present the most important findings from Process Monitoring and recommendations which require action from project management and/or external partners. They are circulated to key donors and government, and are important sources of information for supervision missions and the project's own progress reporting.

In the beginning quarterly progress reports were prepared separately for Process Monitoring. Now Process Monitoring reports are included in regular project progress reports.

E Supervision Missions

Process Monitoring findings can require interventions from government and/or donors. Important findings are communicated to them during supervision missions to assist in monitoring and supervising the project. Examples of such issues are reasons for delay in project implementation, bottlenecks in project decision-making, new roles for women CBO's and NGO's in the project, among others.

Process Monitoring Training & Skill Development



Process Monitoring Training and Skill Development

This module describes the important roles training and skill development play in institutionalizing and integrating Process Monitoring within the project and its M&E system. Once Process Monitoring methods and indicators are developed and tested, steps should be taken to ensure effective integration into the project's M&E system. Appropriate, well-planned training will enhance skills and build capacities of key actors involved in Process Monitoring. This can be achieved through training project staff, CBO's and staff of relevant NGO's and government departments in Process Monitoring.

An effective Process Monitoring training program will include:

- A. Training Needs Assessment
- B. Training Curriculum
- C. Identifying Training Resources
- D. Preparing Training Calendar
- E. Delivering Training
- F. Follow-up, Feedback and Evaluation



A. Training Needs Assessment (TNA)

The first step in improving the capacity of project staff and communities in Process Monitoring is to identify gaps in knowledge and skills which must be addressed to improve project performance and community capacity-building.



Ways to carry out a TNA are described in the box below. It is not necessary to use all these methods when developing a TNA. However, training needs identified by the potential trainee, project management, and the requirements of the job/task must form part of a TNA.

Box 5-1

Carrying out a TNA

- Design and circulate a questionnaire, seeking views of individuals as to the skills and knowledge required for carrying out their job, their area(s) of expertise, and gaps, if any
- Conduct structured interviews with potential trainees and his/her manager to assess training needs
- Review Job Descriptions to assess what kind of training is required
- Carry out job/task analysis to see, firstly, whether the work/tasks being performed by the individual are reflected in his/her TOR, and, secondly, what special skill and/or knowledge, if any, is required for carrying them out
- Informal discussions with potential trainees to review whether training needs reflect work/task requirements

The content of training in Process Monitoring will depend on the specific requirements of different groups of trainees. For example, for project management, training will focus on concepts, methodology and usefulness of information generated by Process Monitoring for decision-making. Project community development and M&E staff need training in Process Monitoring methods, techniques and tools.



Training for Process Monitoring staff would be much more comprehensive. In addition to Process Monitoring methods and tools, Process Monitoring staff should be trained as trainers so that they can serve as an in-house resource for training others. Specific areas in which Process Monitoring staff should be trained are described in the Training Curriculum below.

Training for community members would be mainly in Process Monitoring methods and indicators and recording and reporting Process Monitoring information.

Training in Process Monitoring is not a one-time event. As Process Monitoring yields more experience and the Process Monitoring Unit develops additional methods and indicators, project staff should be trained accordingly. Training should be demand-responsive, results-oriented, well documented, evaluated and continuously improved.

B. Training Curriculum

The first step to improving the capacity of project staff and communities in Process Monitoring is to identify gaps in knowledge and skills which must be addressed to improve project performance and community capacity building. Below are the areas in which project staff and Process Monitoring staff, in particular, may require training.

- **Monitoring and Evaluation:** its significance for an efficient and effective project; different kinds of monitoring, their design and usefulness; assessing M&E requirements of the project; developing indicators and data collection formats; steps in designing an M&E system; introduction to Logical Framework Analysis; how to design, conduct, and analyze results of rapid surveys.
- **Planning:** tools and methods for planning, designing participatory planning procedures; training community based organizations (CBO's) in planning methods and tools; budgeting and coordination of activities.
- **Participatory methods and tools:** introduction to participatory methods and tools, their usefulness and efficacy; effective communication techniques, observing interactions, identifying processes; tools/techniques and methods for participatory rapid appraisal; conflict resolution and negotiation techniques, dialogue facilitation; social mobilization approaches, and best practices in participatory methods.

- **Process Monitoring**: What is Process Monitoring? How is it different from conventional monitoring? Under what circumstances and situations is Process Monitoring relevant and useful? skills and attitudes required for conducting Process Monitoring, methods and procedures for carrying out Process Monitoring in a project setting; how to design Process Monitoring, including how to identify key process indicators; and integration of Process Monitoring into the project's M&E system.
- **Writing Skills**: Report writing, preparing case studies, field notes and research reports.
- **Social research**: Basic social research methods and statistics [for Process Monitoring staff only].
- **Training of trainers**: Organizing training events; training needs analysis, training methods, developing training materials, evaluating training.
- **Computer Skills**: MS Office, in particular word processing, Excel spread sheets, Power Point.

C. Identifying Training Resources

Projects can either develop their own in-house capacity for training in Process Monitoring or outsource training to other institutions with the necessary expertise.

In Pakistan, organizations such as the National Rural Support Programme (NRSP), NGO-Resource Center, KZR Associates, and Strengthening Participatory Organizations (SPO), Pakistan Academy for Rural Development (PARAD), and Frontier Resource Centre (FRC) conduct training for project staff and community organizations. These organizations can be used for customized training. Alternatively, the project can hire an individual trainer with whom the Process Monitoring Unit can jointly design a Process Monitoring training program.

D. Preparing Training Calendar

After assessing the human and financial resources required, a training calendar (plan) needs to be prepared jointly with relevant project stakeholders. Training can then be conducted according to the calendar.

E. Delivery of Training

Process Monitoring staff who have received training as trainers can then train project management and staff. The Process Monitoring Unit will organize training sessions for project management and staff using this Manual as the core training material.

