Annex 1

Learning *to* Change by Learning *from* Change: Going to Scale with Participatory Monitoring and Evaluation

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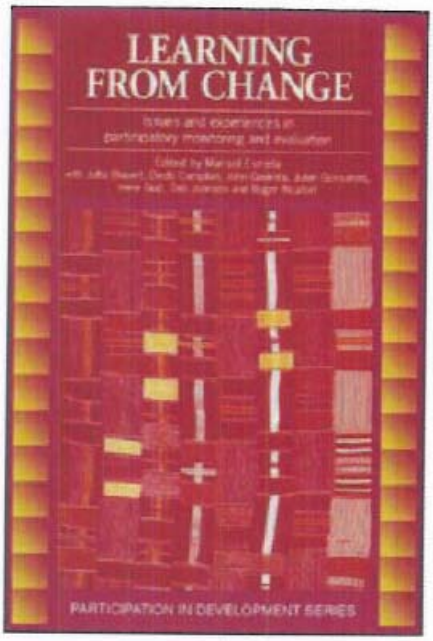
Extract from the publication



LEARNING FROM CHANGE

Issues and Experiences in
Participatory Monitoring and Evaluation

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PARTICIPATORY MONITORING EVALUATION (PM&E) is more than just a method or set of techniques. Like other processes of knowledge creation, it is also a deeply embedded social and political process, involving questions of voice and power. In aiming to privilege the voice of weaker or more marginalized groups, PM&E often raises sensitive (or threatening) questions about responsibility, accountability and performance (IIRR, 1998: 24; Whitmore, 1998). Negotiating and resolving these dynamics among differing groups towards learning and positive change is a difficult process, even at the level of a single project or community.

Increasingly, however, PM&E is going beyond the local community or project level. It is being used by institutions that operate at a larger scale, both geographically and in terms of programme scope. As several of the case studies in this volume suggest, PM&E is becoming an approach used for institutional accountability and organizational development, and, ultimately, for strengthening processes of democratic participation in the larger society. As it is being mainstreamed by government, nongovernmental organizations (NGOs), donors or research agencies, PM&E highlights the complexity of social and power relationships amongst multiple stakeholders.

In this chapter, we briefly:

- explore some of the social and political dimensions of PM&E, especially in relationship to scaling - up
- address some of the uses and challenges of applying PM&E to encourage greater accountability of larger institutions, especially government
- examine how PM&E can be used for institutional learning, and how institutional change is critical for the scaling - up of PM&E
- identify some of the enabling factors that are necessary for using PM&E on a larger scale
- provide some conclusions about the relationship of PM&E to the broader question of learning *from* change and learning *to* change.

Throughout, we will draw upon the case studies and previous chapters, as well as other experiences.

Scaling - up the PM&E process

Scaling - up of participation from the local level to a broader level has been a key theme for those concerned with participation in development during the 1990s[1] (see Blackburn with Holland, 1998; Edwards and Hulme, 1995; Gaventa, 1998; Holland with Blackburn, 1998). We have known for some time that high levels of participation on the ground can boost project performance. We have also discovered that participation holds promise outside the traditional project framework:

- in helping to inform national policy makers (Holland with Blackburn, 1998; Norton and Stephens, 1995; Robb, 1999)
- in large - scale government programmes (Bond, 1998; Hagmann *et al.*, 1997; Korten, 1988; Thompson, 1995)
- in large - scale NGO service delivery programmes (Hinchcliffe *et al.*, 1999; Korten, 1980)
- in the design and implementation of donor projects (Forster, 1998)
- as a fundamental ingredient of good governance in large public and private organizations (Gaventa and Valderrama, 1999; Lingayah and MacGillivray, 1999; Wheeler and Sillanpää, 1997; Zadek *et al.*, 1997).

In 1998, at a workshop at the World Bank on 'Mainstreaming and up - scaling participation', a key lesson was that to be successful, large - scale participation must mean more than a focus on the role of the 'primary stakeholders', or those directly involved at the project level. Rather, there was a high degree of consensus on the need to focus on how participatory approaches were adopted and used by other stakeholders as well, i.e. donors, governments and other institutions that support development at the local level. A shift has thus taken place in our learning as participation goes to scale - from focusing on the involvement of primary stakeholders as the critical factor, to a growing appreciation of the need for broader institutional change, and the need to link actors at differing levels in participatory processes.

While the concern with the scaling - up of participation in development is now at least a decade old, most of it has been concerned with the processes of planning or implementation of projects - not with monitoring and evaluation. However, approaches emerging from the private sector are showing that large - scale institutions can often learn more quickly and effectively through the use of participatory evaluation and accounting approaches, such as social auditing (Zadek *et al.*, 1997). Similarly, several of the cases in this volume have shown us how processes of PM&E that have developed at the community or project level are now being applied on a larger scale, to broader geographic areas, or to larger institutions, such as governments or donor agencies. For instance, in the Mongolia case study, PM&E is being used in a national poverty alleviation programme. We have seen examples of cases where PM&E is being adopted by large NGOs (e.g. CARE Zambia); by international research organizations (e.g. IDRC in Canada); in processes of local governance (e.g. Colombia and Ecuador), and by large donor agencies, such as in India where the Society for Participatory Research in Asia (PRIA) co - ordinated a process involving 23 voluntary health organizations, government and donors to evaluate the United States Agency for International Development's (USAID) national health programmes (Acharya *et al.*, 1997).

As at the local level, the practice of PM&E at large scale presents enormous challenges. Scaling - up PM&E with government and large - scale institutions may simply magnify issues of power, difference and conflict also found at the micro level. PM&E on a large scale involves many stakeholders, with differing levels of influence, differing reasons for

involvement and differing indicators of success. Groups may be brought together who have little history of working together, little understanding of each other's needs and realities, and a history of suspicion, mistrust or conflict. Moreover, the policies, procedures, and systems within government agencies and other large institutions - many of which may tend to be more rigid and hierarchical - can also mitigate against the core principles of PM&E, which include sharing, flexibility, negotiation and learning.

In seeking ways to overcome these obstacles to PM&E practice, the case studies in this book reflect the broader literature on mainstreaming participation in suggesting that scaling - up implies at least two broad sets of changes in order to be effective:

- first, it requires new kinds of relationships of accountability *amongst* and *between* stakeholders, and implies new forms of inter - organisational collaboration
- second, it requires new forms of learning *within* institutions, large and small, in order to enable them to operate in a more participatory and flexible manner.

Not only are these conditions necessary for large - scale PM&E to be effective, but PM&E in turn, can contribute to these broader changes. We will discuss each of these sets of changes in turn.

Broadening the lens - changing the flow of accountability among stakeholders

Several of the case studies in this volume have alluded to the fact that concepts like 'monitoring' or 'evaluation' often have negative connotations for marginal or popular groups. In Mongolia, there is no equivalent word for monitoring, but it is often associated with other terms like 'supervision', 'surveillance', 'control' (Chapter 12). In Latin America, the understanding of evaluation is often associated with school exams and being checked on not with a process of actual reflection and learning. Similarly, Symes and Jasser have pointed out that the Arabic word most commonly used for monitoring conveys a meaning related to 'controlling'. Many local projects which have been 'evaluated' think of it as the disempowering experience of being assessed and judged by others through a process in which they had little control.

PM&E attempts to change these more traditional understandings by means of a process that seeks to share control amongst various stakeholders – albeit not always equally. In so doing, PM&E attempts to reverse the traditional processes of top - down monitoring and one - way accountability. In the Philippines Workshop, participants felt strongly that 'PM&E is not just about accountability *of* the community but accountability *to* the community' (IIRR, 1998: 32). A number of case studies illustrate ways in which the lens is being shifted (i.e. where PM&E tools, skills and processes are now being used by citizens and civil society organizations to monitor larger institutions - especially government - and to link differing stakeholders in new collaborative relationships), for instance:

- In the Philippines, PM&E is being used by the Education for Life Foundation (ELF) to explore community indicators of democracy, within families, people's organisations, and local government. In other work in the Philippines, the *Barangay* Training *Management* Project (BATMAN) - a coalition of approximately 45 NGOs including ELF - is using PM&E to develop citizens' indicators of participation, leadership and local governance. These indicators will be used by citizens and other civil society actors to examine the broader political institutions that affect their communities.
- In Colombia, the Association of Indigenous Councils of Northern Cauca (ACIN), a community - based organization spanning over 13 municipalities and 90,000 members, has developed a monitoring and evaluation (M&E) system as part of the local and regional planning and development process, in which member communities define indicators based on their indigenous world views and cultural practices. In the process, the 'communities assess the work of their own institutions which are held liable in terms of fulfilling their commitments and responsibilities' (Chapter 7).
- In the United States, citizen learning teams were formed to monitor the community impact of a national government programme, known as the Empowerment Zone programme, and to convey results to programme leaders at the local and federal level (Chapter 9). [2]
- Similarly, in Ecuador, an NGO known as COMUNIDEC has developed a planning and PM&E process known as SISDEL *(Sistema de Desarrollo Local*, or Local Development System) which seeks to contribute to building alliances and coalitions amongst civil society organizations, the private sector and local municipalities. Among those items monitored are the extent to which inter - institutional agreements are themselves working, as well as the larger issues related to the policies and cultures of citizenship, management and collaboration (Chapter 8).

In other parts of the world, we have seen similar examples. In the United States, citizen monitoring has a long history as a means by which citizens assess - and attempt to hold accountable - government programmes (Parachini with Mott, 1997). More globally, the NGO Working Group on the World Bank has conducted a large - scale monitoring process to assess how effectively the Bank was implementing its own policies on 'participation' in local projects (Tandon and Cordeiro, 1998). The results then contributed to a dialogue between NGOs and Bank representatives on how participation could be improved.

In each of these cases, the process of PM&E attempts to contribute to new forms of governance,[3] involving greater transparency and more democratic involvement between citizens and the broader institutions that affect their lives (Gaventa and Valderrama, 1999). The usual relationships of 'upward' accountability - in which larger, more powerful institutions hold their grantees or operational staff to account - is broadened as local citizens and their organizations are using PM&E to demand and encourage greater responsiveness by public, private and NGO institutions through processes of 'downward' accountability, as well. However, accountability is a contentious concept. As it changes, issues of how to deal with power and conflict become critical concerns.

Managing power relationships

Whether in the locality, or when larger - scale institutions are involved, questions of who is accountable to whom, and who can voice concerns about performance, also involve questions of power. A pre - condition for meaningful participation is some degree of openness and a safe space for participants to articulate their views and concerns. These conditions may not readily exist. For instance, in the Palestine case study, community members were at first hesitant to speak out due to a history and culture of occupation, where 'the power of the gun appears far greater than that of the olive branch' (Chapter 10). In organizations that have traditionally operated through hierarchy, as in many government organizations, it may be difficult for those with less power to feel safe to speak out, and equally difficult for those in power to learn to listen to the views of those perceived as being 'below', as was mentioned in the Nepal example (Chapter 2). And, as the case in Mexico (Chapter 3) reminds us, often organizations that promote participatory evaluation 'out there' with communities in local projects, are hesitant to open up to an examination of their own power differences and dynamics.

At the same time, several of these case studies show that PM&E can sometimes become a means for attempting to redress power imbalances. For instance, in the use of PM&E by forest users groups (FUGs) in Nepal, women were able to challenge the FUG chairman and to demand more open accounting of the process to meet their needs and priorities (Chapter 2). In Colombia, Espinosa argues that doing M&E in public assemblies can also contribute to a more transparent process, in which (because many people are involved) it is more difficult for one individual or group to control the process. The PM&E process, he argues, also encouraged young people and others to emerge as new leaders, and thus served to weaken the influence of traditional politicians. Similarly, in the McDowell County example in the United States, Rutherford found that the experience of the learning team members contributed to greater self - confidence and skills, leading some to also get involved in new public leadership positions in the community.

Negotiating differences and conflict

Of course, not all PM&E processes are as successful as the illustrations given above. The cases in this volume have shown how in some circumstances the PM&E process can enable the voices and priorities of hidden stakeholders to emerge. When new actors enter a social process, they may articulate new views of reality and new priorities of what is important. But this very articulation may also lead to conflict. In some cases, the conflict may be extreme, including the use of violence as we saw in the case study from Colombia. More common is disagreement over what types of change are most important, and if and how they are to be attained.

While such conflict can paralyse a PM&E process, several of the cases in this volume also suggest that the opposite can occur: the very process of the PM&E can provide a framework and forum for discussing and managing different interests and priorities. Identification and use of indicators - sometimes, at least initially, in differing groups - offers a means for both improved communication and for negotiations amongst different

actors. Participatory indicators allow focused presentation of views, and listening, rather than direct confrontation. In the Nepal case, for example, Hamilton *et al*. found that the process of developing indicators became a process in which the powerful and more vocal interest groups (in this case the men, and the more literate groups) tended to predominate. However, as the participants were given 'opportunities to articulate their views and needs through discussion, they [were] often supported by others with converging interests'. By presenting and clarifying interests in formalized discussion, conflicts were deliberated and often managed - especially if there was space in the process for the disadvantaged groups to articulate their concerns and to negotiate around them. Similar processes have been reported in projects in India and Ghana, in which the development of indicators and project plans initially in separate gender groups contributed to frameworks for understanding differences in the community (Shah, M.K., 1998).

Whereas conflict is often embedded in different social interests, it may also emerge or be reflected in the PM&E process - for example, around which indicators are to be used, which stakeholders to involve, or how to interpret and use findings. For instance, while local stakeholders may want to emphasize indicators that reflect the specificity or diversity of their situation, managers responsible for large - scale programmes may want indicators or data that allow them to generalize and compare across communities. These differences can be sorted out in several ways. In Latin America, the Grassroots Development Framework emerged through processes of negotiation around a common framework that aimed to reflect the needs and evaluations of different stakeholders while tracking change at various levels of impact (See Chapters 3, 7 and 8; see also Ritchey - Vance, 1998). Such negotiation is not always possible, though, and separate or parallel systems may be required. Hamilton *et al*. argue, for instance, that higher level institutions may need to be willing to hand over control of the process to local actors (in their case study, the forest users) and to develop their own complementary system if the local system does not meet their needs.

As noted earlier, resolving differences and negotiating conflicts is difficult in multi - stakeholder processes, whether at community or macro level. However, the workshop participants in the Philippines argued that expecting there to be complete agreement over the entire PM&E process from the beginning is unrealistic. More important, rather, is to identify areas of mutual agreement and then to proceed (IIRR, 1998: 69). Similarly, as Espinosa points out in the case of Columbia, 'consensus is not a precondition' for working together. Where these processes are appropriately managed, they can contribute to strengthened collaborative partnerships. In Ecuador, for instance, Torres finds that the PM&E process is being used by communities to negotiate and establish alliances with both the private sector and national government; to negotiate with government at regional and national levels for greater access to resources; and to contribute to consideration of new laws and policies. A note of caution, however: while PM&E contributes to negotiation and collaboration, it does not do away with the need for campaigning and advocacy work for democratic change, which may continue to involve conflict in order to raise issues effectively. 'Mediation processes between different conceptions… should not be confused with consensus, the amelioration of conflicting interests, or the alleviation of poverty' (Blauert and Zadek, 1998: 3).

Changing from within: PM&E *for* institutional learning

As we have suggested earlier, it is not sufficient to achieve mainstreaming of PM&E by promoting PM&E 'out there' - whether in smaller scale projects or in larger relationships between differing social actors. Learning to work across difference, to resolve conflicts, and to create new kinds of inter - institutional collaboration often requires institutions - whether NGO or public sector - to change internally as well. For change to occur, organizations and institutions need to learn what they have done well and what they have not, and how they are perceived by their stakeholders - as well as how they can appropriately respond by using this information to improve on institutional behaviour and performance. While learning is rarely easy, it can be aided by applying PM&E from within, to develop a systematic yet adaptive way of understanding what has or has not been achieved.

In 1980 David Korten wrote an influential article which articulated a learning process approach: 'The key [to achieving impact and competence… was] not preplanning, but an organization with a capacity for embracing error, learning with the people, and building new knowledge and institutional capacity through action' (1980: 480). Essential to organizational learning is understanding how knowledge is acquired, how the resulting information is shared and interpreted, and how effective organizational memory is. Thus, organizational learning at its most basic is both the detection and correction of errors, and the application by individuals within these organizations of the lessons learned. Such learning is not always conscious nor intentional. PM&E aims to make it more so.