In addition, the Process Monitoring Unit will hold regular orientation sessions for project management relevant project staff.

Since Process Monitoring requires a continuous flow of information directly from and to communities, it is necessary for community members to know about Process Monitoring, data collection, record keeping and reporting. CBO's should therefore be trained to keep simple records and reports. Training can be done in clusters where CBO's share their experiences. Community training should at least be attended by the President and Secretary of each CBO.

Training of communities can be done by competent and interested NGO's who have received appropriate training in Process Monitoring.

F Follow-up, Feedback and Evaluation

The quality and impact of training will be assessed by follow-up training and feedback from trainees. The results of this feedback will be used to revise training content, methods and materials. Frequency of follow-up training will vary, but at least one follow-up course should be conducted within six months of the initial training. A calendar for follow-up training should be decided jointly by the trainer and the participants.

It is important that evaluations be carried out after every training session and comments used to improve the content and design of the training program. Evaluations should solicit responses from participants on course content, presentation, trainers, training materials and ways to improve training. See Annex 10 for a sample training evaluation form.

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- | S. # | Name of the Book/Manual, Author/Agency |
|------|---|
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| 2. | <p>Community Selection and Responses: Study of Issues and Solutions, PM Case study, PM Unit CIP, RWSG – SA UNDP-World Bank, December 1998.</p> <p>This study is based on the experience of Process Monitoring and focuses on key lessons learnt during community selection and scheme identification in the Community Infrastructure Project.</p> |
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| 5. | <p>Participatory Tools and Techniques: A Resource Kit for Participation and Social Assessment, Compiled by Jennifer Rietbergen-McCracken and Deepa Narayan, Social Policy and Resettlement Division, Environment Department, World Bank, 1997.</p> <p>This resource Kit distills lessons learned from two years of pilot experiences, and draws case materials from experiences of other agencies in addition to the Bank. It discusses tools and methods for carrying out Social Assessment, Stakeholder Analysis, Participatory Rural Appraisal, SARAR, Beneficiary Assessment and Participatory Monitoring and Evaluation.</p> |
| 6. | <p>PHAST Step-by-step Guide: A Participatory Approach for the Control of Diarrhoeal Disease, World Health Organization, Swedish International Development Agency (SIDA) and UNDP-World Bank, 1998.</p> <p>Discusses necessary background concepts and important points for facilitation along with step by step activities for identification, problem analysis, planning solutions, selecting options, planning for facilities and change and participatory evaluation.</p> |

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9. Sustainability Monitoring – The VIP Way; A Ground level exercise in Karantaka Rural Water Supply and Environmental Sanitation Project (Cr-2483-IN), India. By GV Abhyankar, New Delhi Office, World Bank, March 22, 1999.

This field note describes the innovative methodology, process and findings of the joint government-World Bank exercise in measuring sustainability of rural water and sanitation investments.
10. Process Monitoring (ProM) Work Document for project staff, Department 402, Environmental Protection, Conservation of Natural resources, Dissemination of Appropriate Technologies (GATE), Federal Republic of Germany, 1993.

Discusses the idea and purpose of Process Monitoring, conceptual issues surrounding it, and outlines how to start Process Monitoring, and approaches and tools for observation.
11. Participatory Monitoring and Impact Assessment of Sustainable Agriculture Initiatives, Irene Guijt, SARL Discussion paper No.1, IIED, July 1998.

This document is a practical, methodological introduction to setting up a participatory monitoring process for sustainable agriculture initiatives. Its meant to be a guide for the first stage of an action research process on monitoring and assessment with small-scale producers, rural workers unions, and NGOs engaged in sustainable agriculture.
12. Changing Views on Change: Participatory Approaches to Monitoring the Environment, Joanne Abbot and Irene Guijt. SARL Discussion paper No.2, July 1998.

This Discussion Paper reviews participatory approaches to monitoring environmental change. It draws on published literature, interviews with practitioners, and the practical experiences of research projects on participatory monitoring of sustainable agriculture in Brazil.
13. Participatory Rapid Appraisal for Community Development: A Training Manual Based on Experiences in the Middle East and North Africa, Jaachim Theis and Heather M. Grady, Supported by International Institute for Environment and Development and Save the Children Fund, 1991.

This two-part manual gives some guidelines on how to organize and prepare a training course in participatory appraisal and describes in detail individual training sessions, including guidelines on how to help a PRA team put the tools they have learnt to use.