In this vein, the organizational development literature of the 1980s and 1990s has argued [4] that a change in organizational practice is best achieved if individual change in attitude and behaviour is encouraged and provided with incentives, but also if the organization itself can learn in a way that corresponds to its prevailing organizational culture and needs. If this organizational culture is discriminatory and un - democratic, then 'working with' such a culture poses special challenges to PM&E approaches and practice. Some practitioners argue that working *with* is impossible in such cases, but that external lobbying needs to put pressure on the organization first. In the Philippines, the BATMAN programme decided to work mainly with local authorities where BATMAN NGO coalition members felt local authorities showed a sufficiently strong commitment to citizens' participation. By creating best practice examples, it is hoped that pressure can be put on other organizations to change. This approach is echoed in many of the benchmarking approaches used in corporate social responsibility work.

Where the organizational culture does provide openness to learning, two further elements are key to enable a sustained interest in it (rather than resistance to it): (i) initiating the process, and the approach, by identifying feasible 'entry points' of interest and opportunity for change; and (ii) keeping information and time involvement to a minimum to avoid people being overwhelmed and to allow them to feel safe with change. It is argued that creative learning can best take place by responding to - rather than fighting against - prevailing institutional culture, while also challenging people to change mental models and behavioural patterns.

In the first instance, PM&E may begin as a consultative practice to get information that is more accurate. However, such information may, in turn, point to further changes which are required in order to allow the organization to respond to the lessons learned. This 'ripple' effect from a PM&E process may take some staff by surprise. Currently, much PM&E practice is not initiated with this organizational change in mind. For many organizations, then, those first steps of a PM&E process can, if effectively used, represent a 'Trojan Horse'[5] in that by opening oneself up to multiple opinions, and taking first steps to correct one's actions, almost inevitably, larger questions are raised about organizational processes and internal democracy. We find, therefore, that it is often organizations that are living through key crisis points, or that already have developed a will to learn, that are the greatest risk takers in being creative in taking further steps towards greater public accountability.

The case studies in this volume have provided several examples of the use of PM&E to strengthen organizational learning. For instance:

- in Palestine, Symes and Jasser guided the organization they were working in through the first hard steps of analysing their own internal procedures, rules and behaviour in order to balance the objectives of their participatory work in agricultural communities with practices within the organization to reflect the same openness to learning
- CARE Zambia, as reported by Ward, pursued seven strategies for building a learning culture and practice within the organization. This included establishing a community monitoring system that has allowed staff to collaborate more directly with communities on how to strengthen their local institutions and make development programmes more effective
- like public sector or donor institutions, development research agencies can also make use of self-evaluative processes to learn about how to improve the impact of their work. In his report on the Canadian development research agency, IDRC, Carden shows how the donor-initiated, institutional self-assessment work undertaken in some of the research institutions that receive grants from IDRC required some degree of handing over of control of the internal change process to external partners.

The case studies do not suggest that there is any single approach to PM&E that enables or guarantees institutional learning in the most effective way, nor do they suggest that such learning always occurs. In fact, in some cases organizations may refuse to change in the light of difficult lessons. However, the case studies do suggest several common themes or lessons that may be useful in implementing a successful PM&E process for institutional learning. These include the importance of change and flexibility, ownership, internal accountability, and trust and trustworthiness.

Change and flexibility

Individual and organizational learning can take place where a process and a methodology is sufficiently adaptive to allow learning to be applied and, made tangible, almost immediately. One example of this openness to change that demonstrates an organization's

willingness to learn is the flexible use of indicators-or even daring to move away from them into focusing on assessing critical changes without the quantification. Lawrence *et al.,* as well as Sidersky and Guijt, point to the utility of allowing indicators to change even from one year to the next, so as to incorporate learning into the planning cycle. This change in indicators in itself can demonstrate that those involved in the PM&E and planning systems are responsive to the lessons learned from previous cycles about new priorities or interests. Above all, the flexibility of 'champions' in the institution (see 'Leadership and champions' below) is of great importance in encouraging staff to dare to be transparent and to change: Carden describes this for research organizations, Ward for funding agencies and Abes for leaders of community-based organizations.

Building ownership

For institutions to change, individuals need to be motivated to apply learning-for which, it is recognized, a sense of ownership over a process and the results is essential. For this sense of 'ownership' to be anything more than participatory rhetoric, however, we argue that learning needs to recognize the *role and responsibility* of each individual, and the personal or collective *benefits or problems* to be expected. In contrast to conventional M&E, PM&E has the potential to enhance this sense of ownership amongst stakeholders both within the institution and outside.

With the recognition of the importance of who runs and owns the PM&E process, however, has also emerged a new role of the evaluator as facilitator (Guba and Lincoln, 1989). The facilitator is expected to recognize her or his subjectivity as well as that of the different stakeholders involved. This role also aims to build a sense of ownership over the process and outcome amongst stakeholders involved in any learning cycle, as well as to contribute to their learning. Mosse confirms this important role of negotiator and mediator, relevant also for the context of PM&E:

> 'Given multiple perspectives and agendas, the task of monitoring is no longer simply to manage impacts or outcomes. Rather, it must play a major role in creating a framework for negotiating common meanings and resolving differences and validation of approaches… The role of process monitors is then more of advocacy, facilitation or nurturing than analysis.'
>
> (Mosse, 1998: 9)

Developing accountability within the institution

As the previous section pointed out, there is more to accountability than reporting to donors: accountability is increasingly recognized as relating not only to financial transparency, but also to learning about the social and economic impact of the organization's activities. This involves changing (and reversing) relationships amongst and between stakeholders-including those *within* the organisation. Accepting the responsibility to be accountable through dialogue and disclosure already implies a certain openness to learning. For institutions to change, actors internal to the organization also

need to be willing to probe their own organization, recognize and discuss different 'hierarchies', be open about mistakes as well as successes, and, above all, know that the opinions expressed by them can lead to *internal* as well as *external* change.

For some organizations, accountability to differing stakeholders may lead to conflict due to differing expectations and requirements. NGOs and community-based organizations often find themselves suffering from multiple accountability pressures-the 'sandwich' phenomenon of being caught between the protocols and requirements of donors, and the needs and demands for accountability of the communities or groups with which they are working. Responding to demands for strategic accountability (wider impacts) over functional accountability (resource accounting) is still proving to be a challenge for these and other organizations (see Edwards and Hulme, 1995). Participants in the Philippines Workshop suggested several responses to this challenge, including:

- piloting PM&E systems to persuade donors of their benefits, before taking them to a larger scale
- developing complementary systems to meet differing needs, including complementing the logical framework with simplified frameworks that are more accessible to the community
- combining participatory methods with traditional external evaluation activities
- making donors more aware of the importance of people's indicators (IIRR, 1998: 50).

Trust and trustworthiness

For people to be open, and feel secure enough to learn and to share doubts about their own work, or ideas for future work, they need to have sufficient trust in their position as well as in their process of learning. Validating multiple perspectivesan essential characteristic of PM&E - is therefore crucial in making people feel more secure about expressing their analysis and concerns. Yet, trust requires more than 'permission' to give voice to opinions: actors that hold more structural, institutionalized power, (whether managers, donors or governmental agencies), need to start applying selfevaluation to themselves and to be transparent about their successes *and* shortcomings. This 'openness' beyond the act of simply recording or monitoring is, we argue, one of the first steps in establishing trust. Incorporating different stakeholders in dialogue-based appraisals of the *quality* of an organization's performance can also offer a way to establish trust, and, hence, the capacity to change-especially if the evaluation process is seen to lead to tangible action. This sense of sharing responsibility by seeing direct impact can, in turn, help build further relationships of trust, particularly by and for structurally weaker stakeholders such as operational or support staff in a bureaucracy or NGO, or villagers receiving grants from international donors.

Furthermore, trustworthiness of findings need to be proven in different forms to different stakeholders. Visualization can make findings more accessible to some people, whereas others may need short texts accompanied by substantial written back-up material to believe the conclusions and to take action. So, for instance, Sidersky and Guijt describe

what information is considered sufficiently meaningful by farmers about soil improvements: for farmers to be willing to change their practice they need indicators about how many of their peer group ('small-scale farmers') have adopted a soil conservation practice, rather than whether the soil moisture content has increased. 'Scientific' proof is not sufficient-peer-group judgement is key for learning (and that is also how 'scientists' work!). In this vein, 'benchmarking' and external validation, in turn have become two M&E methods acknowledged to be of great use in PM&E processes for allowing interrganizational trust and learning to take place. [6] In addition, it is the benchmarking that can entice an organization into action (appealing to competitiveness or its mission to improve on its impact) and into following up on evaluation results by knowing that it is being observed by other organizations that have collaborated in the external verification process.

For large institutions a systematic learning process needs to be in place that allows the management of extensive data emerging from an M&E process, and which permits the organization to have sufficient trust in the views received and to know that it can handle these in confidentiality, while also taking the key lessons 'out there' to share. Some of the most significant innovations in this regard are found where participatory methods and principles are being combined with conventional approaches to achieve systematic and effective learning within institutions, while enhancing accountability toward stakeholders outside the organization. Social auditing is one such approach. [7]

Enabling factors for scaling-up PM&E

The cases in this volume have given us some rich insights into scaling-up PM&E and its uses in contributing to new forms of institutional accountability, collaboration and learning. However, it would be misleading to suggest that PM&E can always be used successfully in these ways. The cases also offer lessons about the enabling conditions that may be necessary for scaling - up PM&E effectively.

Social and political context

The presence of many nationalities in the Philippines Workshop led to lively discussions about how differing social and political regimes may affect the potential of PM&E to lead to far reaching changes, and the strategies that might be used. For people to be able to raise questions about accountability or performance of others, the social and political context must be one in which there exists at least some level of political space that will allow people to participate and to voice their views and concerns about the project and institutional or social realities that affect them.

Many of the examples in this chapter of taking PM&E to scale are from contexts in which there is a certain degree of stability, an organized civil society, and a degree of institutional openness. Certainly, in cases of extreme conflict, or where there is a history of authoritarianism or a weak civil society, citizen monitoring of larger institutions may not be possible on a large scale - at least not openly. On the other hand, in some highly conflictual situations - e.g. over environmental issues, or in the case of violent human

rights violations - well - organized advocacy for transparency and the respect of human rights has led large institutions to set in place some form of enhanced accountability mechanisms. In other cases, with strong government, or strong donor presence, participatory processes may be promoted, but from the top. While such interventions from above may create institutional openings for participation, using that space may still be difficult because of the lack of capacity or skills.

Enabling policies

Even where there is a sufficient degree of political openness, it still may be hard for local groups to engage in joint monitoring with government or other institutions without special enabling legislation or policies, which legitimate their involvement. Moreover, financial resources and scope for taking decisions need to be in place in order for people to participate in PM&E fully. In this volume, for instance, we find a number of examples where decentralization policies have mandated citizen involvement - not only in planning and implementation, but also in monitoring and evaluating performance.

As in many countries during the 1990s, in the Philippines the local government code of 1991 created legal space for POs (Peoples' Organizations) and NGOs to participate in local government, often bringing with them participatory skills they might have gained through project and advocacy work. Here, strong civil society, plus the enabling framework, have created the opportunity for NGOs and their coalitions, like the BATMAN Consortium,[8] to engage with local government - using participatory planning and PM&E approaches not only for development projects, but also for strengthening local democratization and accountability.

Similarly, in both Bolivia and India, legislation allows for local committees to serve in a monitoring and watchdog role. While there is, so far, little evidence that these committees have developed the capacity and independence to do their job, there may be great potential if funding and capacity - building are also devolved. In Kerala, for instance, local 'vigilance' committees are empowered to sign off on local projects - inspecting both for quality and for proper use of funds - before final payments are made to contractors.

Local NGOs are beginning to explore how to strengthen these citizen monitoring - committees as a bottom - up device to ensure accountability (Intercooperation, 1999). And in the Indian state of Rajasthan, a women's led right - to - information movement has demanded transparency by local governments, especially by insisting that all local government expenditures be posted for everyone to see (Jenkins and Goetz, 1999).

Prior experience and capacity

Even with political space and enabling legislation, capacity is required to take PM&E to scale - both at the community level and with the larger institutions alike. In Chapter 16 Johnson elaborates on the requirements for capacity building for successful PM&E. Building such capacity needs time and the acceptance of trial and error; it also needs the presence of strong and creative institutions that are prepared to act as intermediaries.

Capacity refers also to the institutional capacity to participate. As the Brazil case suggested, it may be difficult to scale - up the PM&E process when the critical partners do 'not have a certain degree of institutional stability and maturity' (Chapter 5). Other cases point to the necessity of a certain level of institutional readiness or openness to take PM&E processes on board. Capacity, in turn, involves flexibility and creativity, not just efficiency. At the institutional level this also means examining the incentive structures that can reward team leaders, managers and operational staff for innovation, learning and adaptation.

Leadership and champions

Even where there is openness and capacity for change at various levels, the case studies have also recognized the need to count on a champion within the organization in order for PM&E to be effective and sustainable. Ward identifies the importance of management support in allowing staff in CARE Zambia to experiment with developing the new learning system, including making adjustments after errors. The work with farmer - to - farmer extensionists in Mexico (Chapter 3) relied a great deal on the donor's support for this experimental process and the wider objectives of enhancing learning and accountability skills - making the role of the donor even more critical in enabling the grantee to act on results. Yet, an external champion also needs an internal leader who takes on the risks involved in making his or her staff feel secure in opening themselves up to a more transparent critique. Such leaders will need to have relational skills as well as a strong value base to allow themselves to be appraised openly and to show the way in how to change in attitude and behaviour based on the lessons learned. Constructively critical, and encouraging, external support - including through supporting process consultancy formats or medium - term accompaniment - can thus be of great importance in enabling longer - term change to take effect.

Relying on champions, however, highlights a weak link in PM&E approaches. Champions can move on, or be replaced by their employers or constituency; champions can also start to use the new arena to build their own political stronghold, or close down the process when their own personal behaviour and performance is critically appraised. Carden refers to the problem of staff changes during a PM&E process in research institutions, where the departure of the senior manager can immediately interrupt or close down the process (see also Chapter 3). While in the case of a large organization, the existence of a broader institutional commitment could ensure that another person be appointed immediately, this might be different at the community level. Discussions in the Philippines Workshop pointed to cases where changes in village authorities could leave the PM&E process abandoned, with the risk of a new political faction in power not sharing the same interest, or new authorities not having yet acquired the necessary skills (IIRR, 1998: 47).

Strong champions for participation by primary stakeholders are sometimes individuals in large and powerful organizations, such as the World Bank. Whether in Mongolia or Guatemala, Mexico or Uganda, individuals in donor organizations have managed to cajole national institutions into daring to reform their practice of accountability, often

making such reform part of loan agreements. Although such top - down conditionality may not be conducive to effective learning by state actors, it appears at present - as discussed earlier - to create a space within which civil society and advisory actors can move to ensure the development of participatory M&E practices that can enhance public sector accountability and citizens' monitoring.

Increased linkages and learning from others

A final factor to enable scaling - up of PM&E comes from the opportunity of learning from other organizations - especially those that have set new benchmarks for successful approaches to PM&E. Having 'role models' can allow an organization to compare and assess its own work within the specific context in which it operates and to learn from other perspectives. Institutions are increasingly recognizing the utility of linking with other organizations with specific skills, so as to complement their own expertise and to better use their own financial and human resources. In turn, one of the key challenges for future work raised at the workshop was the need for PM&E proponents to develop more systematic benchmarks or criteria for success to enable practitioners to learn from others in judging their own success.

Conclusions

The case studies in this volume have demonstrated the rapid spread and acceptance of PM&E practice across the globe. PM&E concepts and methods are being applied in almost every sector (health, agriculture, community development, local governance and more), in small and large organizations, and with a broad range of stakeholders and participants. Innovations in the field abound. The uses and methodologies of PM&E are increasingly varied, and, as we have seen, are moving from the project level and community level, to larger systems of governance and institutional learning and reform. The potential to continue to take PM&E to scale - to encourage its spread to yet further places and sectors, to be used by the mainstream as well as to challenge the mainstream, and to critique and learn from development practice - is enormous.