14. The Logical Framework Training Guide: The World Bank. Team Technologies Inc. 1994.
- A resource guide for training in purpose and requirements of effective project design, use of LogFRAME to design case project, to improve current project design using LogFRAME method, and plan next steps for the continued application of the LogFRAME approach.
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- A brief paper outlining the various steps and procedures in accomplishing participant observation work during pre-field, field work and writing phases of research, to acquaint and guide future process documentation field researchers.
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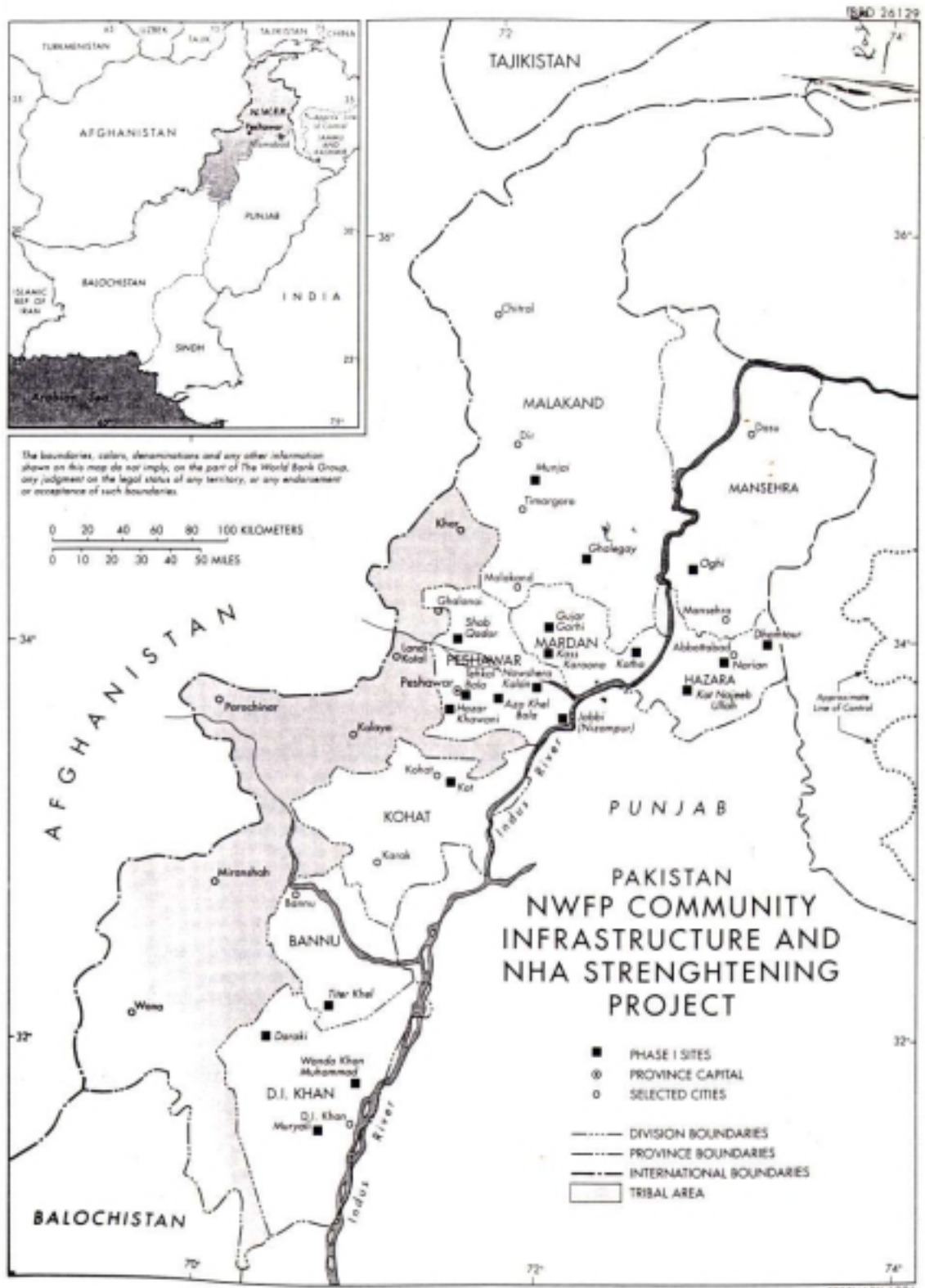
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- This Tool Kit introduces: the idea, and benefits to be gained from a new participatory approach, some two-way exercises in effective communication for field staff; methods for determining information needs, and ways that information can be analyzed and presented; information collecting tools, and offers some suggestions for selection of tools.
21. Community Participatory Strategies and Tools, Trainers Manual for the Rural Water Supply and Sanitation Sector in Pakistan, Iyra Srinvisan, Roshaneh Zafar and K.M.Minnatuulah, UNDP/World Bank Water and Sanitation Program, 1991.
- This manual is aimed at training of project personnel (in particular, Lead Trainers) in techniques that promote effective community participation; the manual includes several tools which extension staff can adapt for use at the community level or which can simulate them to design activities of their own, suited to their own setting.
22. A Decade of Process Documentation Research, Reflection and Synthesis based on the proceedings of the Seminar, Workshop on Process Documentation Research held on 21-24 January 1988 in Tagatay City, Philippines.
- This volume provides valuable insights into how cooperation between development practitioners and academics, for pursuing a common goal of sustainable and equitable development, can be brought about. Three cases are presented which focus on experiences in the irrigation and forestry sectors where decisions were taken to introduce a participatory approach to community development.
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- This paper discusses key issues and concepts in the current global agenda for Structured Learning in large scale RWSS projects; it describes a selection of methodological tools which may be useful for program staff and consultants in designing ToRs, estimating time frames for project documents, and task managing Structured Learning activities in projects with which they are associated.

Annexures

Annex 1

Map of the Project Area



Annex 2

Sample Terms of Reference (ToR) for PM Staff

Background

CIP is being implemented in low income and rural/urban communities in NorthWest Frontier Province, Pakistan. The duration of the Project is from October 1996 to June 2001. The project focuses on the use of participatory, demand-driven strategies to upgrade infrastructure and has two main elements; provision of community infrastructure and institutional strengthening at community level.

The Process Monitoring (PM) Unit in Community Infrastructure Project NWFP (CIP) was established in October 1996. The Unit is staffed by one Field Officer (female) and one Assistant Field Officer (male). The Unit is designed to function as an integral part of the project M&E system by complementing the work of the project' s M&E section with in-depth analysis of management, implementation and community level processes. Findings from these observations are regularly communicated to project management for improving project efficiency and the sustainability of benefits.

Process Monitoring Objectives

The objective of Process Monitoring is to assist project management to implement a participatory approach that incorporates learning and adaptive project design. This will be done by:

- 1) Documenting the implementation of the participatory approach, with particular focus on community organizations; and on intermediation processes and decision-making at the project and community level
- 2) Describing and analyzing ways the demand-driven, participatory approach is effective in helping achieve project objectives
- 3) Monitoring the efficiency of the participatory approach and how growing experience with the approach helps the project to become more effective
- 4) Investigating the linkage between participation and sustainability of benefits
- 5) Making recommendations to management for strengthening the project' s capacity to implement participatory, demand-driven approaches

The mandate of the PM Unit is to:

- Foster a learning approach and adaptive project design by communicating problems and issues (which have the potential to affect project performance) to project management for course correction; and conducting formal and informal training in PM for project management
- Identify key indicators from each stage of the project cycle, research and refine these in PM pilot sites for incorporation into regular project monitoring
- Facilitate and strengthen information sharing within the project by documenting key processes and coordinating the information flow between decision-makers and between decision-makers and field staff

Tasks

The PM Officer will carry out the following specific tasks:

1. Prepare workplan and detailed budget for PM Unit
2. Supervise the Assistant Process Monitoring Officer
3. Ensure that key inputs and outputs are available and delivered on time
4. Undertake regular field trips to identify and document key processes
5. Prepare and submit field visit and regular progress reports to the PM Director
6. Design and implement mechanisms for feeding back information from the field to project management and field staff in a useful and timely fashion
7. Facilitate informal and periodic training of field staff in carrying out process monitoring with a view to integrating PM activities into the Project' s M&E system
8. Plan and implement a PM training program for project staff according to demand
9. Contribute to the production of the revised PM Manual, newsletter, case studies, research reports and other publications
10. Design and conduct PM exposure sessions for project management and government line department staff
11. Assist PM Director to assess staff and consultant' s performance
12. Plan and participate in workshops, seminars, supervision missions and meetings
13. Other tasks as may be required and mutually agreed

Annex 3

ACTION PLAN - Process Monitoring Activity

(October 1996 - September 1997)

Overview

1. Process Monitoring (PM) within the NWFP CIP will serve as a flexible management tool designed to generate information for institutional learning and take corrective actions in a timely manner. As the Project is designed to be adaptive and innovative in nature and involves a high level of community interaction it becomes critical to first gain an understanding of and then monitor processes (i.e. the establishment of project rules, the application of these rules, project outcomes etc) at the community and agency level in a participatory manner. PM will identify institutional bottlenecks and strengthen agency and community capacity for identifying and resolving problems as they occur. It will provide the necessary information for assessing project rules and determining appropriate adjustments. As such, it is expected to improve the effectiveness of the Project and maximize the use of available resources. PM will be closely connected with the progress and performance monitoring systems providing synergies between the different types of monitoring.

PM Strategy and Communication/Dissemination Plan

2. The PM activity will focus on a selected number of schemes during the Developmental phase (preferably no more than 4-6 schemes) which will take place over the first year of the activity. It will include a Conceptualization and Development Stage (3 months) which will be followed by a Testing Stage (3 months) and the Consolidation Stage (6 months). Subsequent to the Developmental phase, PM will move to the Implementation phase.
3. The PM activity will focus initially on key processes at the community level. The most immediate point of contact with the community is expected to be through the Project Implementation Units (PIUs). The PM team will work closely with the PIUs in monitoring and improving the effectiveness of processes at the community level. They will assist the PIU's in defining work-programs, identifying constraints and documenting issues. The PM team will restrict their role to "facilitation" and technical assistance, so that issues are identified by communities and Project staff themselves. This will lead to greater ownership and empower communities and staff at all levels in the Project. At the first level, the team will interact with communities, letting them define indicators of success and monitor some of the project processes at the community level. As very few PIU's are functional at this stage, the team will work exclusively with the two PIU's that are partially operational. Within each PIU, the team will focus on two communities at different stages of implementation. As required, the PM team will also take issues up to the management level in the PMU. However, till the M&E system at the PMU level is not operational, the focus at that level will be limited. This strategy has been adopted in response to the initial teething problems being encountered in the initial stages of the Project, and to prevent a dispersed response to the numerous issues that are arising. It is expected that the picture will change once the Project is through this stage.

4. The PM Team will produce brief monthly reports which will form the basis of the agenda for the Working Group Meetings. The Working Group will consist of key stakeholders at all levels of the Project, and provide a monthly forum for issues to be discussed, timely action to be taken, and further direction to be given to the PM activity. Quarterly Progress Reports and occasional case-studies will also be produced. A bi-annual workshop will provide the forum for sharing findings with a broader audience (government / NGOs/ CBOs/ donors) and evaluating the activity. The first workshop is scheduled to be held in June 1997. During the Developmental phase material will also be developed for a draft PM Manual. As the activity moves to the next phase, the emphasis will shift towards defining indicators which can be quantified and consolidating the necessary lessons for scaling-up of activities. The PM Team will work closely with the PMU and liaise with the SDC and the World Bank as necessary. The Team will also share experiences with projects involved in similar activities and undertake any necessary travel to obtain a better perspective on PM.

Resource Requirements

5. PM will be undertaken by a team consisting of: a part-time PM Director; a full-time Field Officer (FO); and an Assistant Field Officer (AFO). The Director will take the lead in liaising with the SDC and the World Bank on an on-going basis, in guiding field activities as necessary, in assisting the field team in analyzing data collected and in providing conceptual guidance for the PM activity. The PM Director will also play a lead role in presenting findings to the Project Steering Committee and work with the FO in designing case-studies, manuals and workshop agendas. The FO will work closely with the PMU on a day to day basis, and take the lead in managing, designing, implementing and documenting all field activities. The FO will work with the Director in designing studies and report preparation. She will also be responsible for training and supervising the AFO on a daily basis.

Continued...