Yet, as we have also seen, the possibilities are not without pitfalls. As one participant at the Philippines Workshop put it, PM&E 'is a dream and a nightmare'. As with any approach, participatory processes can be misused, or become rigid and flat. PM&E is a social and political process, in which conflict and disagreements amongst stakeholders (over methods as well as broader social interests) can easily take over. Disagreements may exist over indicators of success, appropriate levels of rigour, the purposes of the PM&E process and the uses of its results. As the past few chapters have shown us, there is still much to be done - to strengthen the conceptual and methodological base of PM&E, to build human and institutional capacity for its use, to learn to negotiate the conflicts towards building collaborative action, and to apply it on a larger scale to issues of governance and institutional learning.

While the challenges are great, so are the stakes. Ultimately, asking questions about success, about impacts and about change is critical to social change itself. Learning from

change is not an end itself, but a process of reflection that affects how we think and act to change the future. Learning *to* change involves learning *from* change: if we cannot learn effectively from our action, we cannot improve our understanding of the world, nor act more effectively on it. *Who* asks the questions about change affects *what questions* are asked, and whose realities are considered important. Who benefits from the questions – that is, who learns from the process – will affect who changes, who acts, and how. Learning *from* change means *changing who learns*, and looking at how differing stakeholders in change processes learn and act together.

Beneficiary Assessment Typology **Annex 2**

- The table below can be used when planning a BA or assessing one ex-post. It is to help anticipate or judge the extent to which it will be possible to meet the different BA principles, for different types of programmes in different contexts. Few BAs will manage to achieve high standards consistently in all of the quality criteria - medium and low standards will be the norm.
- It is a tool for discussion and learning rather than performance management. But minimum standards are underlined.
- The quality criteria are normative to give an idea of what different quality criteria standards might look like for each principle. They are accompanied by examples of conditions that might affect whether it is possible to achieve a high, medium or low standard.
- The example conditions are by no means exhaustive; none are 'essential' conditions. Relationships between conditions and effects are unpredictable and context specific, e.g. citizen participation can be high in local associations in 'fragile states'.
- Each principle should be viewed as independent from the others. For example, a BA with low levels of participation and ownership could achieve high standards in representativeness, inclusion, learning and responsiveness providing those designing the questions are critically reflexive and try to learn from beneficiaries and work within their interpretive horizons and local realities rather than the usual projectable models of the aid community.

	Standard	High Standard	Medium Standard	Low Standard
Principles				
Ownership, Qual. of Participation potential for empowerment	Examples of Quality Criteria	- Citizen observers (COs), who are accountable to citizen groups, supported by a facilitator choose questions, undertake research & analysis within their impact hypothesis - COs feedback findings to citizens for validation before sharing with steering group - <u>COs share findings and analysis in meetings the reports of which indicate SDC staff and partners listen respectfully to them</u> - COs work with programme steering committee to interrogate implications for programme level impact hypothesis & plan response - <u>COs communicate proposed response to citizens;</u> - Independent facilitators undertake report writing - When evaluating the effects of	- COs, who are accountable to their citizen groups, supported by an independent facilitator influence some questions, undertake data collection. Analysis aided by donor impact hypotheses/ concepts. - COs feedback findings to citizens for validation - <u>Citizens share findings and analysis in meetings. Reports indicate SDC staff and partners listen respectfully to them</u>, but they need occasional assistance from facilitator - Response decided by programme steering group - Independent facilitators undertake report writing - When evaluating the effects of their participation in post BA reflection, COs suggest they gained from networking and confidence, but it has not led to any significant action or shifts in power	- Research questions, data collection and analysis undertaken by staff accompanied by critical independent facilitator - Research questions guided by 'projectable change' impact hypotheses. - Citizen participation limited to expressing opinions as assessees and validating consolidated data - <u>Programme steering committee meeting reports</u> <u>indicate SDC staff and partners listen respectfully to facilitators' presentation of citizens' opinions</u> - No evident empowerment beyond expressing views and opinions. (Note: process could be more empowering if first activity in a participatory planning, M&E cycle for the next phase. E.g. if citizens influence some questions and

		their participation in post BA follow up COs report empowerment and a sense of ownership and give examples of follow-up action	relations	feedback of findings is used to build alliances among different villages and action plans for the next phase)
	Examples of conditions	- Local level project that involves direct delivery with easily observable effects and/or local governance programme in which citizens have shaped programme design and monitoring tools - Implemented in established democracies with relatively egalitarian societies - Some citizens literate and fluent in languages of facilitator, programme staff and officials - Programme Staff have previous experience of participatory M&E - Time and resources not an issue e.g. budget up to typically 25'000CHF for a review and the same for a BA	- Stable, but undemocratic contexts with relatively egalitarian societies - Complex programmes with hard to observe outcomes and relationships, e.g. national level governance work - General and local facilitator support requirements high because programme staff and local people have little previous experience of PM&E - Language translation requirements significant. - Modest resources available in terms of time and $	- Conflict or humanitarian situation in which it is not feasible to engage citizens as assessors or doing so is seen as placing them at risk of harm (see HTN Section 5). - Social structures so hierarchical that engaging citizens as assessors is bound to cater to elite needs more than external evaluation would - Extreme time constraints
Inclusion (of citizen perspectives)	Examples of Quality Criteria	- Perspectives of different types of marginalized groups reflected well in findings.	- Some perspectives of marginalized groups gathered	- Marginalised voices not included because they were not invited (missed in sample design) or elected not to express their views
	Examples of conditions	- Egalitarian societies in which the most vulnerable have equal and trusting relationships with COs, and/or COs sensitive to the challenges facing them - Research design caters to inclusiveness and includes a representative proportion of the most marginalized voices	- Humanitarian, conflict or hierarchical societies in which the most vulnerable cannot and/or will not attend and/or participate in focus group discussions - Power aware assessors, facilitators or implementing staff visit a small sample of the most marginalized households and invite their perspectives in informal interviews or group discussions - Power aware assessors use special methods to access marginalized perspectives (Annex 4)	- Humanitarian, conflict or hierarchical societies in which the most vulnerable cannot and/or will not attend and/or participate in focus group discussions or interviews - Security situation such that assessors not able to meet with marginalized people - Facilitators and/or staff have weak (capacity for) power informed sample designs
Representativeness (of citizen perspectives)	Examples of Quality Criteria	COs or general facilitators' 'methodology' describes a choice of districts, communities and	- Small sample does not manage to ensure representativeness of all of the different groups with different	- Representativeness unclear -there is little information about who was chosen to be an assessee or why

		household selected to avoid factors identified as context specific possible causes of bias, e.g. gender, religion etc related to the particular results and perceptions being sought. - Sample size and design includes representation of different groups - The opinions of beneficiaries; intended beneficiaries whom COs or other researchers think may not have benefited are included. - The views of those not targeted by the programme are included	perspectives - The choice of districts, communities and household selected to avoid some but not all factors identified as context specific possible causes of bias - The opinions of some intended beneficiaries whom citizen observers or other researchers think may not have benefited are included. - The views of those not targeted by the programme are not included	and what this means for representativeness/analysis. - Inappropriate units of analysis, e.g. total population instead of districts chosen for sample stratification etc, so sample size inappropriate and unrepresentative (See Annex 4) - Facilitators and/or staff have weak (capacity for) power informed sample designs
	Examples of conditions	- Facilitator responsible for the design has a) an informed understanding of demographics and power relations in the area informed by previous power analysis, discussions with programme staff and CO and b) uses it together with Annex 4 to inform sample design - Budget available for statistically representative sample or case study design that deals with issues of representativeness robustly	- Facilitator responsible for the design has an informed understanding of demographics and power relations in the area informed by discussions with programme staff and citizen observers and uses it as well as Annex XX to inform sample design - Small budget means it is not possible to use the information to pursue statistical representativeness, but efforts are made in more modest purposive case study design	- Important power dynamics ignored or, because of security situation impossible to apply to sample design - Limited budget so representativeness not possible
Differentiation	Examples of possible Quality Criteria	Perspectives of different groups relevant to the issues being explored are shown in terms of quantitative and qualitative findings disaggregated by relevant categories and reported even when they show a lack of consensus	Findings – beneficiary perspectives are reported by citizen observer, staff or external researchers using simplistic categorisations, e,g, men and women, and age that take no other account of power relations and different experience of programme results	Findings – beneficiary perspectives are reported by citizen observer, staff or external researchers disaggregated by gender, but generally suggest beneficiaries are pleased with the project results
	Examples of conditions	- Strong sample design - Control of research situations! - Careful organisation of data - Sophisticated analysis	- Sample design weak - Further disaggregation was too complex given the nature of field activities, e.g. could not control who came to activities - Citizen observers did not consider it important or found it too challenging	- Chaotic insecure situation in which disaggregation impossible for multiple reasons.

Critical reflexivity	Examples of possible Quality Criteria	When presenting findings, citizen observers and/or general facilitators comment on the strengths and weaknesses of their research in respect of BA principles and any bias due to their positionality	When presenting findings, citizen observers and or general facilitators discuss some of the strengths and weaknesses of their methodology in terms of BA principles, but accounts are incomplete.	When presenting findings there is no mention of methodological challenges, especially those caused by biased samples or biased interpretation by observers and or facilitators
	Examples of conditions	- Those responsible, citizens, staff and/or facilitators are used to thinking about power and have attitudes and capacity to work in a critical and reflexive way	Those responsible, citizens, staff have some understanding of how power relations restrict participation, inclusion and representation	Those responsible, citizens, staff and/or facilitators are unused to, or are unwilling to think about the effects of power on findings produced by BA type processes
Learning and Responsiveness **(Note: if the BA conforms with the principles above and suggests there is no need for a change or response – the low standard quality criteria would be appropriate.)**	Examples of possible Quality Criteria	- Citizens informed of response. - Six months following the BA it is possible to see significant changes in the programme resulting from learning and responses negotiated and documented in the validation workshop/steering meeting	- Citizens informed of response - Six months following the BA it is possible to see some minor operational changes that result from single loop learning to improve delivery negotiated and documented in the validation workshop /steering meeting	- Citizens informed of response - BA response report indicates no action to be taken
	Examples of conditions	- BA timing apt and produces quality findings that prompts good explanatory analysis by programme steering, eg *what happened, how and why*? Analysis used to challenge the impact hypothesis and adapt accordingly -Individuals involved confident, reflexive power aware & prepared to challenge established wisdom - SDC or implementing partner leaders open to admitting failure - Trusting relationships between different actors - HQs responsive in terms of political will and resources required for adaptation	- BA produces reasonable findings but quality of analysis is weak (e.g. descriptive rather than explanatory) and potential lessons and need for response missed. - Difficult context means the findings are difficult to interpret and act upon - Beneficiaries are satisfied, hypothesis holds but delivery mechanisms needs adjustment -Individuals involved willing to admit minor weakness, relationships not strong enough or individuals lack confidence to listen to beneficiary perspective that challenge original hypothesis - HQs only partly responsive in terms of political will and resources	- Beneficiary perspectives suggest programme on track, impact hypothesis holds and little need or benefit to be gained from change - The programme involves very complex relationships that may allow limited opportunity for change within time frames - The analysis of the implications of the findings and questioning of assumptions has been weak - Individuals involved in managing BA are insecure and uncomfortable, admitting weakness, challenging authority and perceived wisdom - Awkward relationships between different stakeholders - Inappropriate timing

Annex 3

Beneficiary Assessment - A Framework for the Swiss Water & Sanitation NGO Consortium (Pilot Phase)

Working document of 24-11-2012

This document aims at developing a common framework for introducing beneficiary assessment (BA) in the Swiss Water and Sanitation NGO Consortium. It describes the rationale for introducing BA in the Consortium, the basic elements of the approach, and common framework elements (key questions, methodological aspects) to be used in the different Consortium projects. It targets the Consortium project teams who would like to introduce the beneficiary assessment approach in their projects.

Table of Contents

1. What is a Beneficiary Assessment? 2
2. Why integrating Beneficiary Assessment in the Consortium monitoring system? 4
3. How to integrate Beneficiary Assessment in the Consortium? 4
4. What are the main steps of / who is doing what in a Beneficiary Assessment? 5
   - 4.1 Planning 6
   - 4.2 Training and validation of the method 10
   - 4.3 Implementation of the assessment 10
   - 4.4 Finalisation of the assessment 10

1. What is a Beneficiary Assessment?

The beneficiary assessment was originally developed by the World Bank (i.e. Lawrence Salmen – BA an approach described):

- BA is a qualitative method of evaluation using systematic consultation of project beneficiaries to investigate their perceptions (ref. social science research)
- BA complements quantitative surveys / traditional data collection methods

Martin Fischler (see Annex I: Beneficiary Assessment – a participative approach for impact assessment proposes an adaptation of this approach) proposes a slightly adapted definition. The BA goes beyond consultation by adding the element of **'peer review'** to assess the effects/impact of development programmes. The main principles of BA are

- Participative, based on peer-review principle (e.g. "farmers assess farmers"…)
- Facilitated process…
- .. but: project staff is "absent" in field phase to avoid bias as much as possible!
- Emphasis on qualitative assessment: What changes / Why?
- Perceptions and views more important than precise data (ref. "… be approximately right".)
- Based on knowledge and experiences of local actors
- PRA methods; triangulation important in analysis

According to SDC (Quality Assurance perspective), Beneficiary Assessment is the identification and analysis of the project results by the people who (should have) benefited and which:

1. reflects the views of people in a fair way,
2. these views are taken into account seriously enough in project steering so that changes can be noticed by people (beneficiaries)

More explicitly:

- BA is about views of people on project results (if relevant this can include project performance and deliveries): BA does not cover "participatory community development processes" in general, it relates to project / program evaluation of results1.
- The BA process ensures that :
    - people can **freely express their views and are listened** without interference from project staff or implementing partners
    - (**responsiveness**) the project design and/or implementation is adapted according to some of the findings of the BA[2]

In this way it is expected that people involved in a BA (both as assessors or "informants") empower themselves through the process, and that project staff and partners improve their practice by reflecting on people's perspective.

In order to be "fair" in the way the views of people are reflected in a BA, some care is needed on different criteria:

[1] as a consciously involved actor (stakeholder), SDC-financed project is entitled to express its interest to include the assessment of the project outcomes as "questions to be evaluated" during the BA. Of course this must be negotiated with the "assessors" and these questions must be formulated in such a way as to be understandable by local people

[2] BA does not assume that people's view is the definitive truth, but the design of BA should ensure that people have the opportunity to express them, to be listened and to be at least partly (as end clients) taken into account

Criteria / principle	What needs to be taken into account, as far as possible
Participation and ownership	▪ There is a continuum from fully extractive to completely participatory, as BA includes the assessment of project results, the framework is not entirely defined by people. This restriction of the participatory space may include other aspects like measuring a couple of (commonly defined) quantitative indicators ▪ The quality of participation and degree of ownership is influenced by: who decide about evaluation question and method, who analyze the results and draw conclusions, it is also linked with the quality of the facilitation, ▪ The people involved in the BA should be well informed and feel free to participate based on their own interest and motivation.
Inclusion	▪ When selecting who will be involved (villages / HH to be visited, but also as "evaluators") in the BA, there is a risk to miss the groups most concerned by the project: people disempowered, vulnerable, deprived or socially excluded. In all cases gender and factor considered the most important for deprivation / exclusion and relevant in terms of benefiting from the project must be considered. ▪ Exclusion can take various apparently innocent forms (the devil being sometimes in the details): literacy and speaking capacities in English (or French …) is practical in running the BA, but as selection criteria it might exclude important person (self selection in some defined groups of peers is often good to elicit outspoken person reflecting the views of the group).
Differentiation	▪ 'views of people' include many perspectives, if designed in a conscious way, a BA can reflect different perspectives, but it should at least consider gender disaggregation and include the viewpoint of deprived / excluded as well as more well-off people.
Representativeness	▪ Geographical coverage of districts/ villages / HH should be based on explicitly declared criteria, trying to minimize bias: random selection, self-selection among a group of peers
Responsiveness	▪ Project managers, partners should be ready 1) to listen to what the "assessors" found (without interrupting them) and 2) to challenge their assumptions (ways of working) and 3) to make steering decision based on such findings

2. Why integrating Beneficiary Assessment in the Consortium monitoring system?

The Consortium members see, among others, the following reasons to conduct a beneficiary assessment within their projects:

- Given the fact that reporting so far has strongly focused on hardware issues (number of water points, toilets, etc.), conducting a beneficiary assessment could enable to complement the reporting with the perspective of the 'beneficiaries', in particular on the added value of software interventions (such as hygiene promotion interventions)
- Even though it may be too early to conduct an impact assessment at this stage, gathering and analysing the perspective of the 'beneficiaries' could support the Consortium in assessing the appropriateness of its project approaches. This would support a reflection on the approaches the Consortium projects are implementing and how to optimise them

Based on these points, the objective of integrating BA in the Consortium can be described as follows

To identify the beneficiaries' perspectives on changes related to water and sanitation issues linked with project support (relevance / usefulness) with a focus on soft factors (e.g. hygiene promotion)

3. How to integrate Beneficiary Assessment in the Consortium?

A phased approach is proposed. A pilot phase will enable a few project teams to get familiarized with the approach. During the 'scaling up' phase, learning from the pilot phase will be disseminated to all Consortium organisations/project teams in order to support replication. The Consortium regional hubs should play an important role in supporting the project teams and sharing lessons learnt at regional level.