The details of the Development phase follow:

<u>Activity</u>	<u>Anticipated Date</u>
<p>Stage A: Conceptualization and Development Stage</p>	
<p>Familiarization with PMU and project activities.</p> <p>Individual and group discussions will be undertaken with all project Units to gain an understanding of how the project is functioning and to translate activities into processes.</p> <p>Participant Observation will form an important part of this exercise. The FO will attend meetings, develop checklists, identify and clarify problems through informal discussions and ensure that information is being disseminated in order to facilitate communication and build trust and ownership. Other techniques will be utilized to reveal individual/group perceptions of project processes and functional relationships.</p> <p>Setting up Process Monitoring Office. This will involve organizing logistics: office furniture, computer/printer, vehicle etc.</p>	<p>end-October 1996/on-going</p>
<p>Primary visits to focus sites for basic socio-economic information. Combination of participatory techniques to be utilized depending on circumstances, the emphasis being on involving communities themselves: transect walks, semi-structured group interviews, key informant interviews, individual interviews, social mapping, needs prioritization/ ranking, participant observation, seasonal calendars etc.</p>	<p>December 1996</p>
<p>Development of initial PM indicators. Communities, field staff and the PMU will be involved.</p> <p>Intensive monitoring visits to the selected field sites/CBOs. Selected on the basis of the findings of primary visits to the focus sites.</p> <p style="text-align: center;"> Identification Stage Preparation Stage Confirmation Stage Implementation Stage Operation and Maintenance </p>	<p>Starting December 1996-onwards</p> <p>End December 1996</p>
<p>Mini Case Study on completed Project (Ghalagai). As considerable information is available on Ghalagai, and the Community Organization is viewed as one which is functioning relatively well, it will serve as a useful case-study for reviewing processes that relate to sustainability of services and identifying process indicators for similar settings.</p>	<p>Starting January-July 1997</p>
<p>Development of tools/techniques/formats to be used in PM</p>	<p>February-April 1997</p>

<u>Activity</u>	<u>Anticipated Date</u>
<p>Establishment of Working Group (Responsibility of PMU)</p> <p>The Working Group will meet monthly, and provide a forum for disseminating the findings of the PM activity, discussing issues as they arise and taking remedial action. It will provide guidance to the PM activity and an opportunity for key stakeholders to participate fully in the PM system. The Working Group will consist of PMU management, CD staff, the PM team, SDC (during key meetings), other stakeholders such as line agencies etc when relevant, and beneficiary communities at a later stage.</p>	end-february 1997
<p>First Workshop. Internal-PMU/SDC/RWSG/World Bank- to confirm PM indicators and establish PM procedures.</p> <p>First Progress Report.</p> <p>Recruitment of Field Assistant. Preparation of short-list. Interviews to be carried out of short-listed candidates. PMU and RWSG will participate in the interviews</p>	<p>April 1997</p> <p>end-April 1997</p> <p>May 1997</p>
<p>Stage B: Testing Stage</p> <p>Confirmation of PM sites for testing PM Indicators at various stages of project cycle.</p> <p>Testing of PM indicators and procedures in the field</p> <p>Application of the Indicators & Procedures for various stages of the project cycle.</p> <p style="padding-left: 40px;">Survey/Probing Questionnaire Group Discussions/Participant Observation PRA Tools Feed Back Systems</p> <p>Findings/validity of the PM Indicators and Procedures.</p> <p style="padding-left: 40px;">Assessment and Validation Issues and Problems SWOT Techniques (Strengths, Weaknesses, Opportunity and Threats) Suggestions and Recommendations</p>	<p>June 1997</p> <p>June 1997</p> <p>June-September 1997</p> <p>June-September 1997</p>
<p>Quarterly Progress Reports</p> <p>Three mini Case studies on various stages of project cycle. The case studies will focus on the identification and selection processes, looking at causes of site drop-out and the suitability of the rules set and issues in application.</p>	<p>end-July 1997</p> <p>August 1997 - Onwards</p>

Annex 4

Logical Framework Analysis (PM Unit) Community Infrastructure Project

Narrative Summary	Objectively Verifiable Indicators	Means of Verification (MOV)	Critical Assumptions/ Risks
GOAL: Improving the productivity and well being of the low income communities on a sustainable basis:			
<p>Development Objectives A more participatory and demand responsive infrastructure service delivery Project</p> <p>Outputs</p> <ol style="list-style-type: none"> 1. Improved dialogue between all levels of the project to address key issues/ problems 2. Improved quality of information for Project decision making 3. Improved capacity in staff to use learning as a tool for improving Project effectiveness 4. Main streaming gender sensitive approaches to infrastructure service delivery 	<p>100% CBOs are managing community infrastructure effectively by end of the Project period More than 75% of the hhs in 90% of the project communities pay O&M charges regularly 75% of the hhs contribute to the capital cost of the community infrastructure.</p> <ul style="list-style-type: none"> • No. of working Group meetings held and collective decisions made • % attendance of participants in Working Group meetings • Nos. of field visits followed by field visit reports • Nos. of summery field notes, news letters, fact sheets produced • Nos. of process indicators incorporated into the Project M&E/ MIS system • Extent to which participatory methods are being applied in Project implementation • Nos. of workshops/sessions conducted by the project • % of communities where participatory methodologies applied • Nos. of women CBOs formed • % of hhs representation in women CBOs • Nos. of women hired in Project management • Nos. of gender targeted Project packages 	<p>Community records Bank Account</p> <p>Minutes Field Visit Reports</p> <p>Community record Project files QPRs M&E Reports</p> <p>Minutes of the meeting QPRs Field Visit reports Work plan</p> <p>Project documents Progress reports Field visit reports</p>	<p>Presence of a conducive Institutional and policy environment</p> <ul style="list-style-type: none"> • Sharing and cooperation during the meetings • Availability of time and logistics • Existence of a functional M&E • Response and cooperation from the M&E • Project management willing to learn and implement a participatory approach • Willingness to learn • Time availability • Support by the management • Minimum resistance both from project and communities • Qualified women are available • Supportive policy environment

Annex

<p>Inputs/Components</p> <p>1.0 Establish working groups</p> <p>1.1 Carry out joint field visits with Project staff</p> <p>1.2 Introduce process issues at the Project monthly</p> <p>1.3 Planning and review meeting</p> <p>1.4 Workshop in participatory analysis for the Project staff</p> <p>2.0 Selecting project processes</p> <p>2.1 Carrying out field visit to observe key processes/ bottlenecks</p> <p>2.2 Analyze and document observations in the form of field visit reports, case studies, fact sheet and news letters.</p> <p>3.0 Training of Project staff in participatory methodologies, M&E, Process Monitoring and project planning</p> <p>3.1 Training for CBOs/ communities in participatory monitoring</p> <p>3.2 Training for Project management in Process Monitoring for effective decision making</p> <p>3.3 Training of trainers for PM staff in social science research, M&E participatory methodologies, Project management, conflict resolution and communication skills.</p> <p>3.4 Develop a Process Monitoring Manual and training guidelines.</p> <p>4.0 Follow up case studies</p> <p>4.1 Conduct training sessions in gender sensitization/ awareness for the Project staff.</p> <p>4.2 Refresher and follow up training sessions</p> <p>4.3 Carry out gender assessment exercise and develop gender relevant indicators</p>			<ul style="list-style-type: none"> • Availability of funds • Availability of logistics
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Annex 5

Field Visit Format - Process Monitoring Unit CIP/PMU

Name of Community

PIU:

of BRS:

Date of visit:

Development stage:

Observation CD/Social Data	Data	Source of Data						Remarks
		Meeting	Com Record	Part Obs	Individual	Interview	Other	
No. of Meetings								
Average Attendance								
Level of Participation								
No. of CIP contacts								
Linkages with other Depts.								
Cost Sharing								
Amount (Rs)								
No. of HHs Contributing								
CAP Sign (Date)								
Delay Time								
Training need analysis								
No. of Training								
No. of Trainees								
Nos. of beneficiaries								
Record keeping								
O&M committee								
O&M effective								
Physical work started								
Secondary works done								
Expected completion date								
Primary work done								
Expected completion date								
Others								

Annex 6

Survey Form - Community Infrastructure Project

Community Name:

District:

PIU Name:

Stage:

Date of CBO Formation:

Last date of CIP Visit:

People met: 1. _____

2. _____

3. _____

4. _____

Reasons: _____

Reasons: _____

Community' s View:

PIU/ Project Management' s views:

PM Observations:

Annex 7

Minutes of First Working Group Meeting CIP-PMU Process Monitoring Unit - December 30, 1996

1. The First Process Monitoring (PM) Working Group Meeting was held on December 30, 1996. The meeting was chaired by Mr. Fayyaz Durrani, Director, Planning & Community Development (P&CD). The participants were
 - Shaukat Shafi, Programme Officer, SDC
 - M. Naseer Acting Team Leader OPCV
 - Haroon-ur- Rashid Manager Finance CIP
 - Mr. Baktiyar AD CIP
 - Mr. Waheed MIS Consultant OPCV
 - Ms. Saeeda SO OPCV
 - Mehreen Hosain CDS RWSG-SA, World Bank
 - Ms. Tayyaba Samina PMO, RWSG-SA CIP
2. The PM unit opened the meeting with a brief presentation on Process Monitoring (PM), and an introduction to Working Group (WG). The purpose of the WG was explained which is to provide guidance to the PM activity, and provide a forum through which results could be fed back to the stakeholders and remedial actions taken. The PM team stressed that the PM activity was an integral part of the project's own M&E system, and that the role of PM unit was to help give shape to the activity. It was important for the WG to give direction to the activity so that it could be useful for improving project effectiveness. The PM officer then give a brief presentation on her findings about project activities to date.
3. Issues identified and the Role of PM: Discussion focused on decision making mechanisms within the project, the approval of PC-Is, absence of a training strategy, coordination between the consultant and the PMU, and the need to integrate social and the technical aspects of the project. The PM Officer pointed out the need for addressing Gender Issues (both at community and PMU level) and for clear training strategy for staff. There was extended debate on the utility of repeatedly bringing up issues without remedial actions being taken. The PM team pointed out that the power to remedy problem areas often lies within the project, and the role of PM team is to help analyze and highlight issues identified by the various stake holders and through observation and research. The PM Unit will focus on documenting processes and monitoring key indicators identified in consultation with all key stakeholders.
4. Decision making within the Project and Bureaucratic Delays: There was a lack of clarity about the decision making process within the project and the roles of various individuals and bodies involved. In general it was felt that greater attention of a full time DG might help in improving the situation. There was some frustration expressed at the irregularity of Project Steering Committee meetings, which were resulting in long delays in implementation and decision making. In general it was felt that targets were becoming harder to meet because of factors such as bureaucratic delays and inflexibility of Govt. rules and procedures. It was noted that given the community based nature of the project, flexibility in improving processes was critical to its success. Not only was the hard work of staff being wasted but the Project was also losing its credibility with communities. While six PC-Is had been approved, another six remained

to be approved. The long delays between community mobilization and initiation of physical works was detrimental to the project image, and results in considerable frustration at both community and project level. The need for approval of individual project PC-Is, when a umbrella PC-I had been approved was questioned. It was also noticed that in general the response from urban communities had been poor and there might be a need to modify the strategies for working with them.

5. Logistics and Staffing: It was observed that complete staffing has still not been completed. PIUs have not been established and staffed, and there was no M&E unit in the project. It was pointed out that the ADs had been appointed for PIUs, but formal approval for the posting was still being awaited. The issue of transport was discussed and it was noted that Community Development staff did not have adequate transport, which was hampering their field efforts. Lack of easy mobility was particularly problematic for female staff. The low grades and salaries of SOs were perceived as a constraint. Many of them had worked for a number of years and yet had no opportunity for promotion out of grade sixteen. It was felt that there was a need to improve working conditions and incentive structure for the community development staff. Frustration was also expressed at poor and difficult condition under which the staff were working, many were still without office supplies or adequate furniture.