A number of project teams already confirmed their interest to participate in the pilot phase (see Notes of Interest in the Annex II by Tdh Bangladesh, HEKS Ethiopia, HELVETAS Swiss Intercooperation Nepal and Caritas Somaliland). Other project teams are also very interested but, unfortunately, due to limited capacity of the team or insecure environment (Solidar, Fastenopfer, Swissaid) will not be able to participate in the pilot phase. IDS/SDC will provide thematic support to the Consortium during the pilot phase (e.g. providing training, coaching of BA implementation in two of the projects; distance support to additional two projects).

Given the locations of the projects proposed so far for the pilot phase, it would be meaningful to conduct one training in East Africa and one in Asia. The regional coordinators should be involved in the trainings and in sharing knowledge/lessons learnt with the other project teams in their respective regions. Partner national/regional organisations may also be involved.

4. What are the main steps of / who is doing what in a Beneficiary Assessment?

The Beneficiary Assessment can be structured in 4 main steps:

Step	Objectives	Role of general facilitator	Role of national facilitator	Role of project staff	Activities
1. Planning (4-6 weeks, low intensity)	▪ Common understanding ▪ Recruiting local consultant and beneficiaries	▪ Explain purpose ▪ Identify main parameters ▪ Prepare/refine framework (key objective, scope)	∅	▪ Exchange with the general facilitator until the concept is fully clear and makes sense ▪ Support local partner organisations to explain the purpose to the beneficiaries and to recruit	▪ Distance coaching by the general facilitator, possibly by phone ▪ Basic decisions are taken regarding the objective and scope ▪ Project staff inform partners, and organise recruitment
2. Training & Validation of method (2 weeks, intensive)	▪ The citizen-observers understand their tasks, develop ownership for the BA, and develop the method	▪ Facilitate the training and the testing of the method in the field.	▪ Support facilitation of the training workshop	∅	▪ Training workshop with support of the local facilitator ▪ Test the method in the field ▪ Finalise the BA method based on the test results and plan implementation
3. Implementation of BA (1-3 months, intensive for citizen-observers)	▪ The citizen-observers conduct the assessment according to the method and planning.	▪ Possibly feedback (at distance) to the local facilitator	▪ Support the process (logistics, coaching)	∅	▪ Citizen-observers teams conduct BA in the selected sites/communities ▪ Citizen-observers share their findings with the communities and communities provide feedback ▪ National facilitator supports the process (logistics, coach citizen-observers, etc.)
4. Finalisation of BA (2 weeks, intensive)	▪ The citizen-observers analyse the results, draw conclusions and prepare their report.	▪ Facilitate the analysis of results, debriefing sessions and the preparation of the report	▪ Data transcription and translation ▪ Organise debriefing sessions ▪ Prepare lessons learnt report	▪ Invite the stakeholders to the debriefing(s), participate and give a feedback to the presentations.	▪ Workshops ▪ Debriefing sessions

4.1 Planning

The following issues need to be tackled in the planning step:

What is the main purpose/overall thematic framework for the beneficiary assessment?

The development of a framework is an important element of the planning step. The framework delimits the boundaries in which the citizen-observers are going to develop assessment questions during the training (what is relevant to them). It is desirable to provide the citizen-observers with a high level of flexibility to formulate their own questions based on their issues of concern and interest. However, as discussed during one of the Consortium BA meeting (20th August), the Consortium members would like to **focus on changes perceived with regard to access to water, sanitation and hygiene**. The formulated objective '**To identify the beneficiaries' perspectives on changes related to water and sanitation issues linked with project support (relevance / usefulness) with a focus on soft factors (e.g. hygiene promotion)**' will be the overall frame communicated to the citizen-observers during the training.

Moreover, it would be desirable to have **1-2 quantitative indicators**. Those could be proposed by the facilitator during the training. However, they should not be imposed but could be brought in the discussion and negotiated/adapted in the discussion with the citizen-observers.

Recommendations

- A clear but broad framework should be formulated and communicated to the citizen-observers. This common framework should enable the Consortium to gain insights on the beneficiaries' perspectives on Consortium-specific issues. The framework, however, should be broad and give sufficient freedom to the citizen-observers to formulate their own assessment questions based on their perspectives of what is relevant to them
- Based on previous discussions within the Consortium, the overall framework could be: **To identify the beneficiaries' perspectives on changes related to water and sanitation issues linked with project support (relevance / usefulness) with a focus on soft factors (e.g. hygiene promotion)**.
- Furthermore, it would be useful to have **1-2 quantitative indicators** for the assessment. Those quantitative indicators could be proposed by the Consortium (to be discussed, negotiated, adapted during the training) or developed based on the beneficiaries' propositions

What is the geographical area of the beneficiary assessment?

This mainly depends on the representativeness of one unit. For example, if the project area covers three districts and the results of the assessment are expected to be similar in all three districts, the assessment can be limited to one of the three districts. In this case, particular care must be given not to draw wrong pre-conclusions! However, if significant differences can be expected, for example if one of the districts is more isolated (remote) than the other two, then it is advisable to conduct the assessment in two of the districts in order to grasp these differences.

Recommendation

- Select the geographical area so as to consider potential differences and ensure representation of different situations

What are the tasks of the citizen-observers?

The citizen-observers collect information from beneficiaries and non-beneficiaries of the Consortium projects according to a framework to be defined during the training.

The main tasks are the following:

- Participate in the training conducted by the general facilitator
- Support the development of the framework and the assessment tools
- Conduct pilot studies in the field with the support of both the national and the general facilitator

- Conduct the assessment e.g. in groups of 3? peers, each group in 3? Communities, by discussing with a range of beneficiaries and non-beneficiaries
- Record data in the field based on the method jointly developed during the training
- Facilitate visualisation of discussions during the assessment
- Establish a record of visits during the field period
- Meet with another group of citizen-observers after the 3-day visit in one community in order to exchange and discuss on results and experiences
- Deliver information to the national facilitator for data collection, translation into English and consolidation
- Participate in a data analysis workshop and in a debriefing workshop

The citizen-observers' tasks will be spread over 4? months

- Participation in training and pilot assessment in the field: 1 week
- Assessment: 3 weeks per group
- Participation in the analysis and debriefing workshop: 1 week

Deliverables:

- Visualisation of the assessment results in local language
- Audio record of the discussions

What are the criteria for the selection of the citizen-observers?

In general, approximately 20 citizen-observers (around 15-30) should be appropriate. However, this depends on different factors such as the time available for the assessment, sample size, area, level of BA conducted. If time is very limited for example, a higher number of citizen-observers will be needed so that a higher number of citizen-observers groups can work in parallel. A higher number of citizen-observers also means a bigger effort for training and integrating findings (but should not be excluded for this reason).

The selection criteria should build on the local[3] categorisation (differentiating social groups according to poverty / wellbeing, inclusion / exclusion …) of beneficiaries: e.g. men/women, disadvantaged groups/non-disadvantaged groups, etc. They should also be defined in function of social groups to be 'observed'. Selection criteria in terms of required capacities of individual citizen-observer should be formulated. It is recommended not to use too many criteria for differentiation.

Recommendation

- Ensure representation of the different social groups
- Build up the selection of citizen-observers on the results of a stakeholder analysis (at the local level)

In the case of Nepal for example, three main categories of local stakeholders have been identified: i) the water and sanitation users, ii) the water committee members, iii) the trained labourers such as maintenance workers, latrine builders, etc. However, the changes aimed at by the project mainly target the users (improved living conditions through improved access to safe water and basic sanitation). Moreover, in the case of Nepal, representation of men/women, disadvantaged and non-disadvantaged groups should be considered.

The citizen-observer's profile can be summarised as follows:

- Availability during the assessment period

[3] Agreed within project team / plausible from ordinary people's perspective

- Writing & reading skills???? (e.g. one of the three peers per groups should be able to read and write)
- Representatives of the different social groups (women, men, DAG, non-DAG, young, old, leaders, simple citizens, representatives of user committee, simple users, etc.)
- Be open and ready to respect other views and work with different categories of beneficiaries

Question for further discussion

The type of involvement of local stakeholders of the categories ii) and iii) should be considered when building the groups of citizen-observers.

- Including members of water committee &/or trained labourers in citizen observer (simple users) groups or

- building separate groups of peers

There are advantages / disadvantages of each. If a difference of perspective between these groups is of importance for the BA the differentiation should be done else we should keep the setup as simple as possible

- What are the requirements to guarantee social inclusion among the citizen-observers?

What is the process of recruiting the citizen-observers?

At this stage, it is already very important to reduce biases. 'Technicians' (e.g. staff of local NGOs living in the villages) would be in a very good position to contact the population and explain what the beneficiary assessment is about. However, risk of biases is high. **An approach could consist in asking the technicians to recruit in the other villages (e.g. technician of village X recruit beneficiaries in village Y) in order to reduce selection biases** (random selection of beneficiaries considering the criteria mentions above).

Another option could consist in using a **mix of 'self-recruitment'** (in the sense of proposed citizen-observers by villages/organizations) **and a second opinion of technicians** based on the differentiated selection criteria.

Recommendations

- Recruitment of the citizen-observers is a crucial phase and **attention must be paid to reduce biases as much as possible!**
- The quality of the explanations given to the population/beneficiaries during recruitment is key to the success of the beneficiary assessment
- The project teams should prepare short texts describing what the beneficiary assessment is about (why, how, how long, etc.)
- The project teams should not be involved in recruitment in order to reduce biases
- The technicians could be involved in recruitment but not in their own villages
- A mix of self-recruitment and second opinion of technicians could be an option
- Awareness of the technicians about risk of biases should be raised

Who is playing the role of general facilitator?

In the pilot phase, IDS will support the Consortium as general facilitator in two projects, one in Asia and one in East Africa. The Consortium regional coordinators of those regions will be involved in the BAs facilitated by IDS (on the job training). They will then play the role of general facilitator in the other two projects in their respective regions (second project in Asia and second project in East Africa). IDS will provide distance backstopping support to the regional coordinators in Asia and East Africa when conducting the second round of BA (second project in Asia and second project in East Africa).

What are the tasks and the profile of the national facilitator?

- Ensure translation during the training and the method testing phase in the field
- Ensure organisation of logistics: for the assessment by the citizen-observers in the field, the debriefings of the citizen-observers in the main village of the zone, the analysis and debriefing/validation workshops with the project team
- Ensure that the agreed upon planning is respected and maintain a register of visits/interviews by the citizen-observers during field work
- Collect data (from the citizen-observers) and translate it (without analysing nor interpreting)
- Record and file data (pictures, audio records, etc.)
- Consolidate data for each group of citizen-observers and for all citizen-observers
- Maintain regular contact with the general facilitator by e-mail or skype every 10-15 days
- Organise the debriefing of the final assessment results in collaboration with the general facilitator who will be responsible for the content

It is important to understand that the national facilitator is **not** responsible for data collection or for facilitating the discussions led by the citizen-observers. **The citizen-observers should be responsible for and own the process**. The national facilitator should thus demonstrate a high understanding and acceptance for participatory principles. She/he should be ready to support the process in a flexible manner according to the needs of the citizen-observers.

The national facilitator should deliver the following outputs:

- The transcription of the discussions in the field translated into English including visualisation materials produced by the citizen-observers during the assessment
- The consolidated forms per group of citizen observers and for all groups
- The collected pictures or other audio-visual materials
- An analytical report of how the assessment has been experienced in the field with the citizen-observers: what has worked well and what has not worked well, lessons learnt

The assessment period will last over 4? months

- Make contact with, train citizen-observers and support (logistics, etc.) pilot assessment in the field (2 weeks)
- Coach the citizen-observers during the assessment (over 2-3 months)
- Support in analysis and presentation of the results (2 weeks)
- Report writing on the experience in the field

The national facilitator organises the assessment planning in such a way that she/he can follow the surveys of all citizen-observers. The planning is thus spread over 2 months but a citizen-observer will effectively work during about 2 weeks.

Question for discussion: Expected profile of the national facilitator

- Experience with participatory approaches
- Experience with facilitating group works
- Patience and ability to work with teams of different capacities
- General knowledge of rural development issues as well as evaluation
- Knowledge of the assessment zone (region)
- Ability to work with different computer softwares (Word, Excel, etc.)
- Skills for organisation and logistics
- Capacity to translate into English

What is the timeframe and what is the budget required for the BA?

The timeframe is approximately 3-4 months but this depends on the specific methodology used in a specific assessment. This period comprises more or less intensive phases (see Table 1).

The specific budget should be assessed by each Consortium project team participating in the BA pilot phase considering costs for

- logistics&materials: transport, training, final workshop, recording materials, etc.
- remuneration of the citizen-observers (= their 'usual' income)
- remuneration of the national facilitator
- remuneration of the general facilitator

In case the Consortium budget reserved for the regions (regional workshops and remuneration of the regional coordinators) is not entirely spent, the remaining budget could be used to (co)finance the beneficiary assessment pilot phase.

How to clearly communicate the idea/purpose of the BA to the local partners and beneficiaries?

Another important issue is the **quality of the explanation of what the beneficiary assessment is about** (explanation to be provided to the beneficiaries).The Consortium **project teams** (with the support of the Consortium focal points in Switzerland participating in the preparation of the BA framework) should prepare a short text to support good quality explanation of the beneficiary assessment. This short text should describe i) the objectives, ii) the conditions, iii) the time required, iv) the compensation[4] (it should be in the same range as what the beneficiaries earn with their farm work; paying more would again bear the risk of biases). Raising awareness of the technicians regarding biases is crucial. The

4.2 Training and validation of the method

The details of this chapter will be discussed at the next meeting

4.3 Implementation of the assessment

Questions for further discussion

- How many HH should be included in the BA?
- How many citizen-observers should participate in the BA?
- How are the citizen-observers groups built (3 peers from 3 different communities or other model?)
- Do the citizen-observers work in their own communities or not?
- In how many 'cycles' (3 communities?) does each citizen-observers group participate?
- Etc.

4.4 Finalisation of the assessment

The details of this chapter will be discussed at the next meeting

[4] It is important to note that the citizen-observers are not paid to gather project-related information.

Applying a Power Lens in BA: Tips and Tricks Annex 4

INTRODUCTION

Managing and facilitating a beneficiary assessment (BA) requires a basic understanding of how power operates within programme management structures, as well as among citizens that projects and programmes seek to benefit. This is a simple guide to prompt thinking about how particular operations of power might affect the achievement of various BA aims and principles. Ideally it should be applied together with findings from an in depth power analysis undertaken to inform country strategies. However, even without an in depth analysis, applying common sense knowledge about power at different stages in a BA can make a significant difference.

Different parts of the guide are for different actors involved in a BA. For example, the first few sections concerning decisions about whether to conduct a BA and the last ones about arranging validation workshops and sharing responses with communities are for SDC and implementing partner programme managers. Those related to the choice of citizen observers and sample design are more relevant for general facilitators. Sections on thinking about power during critically reflexive analysis of findings and writing of reports are to assist the general and local facilitators. Discussions about how a power lens can help interrogate what findings suggest about an impact hypothesis are potentially relevant to citizen observers, general facilitators and programme staff.