6. Coordination: It was noted that there had been a lack of coordination at many levels. This included coordination between consultants and the PMU, social and technical staff and the between different units with in the project. Many felt that information flow within the project was poor and the lack of documentation led to considerable confusion with instructions often being passed on verbally. It was agreed that there was grater need for sharing information in discussing issues more regularly. Meetings were being, comparatively, held more regularly between consultants and PMU now, but there was still greater room for improvement. There was some discussion on the need for better integration between social and technical aspects of the project. The roles of SO and Engineer need to be clarified and they needed to work together as a team at every project stage.

7. Training: There was some debate on training. It was noted that there was need to identify training needs and device a strategy accordingly. This has not been done in a systematic manner, there were a number of inexperienced staff who could benefit greatly from further skill development.

Overall efforts of the PM Unit were appreciated and it was noted that the WG provided real opportunity for staff to discuss their concerns and issues, in an open manner. It was reiterated, however, that there was a need to address the issues raised and not merely to identify them. It was decided that WG could provide a useful mechanism for keeping track of progress made in resolving issues and in learning lessons.

Annex 8

CIP-PMU

Gender Session - January 12, 1997

1. A meeting was arranged by the PM Unit, on January 12, 1997, to discuss some of the numerous issues that had been raised repeatedly by staff and communities regarding Gender. Initial Process Monitoring (PM) observations at the PMU and the field level, and extensive discussion with the staff indicated that there was a need to focus on gender and resolve some of the problems which were hindering implementation and women's active participation. It was felt that there was a strong need to create a more gender sensitive environment within the organisation, to have more gender sensitive planning at the organisational level, and to increase women's participation in the project at the field level. The primary objective of the gender session was therefore to see at the strategic ways in which these needs could be addressed. This would also prepare the ground and set the context for the proposed visit to BRSP, to study their strategies and exchange experiences.
2. The meeting was chaired by the Director, implementation and Design and well attended by male and female SOs from the PMU and Consultant Team, Community Development Advisor from the consultant side, the Planning and Community Development Director (Dir P&CD) and the Planning and Community Development Wing. The PM Field Officer introduced the objectives of the session and gave some background on the PM activity, along with some observations regarding the gender issues. Female staff were encouraged to discuss their problems and concerns. While the problems discussed applied to both male and female community development staff, these problems were often compounded for women in an environment where gender inequalities exist, and their participation is limited in the first place. Discussion focused on the following areas: incentive structures and working environment for female staff, logistical problems, and program packages for women.
3. Incentive for female staff: It was noted that there were few incentives for community development staff. Staff are poorly paid and are placed in low grade, with little opportunity for career development. The work involved in community development was particularly difficult and required considerable dedication with long hours in difficult field conditions. For female staff in particular this problem is compounded by poor logistical support and a working environment that is not perceived to be entirely supportive. It was observed that staff were not even, at times reimbursed adequately for travel expenditures, which was a disincentive for carrying out field work. Despite these difficult conditions, field staff felt that they were continuing to visit the field and carrying out their duties, but with decreasing motivation. Female SOs felt that they were always marginalized and had little direction and no input to the decision making process. Therefore, concerns related not merely to financial incentive, but also the working environment. There were no female staff at the management level and very few senior female SOs. The PM officer noted that incentives related to participation in project process and rewards (even in the form of certificates of merit) for performance. The Director Design and Implementation (D&I) stressed that the project had to work within the framework of government rules and regulations. However, he agreed that there was a need to improve the incentive structure for community development staff, but this should be done by looking at existing staffing and positions seeing how changes could be made within this frame work (e.g. reshuffling positions).

Decision: The Planning and Community Development Wing will work towards developing a proposal for improving the incentive structure for community development staff and for female staff in particular.

4. **Logistical Problems:** Strong concerns were raised regarding the logistical support provided to community development staff in general and female staff in particular. Mobility is an important issues for female staff and travelling to difficult areas without transport was increasingly problematic. Additionally, they were often not reimbursed sufficiently for expenses incurred. Within the office it was stated that female field SOs had no office space, or even desks to sit at, which considerably hampered any efforts to do any serious work. There was discussion regarding some UNICEF inputs to the project which had not yet materialised. However, it was noted that attempts were being made to address the transport issue. The Director D&I noted that all staff were working under difficult conditions, however, he agreed that attempts should be made to improve logistical support to the female staff.

Decision: Concrete efforts would be made by the Directors P&CD and D&I to improve working conditions for SOs and cover essential travel cost.

5. **Project Packages for Women:** Serious concerns were raised by female staff regarding the packages available for women. Most of the staff felt that they had nothing concrete to offer women, other than software. The link between the hardware and the software is not gelling and there did not appear to be a sense of ownership regarding the hardware, as women were not actively involved in the planning process. Staff felt there was little output from their activities. It was difficult to motivate and mobilize women whose demands were very different and often centered around income generation. There was some discussion regarding “ linkages” and ways in which to address the numerous demands of women which did not relate to what the project was offering. Even with regard to the health and hygiene education being offered, it was felt that this consisted of very generalised discussions and did not truly constitute training. Female staff felt they did not have the requisite skills or material to impart effective training and consequently their credibility amongst female community members was limited. Again the UNICEF activities were brought up and the problems in operationalizing them discussed. The linkages with UNICEF are particularly important in the context of gender and it was felt that concerted effort had to be made to have an effective and fully operational link with UNICEF. This would allow for improved logistics and a better strategy for women’ s participation. It was also felt that given the priorities of communities, it would be useful to have representation from the health and education department on the Steering Committee.
6. The PM officer initiated a discussion on the participatory methodologies used in the field at the planning and identification stages. She suggested that the use of technologies such as PRA might help in identifying the priorities of women, and also help to empower and engage them in the planning process. A debate followed on the utility of such participatory approaches, with some staff feeling it would add to their work load and that the present approach was sufficient. The Directors D&I and P&CD agreed that the use of more participatory approaches and techniques might give a better perspective on the needs of communities and their priorities. It was agreed that a visit to field NGO such as SRSC, to study their planning methodologies would be useful.

Decision: The P&CD wing and Consultant team will work towards operationalizing the linkages with UNICEF.

Decision: To explore participatory methodologies internal discussions will be held between the PMU and the Consultants. Furthermore, visits would be paid to NGOs utilizing these methodologies to observe their effectiveness and relevance to CIP.

Decision: The Director D&I will look at the issues of improving linkages and including other agencies on the Steering Committee for this purpose.

7. The Director D&I closed the meeting by stressing that issues could only be addressed if they were brought out, and reiterating his commitment towards improving working conditions so that the project could be effectively implemented. It was hoped that sessions such as these and the forthcoming BRSP visit would help to raise relevant concerns and that strategies could be formulated for overcoming constraints and encouraging the active participation of women.

Annex 9

Field Visit Report

CBO Islampur

Date	:	May, 1999
Last Meeting	:	Jan, 1999
CIP Staff	:	Bakhtiar Muhammadzai, AD CD Mohammad Akbar Taiyba Samina
CAP Signed	:	Dec, 1996
PC-1 Approved	:	Jan, 1998
Implementation Started	:	Jul, 1998
Block Representatives	:	28

Details	Since last Meeting	Current Meeting	Remarks
Number of meetings held	1	-	An internal conflict in the community is preventing the community from coming together on one platform
Number of female meetings	1	-	SSEP arranged one meeting for females; no interaction to date with CIP staff
Attendance trend	25%	80%	
Representation from the whole community	Yes	Yes	
Level of participation	Fair	Good	
CIP Staff Visits:			
FSO	None	absent	Level of contact of field staff with community is very low; topographic survey carried out by engineer
SO	None	absent	
Engineer	One	present	
Cost Sharing:	Rs. 2,500	Rs. 1,000	
Amount collected # of hhs	2	10	A major chunk of the contribution is coming from the local elite
Training(s):		1	To date only one training session has been held for (7) block representatives; training was not well planned and community was not properly prepared for it.

General Remarks: - The vice-president of SSEP was nominated for training in credit and micro-enterprise with the Aga Khan Rural Support Programme, by the community

- The on-going dispute within the community is threatening to disrupt the cohesion necessary for effective social organizational initiatives
- Field staff are not engaging the community with the frequency and intensity necessary

Discussions at the PIU level

The PM team visited the PIU at 11:00 am. The concerned AD had gone to Madayan for a field visit, while the SO was on leave and the FSO was absent. The team had discussions with the staff present at the PIU and discussed issues regarding delays in administrative processes. It was discovered that the delays were being caused primarily because:

- of delays in release of CIP share for community works; average delay time was around 4 ½ months
- channels for communication between the social and engineering sections are not clear resulting in lack of knowledge and coordination of activities

Process of Community Development

It was observed that the process of community participation and response has been very discouraging. A group discussion was held for over three hours with two groups of community members and representatives. It was decided that an ad hoc committee comprising equal representatives from the two disputing community organizations be formed to manage the affairs of the CDC, till resolution of the dispute through new elections of office bearers to the CDC/CBO.

The CDC, comprises of two pre-existing organizations (Alfalah Tanzeem and Islampur Welfare Society). At the start of the partnership with CIP, office bearers of these two organizations claimed that they would merge the two village organizations into one CDC. It later transpired that they had only said so for the benefit of receiving inputs from the project; and there were many disagreements between the two organizations.

Problem arose when the implementation of community works started in the village, especially with the transfer of money by the project to the CDC. While office bearers of Alfalah Tanzeem were looking at greater control of the CDC, Islampur Welfare Society enjoyed greater representation from and respect of the community.

It appears that CIP, instead of looking into grafting the CDC onto an existing institutional structure/arrangement, and taking into account prevailing internal social and cultural dynamics, carried out the requirements of CDC formation as a mere formality.

Office bearers from the two organizations have been trying to solve their dispute but have not met with much success. CIP has also not been able to play a constructive role in this local community level dispute. There was and still is potential for CIP to engage both communities in a constructive manner with a view to bringing about an amicable solution. To date the field staff at the PIU level have not responded to requests by the two parties to help resolve their dispute. This is an issue which needs to be looked into.

Recommendations:

- Participant Observation should be used to judge the situation on the ground, rather than formal and structured monitoring activity before and at the time of CAP development.
- Root Cause Analysis should be applied in conflict resolution. Social organizers should be trained in conflict resolution techniques and methods.
- The process of community mobilization should be quality oriented not result oriented.
- Process of Community Mobilization is not a one time activity. Therefore, there must be regular and active contact of field staff with the community, so that issues may get resolved at an early stage.

Annex 10

Sample Training Evaluation Form

Name of Participant: _____ Date: _____

1. Did you find the training useful? How/Why not?

2. Did the training come up to your expectations? How/Why not?

3. Which topics did you find most useful?

4. Which topics were least useful and/or unclear?

5. How well did the Instructor conduct the training? Was he/she participatory and engaging? Did he/she explain ideas and concepts well?

6. Do you think the training format (including content) can be improved? How?

7. What more would you like to see included in the training session?

8. Do you think you will need a refresher course? If yes, by when?

Key for scoring 1- very poor; 2- sufficient; 3- average; 4- good; 5- excellent

a. Overall training	1	2	3	4	5
b. Standard of instruction	1	2	3	4	5
c. Relevance of training to your work	1	2	3	4	5
d. To what extent has your understanding, about the subject, improved	1	2	3	4	5
e. Was the course material...	1	2	3	4	5
f. Were training arrangements...	1	2	3	4	5