DIFFERENT UNDERSTANDINGS OF POWER

The considerable academic literature discussing what power is and how it should best be conceptualised can be overwhelming for busy practitioners. However it is an important idea and a common sense approach to thinking about the different ways in which power operates can be very helpful.[1]

Forms of power

- **Power over** – domination or control e.g. parents over children, or governments over citizens
- **Power within** – self-worth, e.g. might be gained through awareness of rights
- **Power to** – individual ability to act e.g. when citizens have awareness raised about rights to participate
- **Power with** – collective action, young people working together through civil society organisations to promote realisation of their rights

3 faces of power:

- **Visible power**: formal decision-making mechanisms
- **Hidden power:** not inviting people to attend meetings, keeping certain groups' issues off decision making agendas, arranging community meetings during school time or in the evening when women can't attend
- **Invisible power:** social conditioning through cultural traditions, ideology, etc that shapes the psychological and ideological boundaries of what seems possible, e.g. recipients feeling they can't challenge donor decisions.

For some, forms of power are all about **agency** and intention- something that people and institutions can hold, wield, lose and gain. For others, power is embedded in all relationships, institutions and systems of knowledge, and is part of the way societies and cultures work.

[1] The discussion of power draws heavily from Pettit, J. (2012) Empowerment and Participation: bridging the gap between understanding and practice http://www.un.org/esa/socdev/egms/docs/2012/JethroPettit.pdf. A More detailed discussion of power and power analysis can be found at http://www.powercube.net/analyse-power/

This view of power focuses on **structure** or the social norms that enable and constrain thinking, action and behavior. It can be formal or informal and is often reproduced unintentionally. Formal structural power is visible in the form of institutions that that mediate relationships with those who have legitimate authority and those who are subject to it and the rules that define what is acceptable and not. It can also operate in more informal and less visible ways e.g. through cultural practices internalized through socialization at a young age or learned later on. Informal power often produces inequalities or feelings of powerlessness that are accepted and taken for granted, for example relationships between men and women; children and adults; different castes; donors and recipients etc.

Those engaging in BA need to consider how both agency and structural operations of power in the contexts where they work might reduce participation, inclusivity, representation, reflexivity and responsiveness at each stage in a BA and seek ways to mitigate such risks.

CONSIDERING UNDERTAKING A BA

The main objective of undertaking a BA is to enable learning about citizens' perceptions of programme results to increase accountability, responsiveness and effectiveness. It is argued this requires 'double loop learning', being able to have one's assumptions challenged and learn from weakness and failure. Yet despite this understanding the tendency of development agencies to seek 'good' or 'best practice' indicates that learning is shaped by power and incentives to learn from failure are weak. Engineers Without Borders are one of the few organisations that have gone public with such efforts.[2] Many others are concerned that admitting weakness to donors may put organisational or personal income and or status at risk.[3] Similarly, more powerful organisations like donors and their leaders are notoriously bad at reflecting on their own power and sharing mutual responsibility when programme assumptions prove weak and expected outcomes are not attained.

Power accountability and mutual responsibility

Rosalind Eyben argues the current *substantialist* aid paradigm considers accountability actors as discrete entities, which means mutual accountability is about strengthening mechanisms for regulating behavior between autonomous parties. An alternative *relational* view, more consistent with complexity science, understands each actor involved in an accountability relationship as mutable, shaped by its position in relation to others. Associated with these 2 perspectives are different concepts of power. Whereas a *substantialist* view of mutual accountability encourages notions of more powerful donors or INGOs holding recipients accountable, a relational view acknowledges interdependencies between actors and sees power as more diffuse. This encourages a notion of evaluation and learning systems as ways to enable mutual responsibility through encouraging various actors to consider the effects they have upon each other and the wider system they hope to change, but of which they are a part.[4]

Lessons from participatory monitoring and evaluation suggest that BA will only enable meaningful learning if it is possible to establish trusting relationships between different groups of actors involved.[5] Establishing the kind of trust necessary is particularly difficult in relationships between donors and international NGOs; international NGOs and local NGOs or local government officers; and local NGOs and communities. This is because they involve flows of money and knowledge that act as informal structures that create power inequities. Thus, the very suggestion by a donor headquarters or a INGO headquarters to conduct a

[2] http://www.admittingfailure.com/

[3] A forthcoming paper by Alnoor Ebrahim on NGO accountability argues that there is a relationship between the nature of relationships with donors and the ability to admit weakness and learn.

[4] Power, Mutual Accountability and Responsibility in the Practice of International Aid: A Relational Approach http://www.ntd.co.uk/idsbookshop/details.asp?id=1048

[5] Chapter 17 http://siteresources.worldbank.org/INTPCENG/1143331-1116505657479/20509240/learnfromchange.pdf

beneficiary assessment may be seen by people working for local organisations, or even the local offices of international NGOs as potentially threatening, or something they have to 'comply with' even if they are unconvinced of potential benefits. Such issues are important to consider when contemplating a BA – other stakeholders need to be brought on board, motivated and made to feel joint ownership of the process as early as possible.

Key questions for motivating stakeholders an establishing trust in BA relationships:

- Who are the different stakeholders that will be involved in the BA, e.g. INGO headquarters, INGO country offices, local government officers, local NGO staff, community based organisations, 'ordinary citizens'?
- What are the power and accountability relationships between them? Who could end up assessing whom for what and could this lead to sensitivities? E.g. will a BA place an INGO's local partner under the spotlight in terms of quality of service delivery assessment?
- Are there any particular power structures, formal or informal operating in the context that might influence the nature of their engagement and BA results?
- Is there any risk that email communications, that can lead to misunderstanding in cross-cultural relationships might make it difficult to 'strike the right' note? How might risks of miscommunication and misunderstanding be avoided?
- How can initial discussions about the BA be structured to engage all of the actors, create a sense of ownerships and prevent any groups feeling threatened?
- Is there anything that more powerful actors, e.g. SDC can do to create trust and a safe space necessary if we are really to listen and learn from beneficiaries, e.g. by communicating that we will share responsibility for success or failure?
- If findings could raise issues that threaten certain groups, can we get them 'on the table' early on to prevent attempts to stifle them during the BA?

WHEN CHOOSING CITIZEN OBSERVERS

There is a considerable academic literature that suggests activities such as BAs risk capture by elites who can intentionally (through agency) and unintentionally (a function of existing structures and power relations) introduce bias and prevent the achievement of representativeness and inclusiveness aims. As the BA HTN suggests, this can be a particular risk in humanitarian or conflict situations when those perpetuating the conflict might want to control BA results. But power can also operate in more 'hidden' ways e.g. if speaking the national language or literacy and writing skills are a basic competency required of citizen observers.

Attempts can be made to engage more marginalised people as citizen observers, e.g. trying to ensure at least some women are involved. However in some cultural contexts efforts to ensure assessor groups are as representative as assessees may backfire either because it is not possible for more marginalised groups to participate, or because they don't have the skills and confidence to undertake the research.

If it is impossible or unhelpful to engage more marginal people as observers, the effects of elite capture may be mitigated through careful sample design and research methods, e.g. a survey approach. However it is important to recognise that reducing selection bias in this way will not necessarily reduce response bias. Operations of invisible power may make survey respondents answer questions in ways assumed to please the assessors. Though ensuring assessors are not personally known by assesses is an approach to reduce this risk, in highly structured societies where assesses perceive relative power in more general terms of ethnicity, dress, language use, etc, eliminating the risk of personal connections will not entirely remove bias. Considerations about the pros and cons of choosing different citizen observers and assessors are very context specific and should be made with reference to questions below and also reflections on questions raised in the section on sample design and research methods.

Citizen observers – getting the power balance right

- How does formal and informal power operate in this context and how is it likely to affect the nature of the people nominated to be citizen observers?
- What biases are likely to result from this choice of citizen observers? Are they significant and could they be reduced through particular sampling approaches and research methods?
- Is it necessary to try and select different people from those likely to be nominated? Is that practically possible and will it necessarily lead to better quality findings?
- How can the local facilitator help to mitigate or capture any effects during the process of research, e.g. mitigation during training or capture through the use of debriefing documents (below).

WHEN DESIGNING SAMPLES AND SELECTING RESEARCH METHODS

Every BA, no matter how simple involves choices about who to speak to which can be described as a 'sample design'. As BAs seek to encourage representativeness, inclusion and differentiation it is important that such designs are based on consideration of how different groups in a programme area may experience and perceive programme benefits in different ways. As mentioned earlier, power structures that cause poverty and exclusion make the poorest and the most vulnerable the least likely to benefit from improved government or aid agency programmes. They tend to live in remote areas, which can make costs of participating in activities held in the centre of communities where the most powerful live expensive, and difficult because of hidden power people discriminate against them. They may not participate because of invisible power and the internationalization of low self worth.

Assumptions about the relative ability of different groups to participate and benefit should also influence sample design and methods. The stratification and selection of respondents for surveys and participatory methods should be guided by power analysis. Some designs may use random sampling and disaggregate data. Others may take 2-stage design that purposively stratifies the population into groups expected to benefit in different ways and then tries to involve some randomization within the groupings.

To increase representativeness, as well as thinking about hierarchies of units of analysis, e.g. x number of communities in y districts, the power aware design will also consider horizontal strata. Horizontal strata operate at the same level but are grouped according to specific characteristics thought to have an effect on the issues of research interest e.g:

- Possible criteria to group villages: proximity to roads, main incomes or livelihood options, religions, political affiliations of local leaders etc,
- Possible criteria to group individuals: Men, women, age, class, disability, ethnicity, religion, levels of education, sexual orientation.

Unfortunately there is no magic formula to determine the correct sample size and composition. The complexity and nature of sample designs and how representative they are vary significantly depending on research questions, programme attributes, population demographics and power relations within and between target groups.[6] As a general rule of thumb, sample design complexity increases the more heterogeneous the general population is and the more criteria you use to define your particular target groups.

As the use of participatory statistics gains in popularity, participatory methods are being used more 'rigorously' in terms of sampling and efforts to standardize tools, methods and human capacity to facilitate. Participatory approaches usually rely on voluntary participation of individuals. They provide researchers less control in defining who takes part in group activities and separating people from different horizontal strata. It is in principle possible to apply the strata discussed earlier to a community mapping to develop a sample frame to

[6] More user friendly information about sampling and other evaluation tasks can be found on http://betterevaluation.org/plan/describe/sample

select participants randomly. But that is likely to be time consuming and difficult. An alternative is to apply the strata to arranging research encounter groupings comprised of those who turn up, noting down how and why each person was invited.

The best groupings and processes will result from the knowledge of facilitators who 'hover on the threshold.' [7] These are people who understand local contexts and local power relations well, but are unconstrained by them and able to apply critical reflexivity to challenge local people in culturally sensitive ways. Although such approaches can reduce response bias caused by powerful individuals dominating discussions, it may not eliminate them. Data collected through participatory methods can be usefully triangulated by some purposive interviewing of poor and marginalized groups at their homesteads where they are less likely to be intimidated and subject to pressures that influence their responses.

Participatory approaches tend to be open about who provided the information and encourage acknowledgement of sources. This can produce response bias if issues being explored are sensitive. Means to reduce such bias include inviting people to give responses – can be drawings- on scrunched up pieces of paper, which the facilitator synthesizes and feeds back to the group for debate. For scoring exercises individuals can score secretly to avoid one person influencing the score given by another

Given BA's principle of critical reflexivity it is important that any use of participatory methods is accompanied by a *debriefing document* that provides a framework for recording standardized information with the same level of methodological detail across all sites. Each research encounter should not only include notes about who was there, but also how the particular participants the behavior and group dynamics including power relations might affect the interpretation. A local facilitator who understands contexts can play a key role in helping develop this approach.

How does awareness of power reduce bias and increase differentiation?

- What is the population of interest, and what are the most relevant strata given the nature of the programme, intended beneficiaries and non-beneficiaries, and power relations between different groups?
- What should the sample's composition and size be given the impact hypothesis and implicit assumptions about differentiation - how different groups are likely to have variously experienced benefits? Should representativeness, inclusion and differentiation be explored though purposive stratification of the population in terms of how different groups are anticipated to have benefited, or through analysis and disaggregation of data from a random sample?
- What are the most appropriate research methods to minimise response bias given the nature of the issues being explored and relationship between assessors and assessees?
- How can tools like debriefing documents and local facilitators' knowledge be used to reduce or capture response bias?

DATA ANALYSIS AND CRITICAL REFLEXIVITY

The nature of analysis carried out on the data depends on the type of data and the objectives of the study, not on the tools used to collect the information. It is useful to think about coding and descriptive analysis of findings perceptions of change as distinct from explanatory analysis that seeks to use findings to explore how and why changes occurred. Descriptive and explanatory analysis will be influenced by research questions and or local impact hypotheses. However, this does not preclude the use of inductive analysis to identify emerging unexpected patterns of interest to citizen assessors.

[7] This terminology is used by Rosalind Eyben to describe her role as an ethnographic academic researcher who is occasionally invited into DFID, her former employer to facilitate discussions, learning and change.

General facilitators may find that the BA principles of participation and ownership by beneficiaries that caution against interference cause dilemmas during the beneficiary analysis process. This is likely to be a particular issue if a facilitator feels:

- findings and debriefing documents suggest a lack of useful differentiation, and/or strong selection or response bias;
- the assessors' analysis and testing of their impact hypothesis is shaped by local interpretive horizons constrained by informal operations of power, e.g. gender norms are so naturalized that assessors do not recognize how or why women have not tended to benefit and/or participate in a BA.

It is important that the general facilitator perceives their role as a critical friend and challenges simplistic interpretations of results that prevent assessors learning from challenging their assumptions and questioning power relations that projects aim to change. The BA principle of critical reflexivity means that a general facilitator must introduce questions that encourage citizen observers to reflect on the strengths and weaknesses of the data and how the possible effects of their power on results. Similarly, the researcher must describe his or her intervention in analytical processes and probable effects on analysis and conclusions in the Programme Steering validation meeting and writing of reports.

How to use an awareness of power to enhance reflexivity, the quality of analysis and learning:

- Is there an evidence bias in the findings? How can assessors be constructively challenged to talk about it?
- Are the interpretive lenses they are using blind to operations of power that are preventing programmes having desired effects. Are there any power tools, e.g. the ladder of participation that could be introduced to enhance their analysis and understanding?
- Do the questions designed for programme staff to consider how power relations affect change and challenge their assumptions (below) have utility for citizen assessors?
- Are assessors aware of their own power as interpreters? Is it helpful to encourage them to reflect on this?
- How do/have facilitator interventions influence/d the analysis? Is this captured in process notes?

FEEDBACK TO CITIZENS FOR VALIDATION AND EMPOWERMENT

Following initial analysis by assessors, consolidated findings and recommendations should be fed back to citizens for validation (or objection) in ways that can empower, mobilize, and facilitate alliances between various actors to enhance the impact of the response. It is important that less powerful people have space to 'object' in the meetings.

Operations of power can be very contingent and context specific. An individual's experience of power and how it affects his/her behavior is not only influenced by static structures like caste, education etc but also by the particular spaces they find themselves in at any moment in time. Work with youth in Kenya shows how young people's confidence to challenge government actors were influenced by where meeting were held and by who was there.[8] Women often find it difficult to attend meetings because of opportunity costs. Such issues need to be considered when planning a validation workshop. General and local facilitators will play key roles in deciding how this should best be organized given their knowledge of findings and observations of power relations between assessors and different groups of assessees.

[8] Mvurya Mgala, S. and Shutt C. Expressions and forms of power in youth governance work, PLA 64 http://pubs.iied.org/pdfs/G03205.pdf

How can power that might prevent assessees 'participating' and 'objecting' be minimized?

- When is the best time to hold the meeting? Will the timing prevent any groups attending?
- Who should be invited and where it should be held to maximize the possibilities of assesses validating and or objecting?
- How should the meeting be chaired and structured to maximize opportunities for participation?
- Can the meeting be used as a venue for mobilizing, action and creation of 'power with' to respond to issues of beneficiary concern that have emerged from BA findings?

PLANNING A PROGRAMME STEERING VALIDATION WORKSHOP

Validation workshops are subject to the similar operations of power as community level validation exercises although they are likely to affect different groups of individuals. Community assessors who are very confident within a community based organisations may feel relatively powerless in a meeting with senior government officials and or donor and INGO staff. Such issues need to be considered when planning a validation workshop that aims to create a space in which citizen assessors' voices are heard.

How can power that might prevent us learning from citizens' perspectives be minimized?

- When is the best time to hold the meeting? Will the timing prevent any groups attending?
- Who should be invited and where it should be held to maximize the possibilities of beneficiaries being listened to respectfully?
- How should the meeting be chaired and structured to prevent interruption and ensure the sharing is empowering for citizens and that findings and conclusions are fairly heard?
- Is it appropriate for SDC and direct partners to explore how the findings fit with their assumptions and impact hypothesis at this meeting or should another workshop be arranged?

WHEN TESTING AN IMPACT HYPOTHESIS

A power lens can be used to help test the validity of assumptions underpinning impact hypotheses, while also aiding the identification of factors that facilitate or hinder change. Common weaknesses in the assumptions of many development programmes are that they assume people have more agency and 'power to' than they do in practice, e.g. that increasing access to seeds, technology or information will be sufficient to transform their lives. Such programmes do not tend to pay sufficient attention to power informal structures that prevent transformation. Some questions that can be used to identify operations of power that enhance and frustrate change are provided in the text box below to stimulate discussion during the interrogation of the impact hypothesis in light of beneficiary perceptions.

How did operations of power affect change and are they reflected in our impact hypothesis?

- What internal (programme) and environmental factors contributed to realizing change, e.g.:
  - Power within: the programme gave people opportunities to imagine different ways of being or knowledge and understanding of rights
  - Power to: new knowledge and technical skills allowed groups to act in different ways
  - Power with: good relationships between various actors enabled cooperation and empowerment through collective action that amplified impact
  - Relative economic status and opportunities of those involved meant they could afford to participate
  - Decentralisation & deconcentration of power to local government units changed power relations and provided new opportunities for citizen participation and empowerment
  - Resistance: anger and the desire to challenge inequitable power relations led to change
- What operations of power were obstacles for change e.g.:
  - Informal power structures operating through social cultural norms: e.g. elite capture of project resources, community organisations or vested interests prevent participation of ordinary people in different ways e.g. through use of cultural discourse, proverbs or beliefs in witchcraft etc
  - New knowledge does not lead to the kind of power within required to overcome invisible power and feelings of low self worth

- Formal power structures within the state mean local civil servants are relatively impotent, e.g. they cannot collect taxes or do not have resources to respond to community demands
- Lack of resources: poor economic status and opportunity costs of participation
- Historical lack of trust and cooperation between different groups prevented 'power with'

- What do factors identified above suggest about the validity of our assumptions and impact hypotheses? What have we learned? What do we need to change to enhance impact?

REPORT WRITING

Developing reports that speak to the interests, needs and realities of different actors at different levels of aid chains structured by power relations can lead to loss of detail and appearance of apparent consensus where is does not exist. This undermines BA principles of ownership, differentiation and critical reflexivity and reduces opportunities for organisational learning. Moreover, as *'How wide are the ripples? From local participation to international organisational learning'* suggests power relations create risks of self-censorship as drafts of participatory reports are edited for use further up the aid chain.[9]

A critical review of the BA report draft should be the final iteration in the analytical process that aims to ensure it is not biased by the views and research experience of the authors. Ideas in the text box below can be used to ensure opportunities for learning at different levels are not compromised by effects of structured power relations in aid relationships.

Towards a critically reflexive participatory report writing style:[10]

- Does the report employ reflexivity to give readers an idea of who the author is and how his/her interpretive lenses/biases have shaped analysis throughout the piece?
- Are different perspectives and interpretations made clear by the use 'I' or 'we' to communicate authorial interpretation, and reported speech the perspectives of other groups?
- Is analysis and sense making by citizen assessors or key informants clear?
- If assessor opinions differ from assessees, is this clear?
- Is there a risk that effort to present consensus has obscured perspectives of the less powerful? Are objections to main analysis or conclusions included to increase 'objectivity'?
- Are details of the methodology that make clear its limitations from the perspectives of 'beneficiary assessors' and the general facilitators included, separately if necessary?
- Does the report mention important issues and hypotheses that have emerged but not been fully explored as questions for reflection and further investigation?

RESPONSIVENESS FEEDBACK & EMPOWERMENT

SDC commits to communicate the BA response back to citizens. The questions below have been designed to ensure decisions about how to do this are informed by an awareness of power. In instances where BAs reveal that the poorest have not benefited from programmes as much as they should have, the following questions require special consideration.

How can we communicate responses to the least powerful?

- Given power dynamics identified during sampling and/or reinforced by BA findings, how can the results of the validation meeting and or subsequent meetings, i.e. the response be shared back most effectively to those who need them?
- Will publishing on public notices or any other communication method chosen by assessors be accessible to the most marginalized? Are there any special measures that need to be taken, e.g. programme staff travelling to remote areas to communicate new phase programme plans?

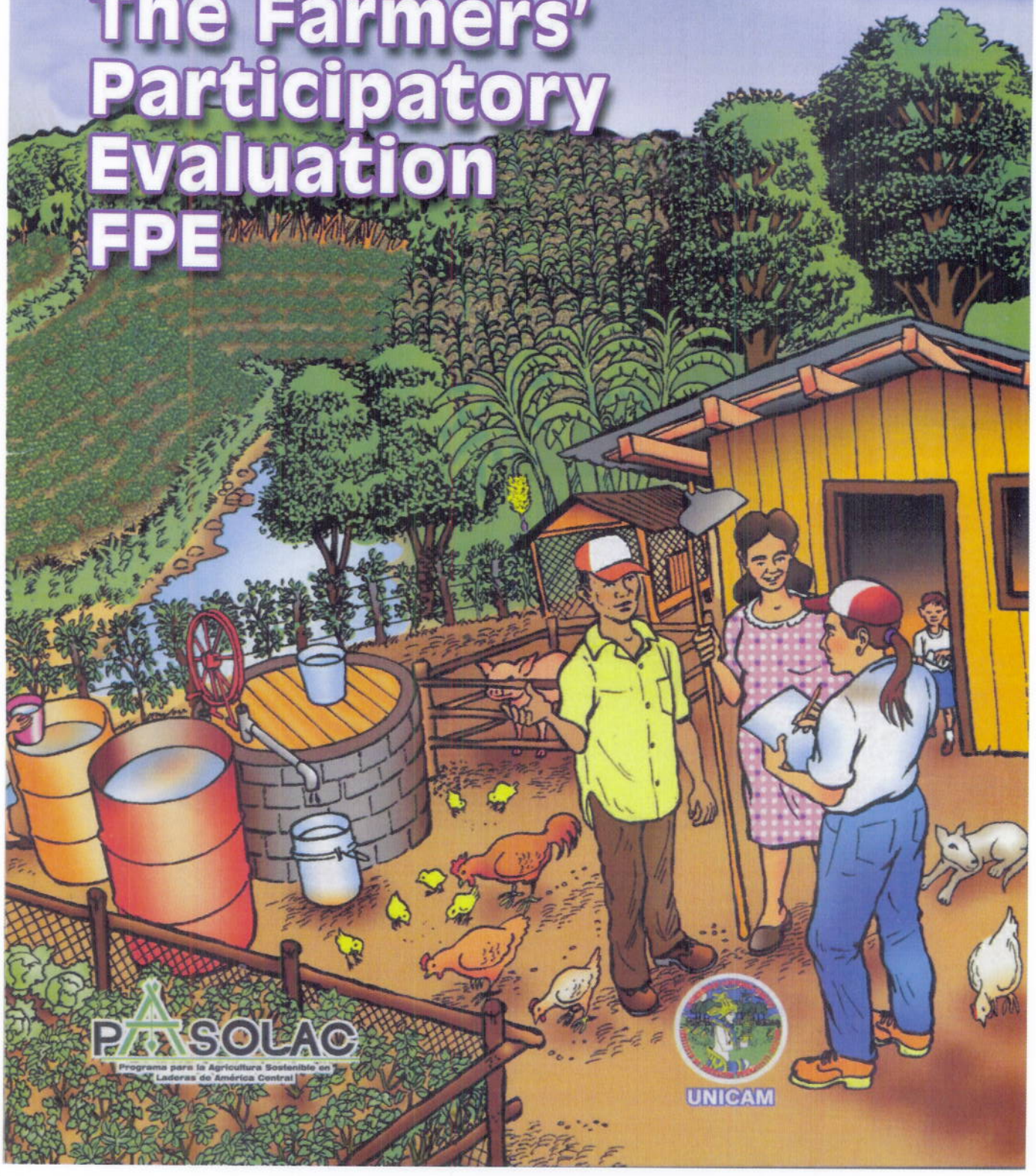
[9] PLA 63 IIED http://pubs.iied.org/pdfs/14606IIED.pdf

[10] Adapted from Shutt, C (2011) Whose Accounts? PLA 63 IIED http://pubs.iied.org/pdfs/14606IIED.pdf

Annex 5

A methodological guide to evaluate the effect and impact of technological development

The Farmers' Participatory Evaluation FPE



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1. COMMUNITY PARTICIPATION
2. EVALUATION OF PROJECTS- GUIDE
3. RURAL COMMUNITY DEVELOPMENT
4. AGRICULTURAL DEVELOPMENT

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y la Cooperación

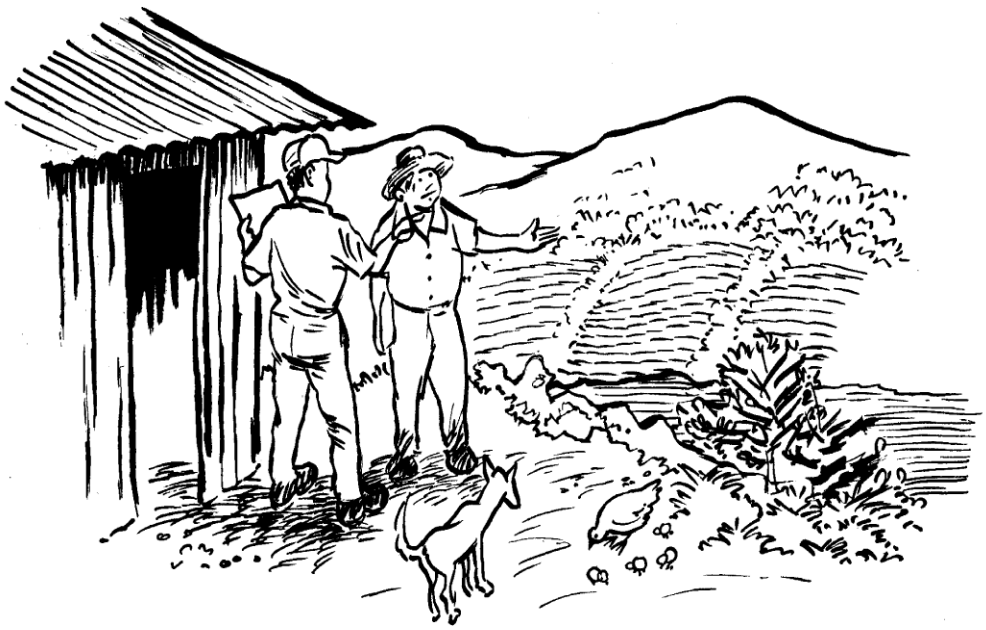
Presentation

The Farmers' Participatory Evaluation (FPE) is a tool for internal evaluation made available to organisations by the "Programa para la Agricultura Sostenible en Laderas de América Central" (PASOLAC) to evaluate in the field the achievements obtained through the implementation of agricultural projects. The FPE is an easily applied methodology that directly involves men and women farmers, as well as communities, in the generation and analysis of field information.

As with any development process, the FPE has its limitations as it involves many participants; its cost is relatively high (but not lower than traditional external evaluations), and it requires certain capacity to document immediately the field observations and the final results of the whole process. However, these limitations are not so important as to impede its implementation.

This first edition has been put together by revisiting PASOLAC's experiences in Nicaragua, Honduras and El Salvador, evaluating the effect of the soil and water conservation (SWC) technologies which are promoted by partner institutions. This edition also includes national experiences made with the methodology by institutions which want to know about the progress made in the adoption of the technologies they are promoting.

With this guide, PASOLAC aims to contribute to the strengthening of methodological capacities of the organizations and institutions that collaborate with the farmers who seek better livelihoods from their own hillside production systems by introducing technologies which are appropriate for the restoration and conservation of soil fertility and water availability for crops.



This is an extract from the full document

(which can be found under
http://www.poverty-wellbeing.net/en/Home/Addressing_Poverty_in_Practice/Beneficiary_Assessment_BA/How_to_design_and_implement_BA)

Chapters

III	**Actors of the FPE and their respective role**	**17**
1.	The Institutions	18
2.	Farmers as evaluators (promotores campesinos)	19
3.	Farmers to be evaluated	20
4.	Areas and communities to be evaluated	22
5.	The extension workers	23
6.	Main facilitator and local facilitators	24
IV	**Planning**	**29**
1.	FPE Coordinating Commission	30
2.	Definition of the conceptual framework	33
3.	General information workshop	33
4.	Local workshops	35
5.	Field testing the methodology	35
6.	Methodology appropriation workshops	35

III. Actors of the FPE and their respective role

The different categories of actors that are involved in a FPE are:

- The institutions
- Evaluating farmers (promotores)
- Farmers to be evaluated
- Communities
- Main Facilitator (MF) and Local Facilitators (LF)
- Technicians of the institution to be evaluated

In PASOLAC's experience in 1999, there were 16 institutions, 38 evaluating farmers, 73 evaluated farmers in 8 areas[1], one main facilitator and 8 local facilitators who participated in the FPE.

1. The institutions

The institutions participate in the FPE in two ways:

- They are responsible for organising the area evaluations when they carry out activities directly with the farmers.
- They take on the role of local facilitators when they are not directly involved in field level implementation, as in the case of study centres. In the evaluations of PASOLAC, their participation served for methodological capacity building

Minimum requirements to be considered when selecting institutions to be involved in FPE:

- Have at least three years of experience in the transfer of sustainable soil and water management technologies.
- Good reputation in activity implementation.
- Recognised capacity in systematizing and documenting experiences (for which they work as facilitators).
- Have staff which are qualified in the topic to be evaluated.
- To have trained and qualified personnel in evaluation work

1 In Nicaragua: Estelí, Madriz, León Norte, Chinandega Norte, Masaya, Carazo, Boaco and Matagalpa

2. Farmers as evaluators (*promotores campesinos*)

Contrary to other evaluation methods in which participants are only requested to provide information, in the FPE, the farmers are part of a working group with clearly defined roles. This group of evaluators, who are generally community farmer extensionists (promotores/as campesinos/as), are the ones who will collect and analyse the field information.

An evaluating group is composed of 3-4 farmers who have been previously trained on the FPE methodology. To guarantee veracity and to avoid bias in the information, it is recommended that before an evaluation, evaluators and the to-be-evaluated do not visit each other.

Criteria for selecting the evaluating farmers
The selection is carried out by the technical field staff of the implementing institution with the farmers of the concerned area. The selection is done according to predetermined criteria in order to guarantee a good selection and therefore, a FPE of good quality. Some of the selection criteria are:

- Interest and time availability to participate in the FPE.
- Wide knowledge of the technologies to be evaluated (preferably to have applied the technologies in his/her farm for at least three years).
- Able to read, write and be well integrated in the working groups.

- Be recognised as a good farmer extensionist (promotor) in his/her community.

- At least 30% of evaluating farmers should be women.

3. Farmers to be evaluated

Once the community or area to be evaluated is identified, one can start selecting the farmers to be visited. The selection is carried out by the farmer evaluators and field technicians based on predetermined criteria which they have themselves chosen.

The number of farmers to be selected for evaluation depends on the size and area coverage of the project. For example:

- In PASOLAC'S FPE, which had national reach, one farmer evaluator was selected per community. This allowed one evaluating farmer to visit two communities and two farmers in one day.

- When dealing with institutions that have already used this methodology, and assuming their area coverage is not too large, the number of farmers can be greater. UNICAM, who conducted an own FPR, selected 8 farmers per location, based on the number of community farmers implementing the soil and water conservation technologies.

Criteria for selecting the farmers to be evaluated

The criteria are defined according to the evaluation's objective and the farmer's personal characteristics. For example, if you want to know the effect of soil and water management technologies that have been promoted by an institution, one of the criteria should be the minimum amount of time necessary to observe changes in the soil.

General selection criteria to be considered:

- Interest and willingness to share the required information.
- To have adopted at least three technologies.
- To have implemented the technologies for at least three years.
- Producer selection is done randomly from the number of proposed farmers.

The random farm and farmer selection is very important in order avoid selecting only highly successful experiences.

4. Areas and Communities to be evaluated

The community contributes by providing general information:

- Number of farmers.
- Area in which the technologies were applied.
- Positive and negative effects of the technologies.
- Approval of the information presented by the evaluating farmers.

In order to gather this information, a meeting needs to take place with a representative group:

- 2-3 representatives per evaluated community.
- The evaluating farmers.
- The evaluated farmers.

All this is done once the field results from the evaluated communities have been obtained.

The criteria for selecting the community and areas to be evaluated are defined according to:

- The evaluation's objective.
- The Farmers' and community's interest in the project and the FPE
- Ease of access.
- The length of time over which the technologies have been applied. When wanting to measure the effect or adoption of a technology, a time horizon of no less than 3 years needs to be considered.
- The project's incidence. Assuring that the activities were carried out with the support of the project (if possible, select communities with little or no presence of institutions not related to the project).

5. The extension workers

The technicians of institutions working as extension workers also participate in the FPE with important roles:

- Providing field information on communities and areas.
- Ensuring coordination within the areas, as well as the communication flow between the other actors in the evaluation process.
- Ensuring the logistics in each area.

Criteria for selecting the technicians of the institution to be evaluated

- Interest in participating in the experience.
- Have a wide knowledge of the communities which his/her institution proposes to evaluate.
- Have thorough knowledge concerning the activities and results of the work undertaken.
- Experience of working with both men and women is desirable.

6. Main Facilitator and Local Facilitators

The Main Facilitator (MF)

It should preferably be an external person to the institution that is hired to coordinate field work undertaken by the local facilitators. He/she has overall responsibility for the task, from its design to the writing of the final report. He/she is the key actor that ensures that the methodology is correctly followed and that results are correctly document Ted. It is recommended that terms of reference are formulated for the MF.

Criteria for selecting the Main Facilitator

- Technician recognised for his/her capacity and thorough knowledge of the rural development process.
- Demonstrated capacity to conduct participatory rural communication processes.
- Ability to manage working groups and the time required in each step of the evaluation process.
- Ability to document the process.

Local Facilitators (LF)

They are the outside eye of the evaluation in the field areas. If the evaluation is carried out over a wide geographical area including several regions or political jurisdictions, the facilitators are assigned in non-reciprocal succession.

LFs are assigned different functions:

- To check and ensure that the evaluating farmers correctly apply the methodological tools.
- to document the evaluation results from each area.

Criteria for selecting LF

- It is desirable that he/she does not hold a recognized position in the area, in order to avoid a bias in the information.
- Capacity for effective communication and ability to work with groups of farmers.

- Capacity to document experiences.

- Willingness to work intensively and for long hours.

Since several actors are involved in the FPE process, it is important that each actor knows his/her role in the whole process. Chart 1 presents a summary of the most important roles of each actor involved in the FPE. **Chart 1** presents a summary of the most important roles of each PPE actor.

Chart 1
Summary of the roles of the different actors in the FPE

Actor	Role
Evaluating farmers (promotores)	• Apply the semi-structured questionnaire guide. • Evaluate the results obtained at the farm level. • Prepare a synthesis of 1-2 farm visits, and present it to the community. • Participate in a community meeting that discusses the extent of adoption and work of the institution. • Participate (in a delegation) in the national workshop to verify the preliminary results.
Evaluated farmers	• Each visited family previously prepares a map of its farm which will help determine the plots to be visited and be presented to the evaluating farmer. • Facilitate information to the evaluating farmer. during the field visit. • Participate in a community meeting (second day).

Communities	The community participates in the community meeting in the afternoon of the second day of the field visit. During the group discussion, the participants contribute on the following topics: • Farming situation. • Adoption rates and suggestions on how to increase the adoption of sustainable soil and water management practices.
Technicians and the institution	• Organize the FPE in the target area. • Represent the visited institution as observer during the field visit (must listen/ facilitate, but not share opinions during the field visit). • Comment the results obtained at the community level. • Identify and provide support to FPE actors (evaluating farmers, farmers to be visited, main and local facilitators, etc.) • Facilitate the necessary resources (human, logistics) for the FPE.
Main Facilitator (MF)	• Coordinates and accompanies the whole FPE process (e.g., planning and methodology appropriation workshops, field visits, information documentation and restitution). • Ensure the appropriation of the FPE methodology at the LF level and other involved actors (e.g. evaluating farmers, technicians, etc.). • Synthesize the FPE results in a final report that should include the answers which the farmers have provided to the key predefined questions. • Participate in a result verification workshop at national level.

Area Facilitators (LF	• Participate in a national planning workshop, and in methodology appropriation workshops. • Ensure the appropriation (with the MF's support) of the methodology by the other actors involved: evaluating farmer extensionists , supporting technician. • Coordinate and accompany the FPE at the assigned area level. • Accompany the evaluating farmers and farmers during the field visits • Prepare an area report for the MF

IV. Planning

For the planning phase of a FPE, the following steps must be considered:

- Form a FPE coordinating commission.
- Define the conceptual and methodological framework.
- Conduct a general information workshop, at the national or regional level depending on the situation.
- Conduct local (area) planning workshops.
- Field test the interview orientation guide.
- Conduct capacity-building workshops for evaluating farmers and facilitators.

Capacity-building worshop with evaluating promotors.

1. FPE coordinating commission

The first step to carry out a FPE is to form a coordinating commission for the whole process. This commission:

- Sets the conceptual framework for the evaluation.
- Actively participates in the definition of the methodology
- Provides the necessary follow-up for the implementation

2. Definition of the conceptual framework

In its first meeting and based on *the indicators at the level of the programme's goal and objectives,* the FPE commission:

- Prepares a general plan in which is defined what will be assessed.
- Selects the areas to be evaluated, based on the project's geographical coverage.
- Defines the farmer/farm sampling strategy based on the predetermined criteria (See Chapter III).

- Prepares a preliminary design of the methodological tools to be used to collect, triangulate and restitute the information to the communities, and which must consist of:

- A semi-structured questionnaire (with guiding questions) with technical evaluation criteria.

- A map of the farm.

- A matrix to triangulate the information.

- A design to collect community information.

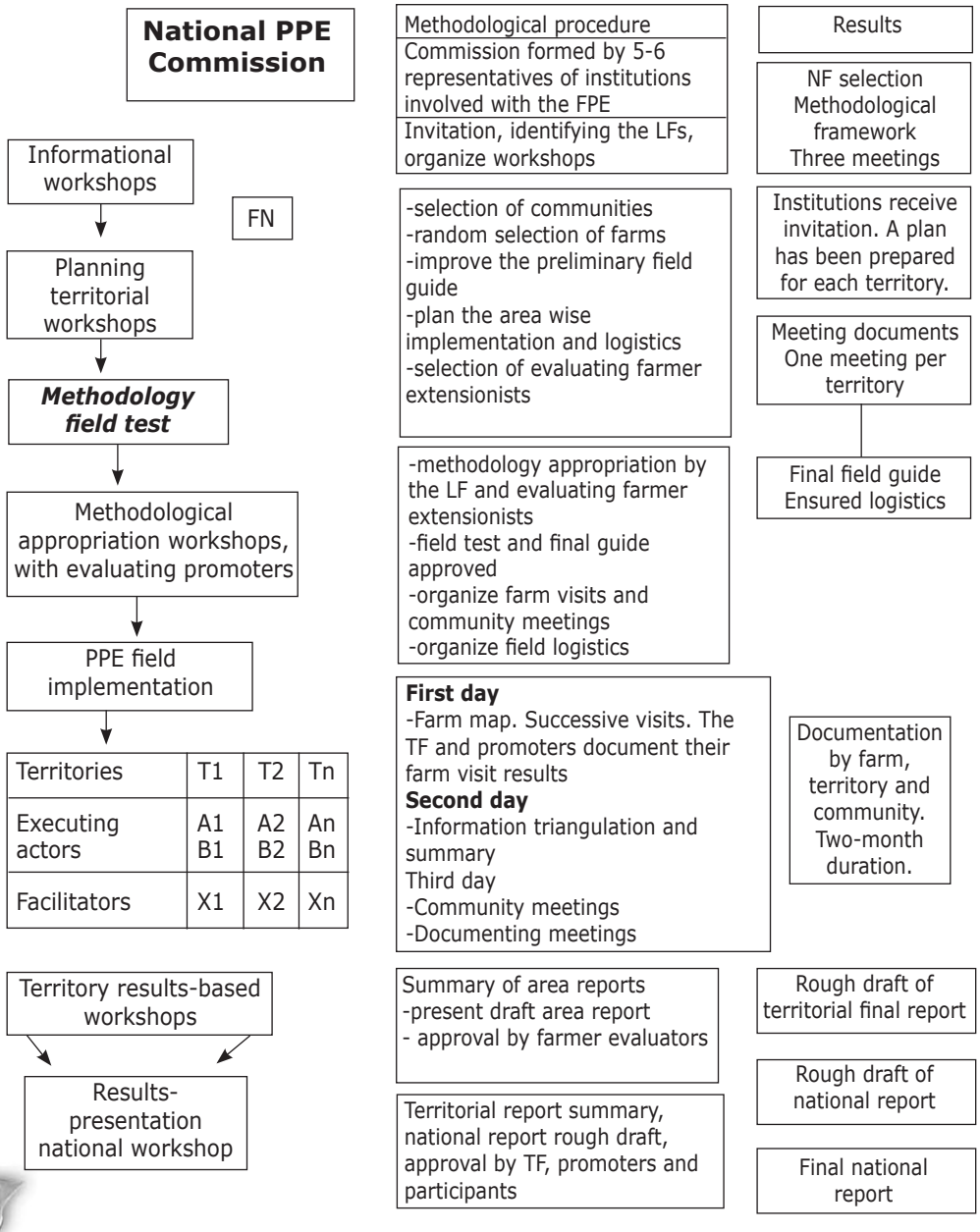
- A design of the visits in non-reciprocal succession.

The programme managers and the main facilitator participate during this step, and also prepare a complete timetable for carrying out the FPE.

The list of guiding questions is crucial for the field phase providing a framework for the evaluating farmers. To directly evaluate the extent to which the goal and objectives of a project have been achieved, the planning matrix indicators need to be formulated into guiding questions in simple language which is understandable by the farmers.

It is necessary that these guiding questions are revised and adjusted with the evaluating farmers and communities during the local workshops and the field testing (See points 4 and 5 below).

Figure 1.


National PPE Commission
Methodological procedure
Results
Commission formed by 5-6 representatives of institutions involved with the FPE
NF selection
Methodological framework
Three meetings
Informational workshops
FN
Invitation, identifying the LFs, organize workshops
Planning territorial workshops
-selection of communities
-random selection of farms
-improve the preliminary field guide
-plan the area wise implementation and logistics
-selection of evaluating farmer extensionists
Institutions receive invitation. A plan has been prepared for each territory.
Methodology field test
Meeting documents
One meeting per territory
Methodological appropriation workshops, with evaluating promoters
-methodology appropriation by the LF and evaluating farmer extensionists
-field test and final guide approved
-organize farm visits and community meetings
-organize field logistics
Final field guide
Ensured logistics
PPE field implementation
First day
-Farm map. Successive visits. The TF and promoters document their farm visit results
Second day
-Information triangulation and summary
Third day
-Community meetings
-Documenting meetings
Documentation by farm, territory and community. Two-month duration.
Territories
T1
T2
Tn
Executing actors
A1 B1
A2 B2
An Bn
Facilitators
X1
X2
Xn
Territory results-based workshops
Summary of area reports
-present draft area report
- approval by farmer evaluators
Rough draft of territorial final report
Rough draft of national report
Results-presentation national workshop
Territorial report summary, national report rough draft, approval by TF, promoters and participants
Final national report

3. General Information Workshop

When a FPE is carried out at the national level (or in several areas) it is necessary to have a general information workshop in order to:

- Discuss and clarify the conceptual framework.
- Present the general FPE proposal.

Representatives of the coordinating commission and of the concerned institutions participate in this workshop. The MF of the FPE is responsible for the workshop's facilitation.

4. Local workshops

- Are carried out in each area
- Are of a maximum duration of 2 days
- Extension workers and farmer evaluators participate

In these workshops:

- The local facilitators appropriate themselves of the process to be followed, and
- Contribute to adjusting the guide's methodologies according to the field test and the inputs of farmer evaluators.

The participation of the technical field team and farmer evaluators is crucial in providing the necessary information about the concerned communities, as well as the number, name and location of the farmers to be selected.

This is the moment for selecting the actors:

- The communities.
- The farmers or farms to be evaluated. A complete list of the names of farmers who benefit from project support is prepared before the random selection.
- The evaluating farmers.

The actors are selected according to the criteria mentioned in Chapter III.

The technicians and farmer evaluators:

- Prepare a timetable for carrying out the area FPE, and
- Define the required logistics for the area, and
- Establish the procedures for the visits: "Who visits who?" "For how long?" and "When?"

5. Field Testing the Methodology

The main facilitator (MF) and local facilitators (LFs) select a farmer in a community and meet him/her to test the methodology with the designed tools. The questions are tested, and, if necessary, adjustments are made according to the terms used by the farmer.

6. Methodology appropriation workshops

Once the methodology has been field tested, capacity-building is undertaken for:

- The farmer evaluators and local facilitators who will participate in the evaluation.

Training and discussion on the use of all the methodological tools take place in these workshops:

- The semi-structured interview/guiding questions.
- The preparation of a farm map with the farmers and other community members
- The information triangulation.

At the close of this step, everyone has a thorough understanding of his/her roles and of the application of the methodology, and has all the necessary material for the fieldwork.

Participatory Monitoring & Evaluation

Annex 6

Contents

Summary 2

Section A: Participatory evaluation – what is it? 3

A1. Using participatory evaluations in SDC: 3

A2. What is participatory evaluation?: 3

A3. Things to consider when using participatory methods for evaluation: 3

A4. Combining methods and data: 4

A5. Useful guides for participatory evaluation: 4

Section B: Participatory evaluation – how? 4

B1. To generate quantified data 5

B1.1 Social mapping: 5

B1.2 Participatory matrixes 5

B1.3 Transect walks 6

B1.4 Participatory Asset Appraisal 6

B1.5 Using new technologies 6

B2. Measure changes in relationships and assess perceptions of change 7

B2. 1 Community Score Cards 7

B2.2 Participatory Venn diagrammes 8

B2.3 Narratives of change 8

B2.4 Power analysis 9

B2.5 Social Audits 9

B2.6 Using new technologies for participatory evaluation 10

C. How to assess complex change (using multiple methods) 11

C1. Participatory Poverty Assessments 11

C2. Consultative impact monitoring of policies 11

C3. Participatory Impact Assessment 11

C4. Reality Checks 12

References: 12

Summary

This paper is intended to support the use of participatory evaluative methods in Reviews in SDC.

Participatory evaluations are based on the principles of ownership, empowerment and inclusion which has political and strategic implications for how they are used, who is involved and when. Participatory methods can be used in evaluations with multiple purposes: to steer decisions, for upward accountability and for learning. However, the kind of information needed by different stakeholders for these different purposes will vary. Whose voice is heard at which stage in the project cycle needs to be negotiated as part of the participatory process.

This paper includes guidance on how to use participatory methods to: generate quantified data; measure changes in relationships; and assess perceptions of change. It also includes examples of 'complex participatory evaluation approaches' in which multiple tools are used in order to create a bespoke evaluation system for a particular programme, organisation, policy, or intervention.

Methods to generate quantified data are: social mapping; participatory matrixes; transect walks; participatory asset appraisal; and methods using new technologies. For all methods that generate quantified data, it is important to take into consideration that the more standardised the process, the more extractive and less empowering and accommodating of local priorities and realities it is likely to be. The less standardised it is, the harder the outcomes are to analyse (Holland 2011).

Methods that measure changes in relationships and assess perceptions of change are: community score cards; participatory venn diagrams; narratives of change; power analysis; social audits; and methods using new technologies. For all methods that measure changes in relationships and assess perceptions of change, it is important to note that using them at a small scale, over a longer period of time, and with more resources can allow for higher quality and better ethics but a loss of representativeness; and vice versa (Holland 2011).

Complex participatory evaluation approaches are: participatory poverty assessments; consultative impact monitoring of policies; participatory impact assessments; and reality checks. These approaches use bespoke evaluation systems for a particular programme, organisation, policy, or intervention and tend to accept that change is complex and therefore measure contribution to change rather than attribution.

Section A: Participatory evaluation – what is it?

A1. Using participatory evaluations in SDC:

The most frequently used evaluations in SDC are "Reviews" and "Implementation, Outcome and Impact Analysis Controlling". This paper is intended to provide guidance on using participatory methods in Reviews. The methods could also be used during self-evaluations as well.

It is important to note that participatory methods are based on principles of ownership, empowerment and inclusion (see below) which have implications for Reviews. Many of the methods in this document work best if they are included in the design of a project or programme, with the involvement of appropriate stakeholders from the beginning. If participatory methods can be used as part of the on-going monitoring of a project, it is much easier to use participatory methods during a Review, without the process appearing 'extractive'. It also has implications for who facilitates the Review. If it is going to be a genuinely participatory process, is it appropriate for external consultants to conduct the Review, or would a process of peer review be better?

Evaluations can be used for multiple purposes: for steering decisions, for upward accountability, and for learning. Participatory methods can serve all these purposes, but this has strategic and political implications. Different sets of stakeholders may vary in their views as to what count as evidence, how information is collected and what needs to be measured. For example, the information needed for upward accountability (by funders or senior management) might be different to the information needed by for learning (by project managers). Therefore, whose voice is heard at which stage of the programme cycle is a strategic and political decision and this has to be negotiated as part of the participatory process. The purpose of the evaluation in each case study included in this paper is noted.

A2. What is participatory evaluation?:

Participatory evaluation is based on the principles of ownership, empowerment and inclusion (Chambers 1994) and is based on the assumption that the evaluation must be useful to the people who are doing the work that is being evaluated.

Ownership: Participatory evaluation respects local knowledge and facilitates local ownership and control of data generation and analysis

Empowerment: Participatory evaluation provides space for local people to establish their own analytical framework and to be in a position to evaluate development from to their perspective.

Inclusion: Participatory evaluation uses purposive sampling of social groups to provide a space for those with little power and voice (Holland 2011).

Participatory evaluations should be designed to take account of different kinds of power relations (including those based around identities such as gender, age, race, religion, ethnicity, sexual orientation, etc.), as well as other types of inequalities relevant to the particular context.

A3. Things to consider when using participatory methods for evaluation:

Because participatory methods are based on principles of ownership, empowerment and inclusion, there are some important questions to ask prior to an evaluation:

- Who has decided what will be evaluated? Who need to be involved in order to ensure ownership, inclusion and empowerment?
- Who will the information be useful for and how will it be used?

- Who should be included, when, and how in the evaluation process?
- Have we discussed our shared values and goals for the evaluation process?
- Are we being critically reflective and are we prepared to challenge our assumptions?
- Are we prepared to invest the time and resources required?
- Who will facilitate the process and how will they be selected?

A4. Combining methods and data:

Participatory evaluation should start with stakeholders negotiating what needs to be assessed and measured (what kind of data is needed), and then finding the appropriate methods to collect this data (Gujit 1999). It is likely that you will need a mix of quantitative and qualitative data. Quantitative data can be aggregated and analysed to describe and predict relationships and give measured patterns of change, qualitative data can help to probe and explain those relationships and to explain contextual differences in the quality of those relationships (Gabarino and Holland 2009). Participatory methods can be used to collect both qualitative and quantitative data, for example, opinions or perceptions can be organised into groups and then counted, so becoming quantitative (Guijt 1999).

For guidance on how to combine methods, see section 4.1 in: Garbarino S and J Holland, 2009. "Quantitative and Qualitative Methods in Impact Evaluation and Measuring Results", Governance and Social Development Resource Paper commissioned by DFID, March 9. http://www.gsdrc.org/docs/open/EIRS4.pdf

A5. Useful guides for participatory evaluation:

A comprehensive and practical guide for participatory monitoring and evaluation, including important ethical considerations. http://www.nri.org/publications/bpg/bpg04.pdf

A good example of guidance for how donors can use participatory evaluation: http://nzaidtools.nzaid.govt.nz/sites/default/files/tools/0953358.pdf

Guidance on how to use a range of participatory methods in evaluations: The World Bank: http://siteresources.worldbank.org/INTISPMA/Resources/toolkit.pdf

A practical guide with a wide range of participatory methods: The Barefoot Guide: http://www.barefootguide.org/BFG_2/downloadBFG2.htm

Section B: Participatory evaluation – how?

Participatory evaluation methods can be used to collect quantitative data that can be aggregated; measure qualitative changes in relationships; and measure perceptions of change. Depending on the project or programme being reviewed, a combination of complementary methods should be used to try and measure all these things.

In section B, you will find descriptions and links to examples of participatory methods that can be used to collect quantified data (which can be aggregated); participatory methods that measure qualitative changes in relationships; and participatory methods that measure perceptions of change.

In section C you will find descriptions and links to examples of participatory evaluations that have used a combination of participatory methods to collect quantified data, measure qualitative change and measure perceptions of change. These are 'complex participatory evaluation approaches' in which multiple tools are used in order to create a bespoke evaluation system for a particular programme, organisation, policy, or intervention.

B1. To generate quantified data

Participatory methods can be used to generate numbers/quantitative data (e.g. the number of poor households in a community) that can be robustly aggregated and scaled up through (limited and justified) standardisation of specific questions in participatory surveys or group discussions. Participatory methods can also be used to quantify qualitative data (e.g. assigning scores to perceptions). It is important to take into consideration that the more standardised the process, the more extractive and less empowering and accommodating of local priorities and realities it is likely to be. The less standardised it is, the harder the outcomes are to analyse (Holland 2011).

B1.1 Social mapping:

Social mapping is a method that generates a visual map of participant's perceptions of geographical, spatial information and relationships, such as identifying the poorest households in a community or the areas that are most prone to flooding. Therefore it can generate both numerical/quantitative data and be used to quantify qualitative data. Maps can also be used to track changes over time (historical maps) and at the individual, household or community level.

Issues to consider: A social map is always context specific and contingent on the make-up of the participants. Therefore, it is important to consider the selection of participants to ensure they are representative, but at the same time judge the size and makeup of the group to ensure everyone contributes and feels comfortable doing so. The facilitation of the process is vital in ensuring the group is inclusive.

See page 46 and 47 for an example of using social mapping to generate data on household sanitation provision. Here social mapping was used for accountability purposes, to demonstrate progress in sanitation levels: http://ids.ac.uk/files/dmfile/cltshandbook.pdf

The World Bank using social mapping to generate data on household poverty levels in India for a baseline survey: http://go.worldbank.org/6AV491AUX0

B1.2 Participatory matrixes

Participatory matrixes are used to generate a visual matrix of the perceived level of achievement of specific indicators, e.g. empowerment or accountability. This can be used to compare different indicators and then used to track changes in the perceptions of the achievement of those indicators over time. This method quantifies qualitative data.

Issues to consider: It is important to integrate indicators with a narrative (see Narratives of Change below) that can explain the underlying power dynamics that cannot be reduced to numbers and 'objective truth'. This is important for understanding *why* changes in perceptions have occurred. Sampling needs to be carefully designed in order to capture the major variables and to be representative. A trade off between sample size and ability to conduct in-depth discussions may often have to be made. The indicators should measure the changes that "beneficiaries" themselves value, such as more skills, better household relations and a higher status in local communities (Holland 2010).

Examples of using matrixes as part of the Measuring Empowerment evaluation in Bangladesh. This was used for both accountability purposes (to show the contribution of a social movement to empowerment) and for learning purposes (to help SIDA develop a more people-orientated management system): http://www.aline.org.uk/pool/measuring-empowerment-ask-them.pdf

Using a matrix approach to evaluate the Nhilandhe Integrated Atoll Development (NIAD) Project of the United Nations Development Programme (UNDP) in the Maldives. This was used for

accountability purposes, as part of the final evaluation to measure the impact of the project. http://www.planotes.org/documents/plan_03503.PDF

B1.3 Transect walks

This method is used to collect observations and perceptions about a geographical area from members of the community. This can generate information about land use, sanitation, natural disasters, and human settlement activities. Members of the community walk through a geographical area with a map or diagram of the area onto which observations and perceptions are noted.

Things to consider: This process needs to be well facilitated, preferably by someone external to the community, in order to ask probing questions (Kar 2005).

Using a transect work to assess levels of vulnerability in South Africa. This was for accountability purposes and part of the baseline study: http://www.proventionconsortium.org/themes/default/pdfs/CRA/South_Africa3.pdf

Using a transect work to assess levels of sanitation in Bangladesh (see Annex 2). This was part of an assessment that fed into steering decisions for the project: http://www.iwmi.cgiar.org/waspa/PDF/Publication/PRs/Report%2011.pdf

B1.4 Participatory Asset Appraisal

This instrument explores the perceptions of community groups, small -businesses and households concerning their capital assets – physical, social, human and financial. It has been used in Kenya and Nicaragua to assess the impact of climate change on assets.

Things to consider: A trade off needs to be made between how participatory this method is and the comparability of the data. If participants decide what counts as assets and the relative value of those assets, then comparison and aggregation of the data is more difficult.

Using Participatory Asset Appraisal to assess vulnerability to climate change Kenya and Nicaragua case studies. This was used for the purposes of steering climate change policy and project decisions: http://www.sed.manchester.ac.uk/research/gurc/documents/GURC_wp5.pdf

Using asset mapping in the south of India. This was used to help with planning and steering decisions: http://www.behance.net/gallery/ASSET-MAPPING-(Participatory-Rural-Appraisal)/1237899

For more resources on asset mapping: http://www.fallsbrookcentre.ca/fbc/wp-content/uploads/2010/09/Asset-Mapping-Research.pdf

B1.5 Using new technologies

Digital technology and media are now making real time participatory evaluation possible, which means data from evaluations can be fed back into projects/programmes quickly. Digital technology, such as mobile phones, can be used to generate both numerical/quantitative data and spatial data.

Issues to consider: There are concerns that if the data is generated by self-selecting participants it cannot be probability-based and is therefore not statistically representative. However, a fit-for-purpose methodology can be achieved by triangulating the self-selecting participants with data from objective key informants and from probability-based population samples (Holland 2011).[1]

[1] For more on sampling issues see Carlos Barahona and Sarah Levy (2003) at http://www.reading.ac.uk/ssc/workareas/participation/How_to_generate_stats_and_influence_policy.pdf . See also Patrick Meier's blog at http://irevolution.wordpress.com/2010/06/28/demystifying-crowdsourcing/.

PGIS (Participatory Geographical Information Systems) in the Philippines. This was used to help plan and steer disaster risk reduction projects and policies:
http://www.iapad.org/p3dm_guiding_principles.htm
http://www.iapad.org/publications/ppgis/Gaillard_Maceda_PLA_2009.pdf

Crowdsourcing for election monitoring in Tanzania, Kenya, and India. This was used for accountability purposes to monitor participation in elections: http://www.ushahidi.com/

Using open source mapping in Kenya. This was started as an interactive map by members of the Kibera community to fill in the gap on the official map. http://mapkibera.org/

B2. Measure changes in relationships and assess perceptions of change

Projects and programmes often have objectives that relate to changes in relationships and processes, such as empowerment, governance or accountability. These can appear to be difficult to measure. Participatory methods can be used to capture perceptions of those changes. The methods can be used to generate qualitative data on those perceptions (e.g. narratives of change); and also quantify those perceptions using a scoring system (e.g. matrixes of change). It is important to consider that using these methods at a small scale, over a longer period of time, and with more resources can allow for higher quality and better ethics but a loss of representativeness; and vice versa (Holland 2011).

B2. 1 Community Score Cards

A Community Score Card (CSC) is an interactive monitoring tool that collects user perceptions of the quality, accessibility and relevance of various public services. CSC can be used to measure the qualitative impacts (such as empowerment or trust) of such services. The CSC is a 'mixed method' tool because it generates both quantitative and qualitative data and analysis (Holland 2011).

Issues to consider: CSC data can be less reliable than survey-generated data due to the relatively small sample of respondents. CSC trustworthiness can be increased if necessary by triangulating the CSC data with equivalent data generated by a sample-size survey instrument (Holland 2011).

Using Community Score Cards to measure the social policy impacts on police-youth relations in Jamaica: Holland, J., Brook, S., Dudwick, N., Bertelsen, M. and G. Yaron. (2007) *Monitoring empowerment in policy and programme interventions:* Combining Qualitative and Quantitative Approaches', Q-Squared Working Paper No. 45, University of Toronto.

Using Community Score Cards in the Maldives for the World Bank's Integrated Human Development Project (IHDP). This was used for both accountability purposes to track progress in key indicators and for project management and steering decisions: http://www.opml.co.uk/news-publication/maldives-monitoring-and-evaluation-integrated-human-development-project

Asia Development Bank's (ADB) Tool Kit for Community Score Cards:
http://www.adb.org/projects/e-toolkit/e-learning.asp

World Bank use of community score cards in Gambia. This was used for accountability purposes to monitor the performance of public services as part of the monitoring of the Gambian PRSP:
http://siteresources.worldbank.org/INTPCENG/Resources/CSC+Gambia.pdf

For all World Bank Africa case studies:
http://www.worldbank.org/socialaccountability_sourcebook/Regional%20database/cscaf.htm

For all World Bank Asia case studies:
http://www.worldbank.org/socialaccountability_sourcebook/Regional%20database/cscas.htm

A methodological note on score cards by the World Bank:
http://web.worldbank.org/servlets/ECR?contentMDK=20509286&sitePK=410136

Using community scorecards by WaterAid in Nigeria, Bangladesh and Ghana. This was used for accountability purposes to hold the respective governments to account for providing water services:
http://www.wateraid.org/documents/plugin_documents/stepping_into_action.pdf

B2.2 Participatory Venn diagrammes

This method is used to create visual representations of the different groups and organizations within a community and their relationships and importance. Participants are asked to use circles to depict the different groups. The *relative importance* of a group is shown by the *relative size* of the circle representing it—the larger the circle, the more important the group. The extent to which the different groups *interact* with each other is shown by the *degree of overlap* shown in the diagram—the greater the overlap, the more interaction and collaboration between the groups (Rietbergen-McCracken and Narayan 1998).

Things to consider: Like other participatory methods, the constitution of the group who creates the venn diagramme will affect the outcome. This method can either be used with a representative sample of the community to generate a consensus view, or can be undertaken by individuals to illustrate the different perspectives of, for instance, men versus women, project staff versus community members, or project participants versus nonparticipants (Rietbergen-McCracken and Narayan 1998).

Using Venn diagrammes to evaluate a Household Food Security and Nutrition Project in Ethiopia:. This was used for accountability purposes to assess the impact of the project:
http://www.fao.org/Participation/tools/venndiagram.html

For Mayoux's (WISE development) use of participatory diagrammes, including Venn diagrammes:
http://www.sed.manchester.ac.uk/research/iarc/ediais/informationresources/toolbox/thinkingitthrough-usingdiagramsinIA.shtml

B2.3 Narratives of change

There are a variety of participatory methods that collect narratives of change. These are essentially stories that are told by the people directly affected by the intervention to be evaluated. Narrative of change can be distinguished from other methods because they retain the concrete particularity of specific experience, rather than attempting to abstract from this. The nature of the narratives varies depending on the method used. For example, story length, authorship (individual or collective, outsider or insider, facilitated or compiled), medium (prose text, video, audio, drawing, painting, collage, drama, song, dance), appreciative or critical.

Issues to consider: The process of gathering the narratives needs to be democratic and inclusive, and depends on engaging with the diverse perspectives of those involved in, affected by or observers of the situation. A challenge is to design a process that makes sure that people's voices are heard and acknowledged, recognising that there will be different and sometimes contradictory perspectives. Power issues need to be addressed in order to access some of the most significant and challenging perspectives. A major issue for consideration is the complexity of processes of social change, and the challenges this creates in terms of evaluation. In response, many large NGOs and large evaluation initiatives use more than one participatory method, including those specifically designed to respond to high levels of complexity (such as outcome mapping). See Section C for examples of approaches that have used multiple methods.

Using Most Significant Change: http://mande.co.uk/special-issues/most-significant-change-msc/

ActionAid's use of 'critical stories of change'. This was used for learning purposes to understand how ActionAid's work is contributing to complex processes of social change: http://actionaidusa.org/news/publications/stories_of_change/

Using Outcome Mapping. This can be used for accountability purposes to assess the contribution a project or programme is making to specific outcomes, but is also a strong method to use for learning purposes as it involves multiple stakeholders in collective analysis and sense-making: http://www.outcomemapping.ca/ and http://www.odi.org.uk/rapid/tools/toolkits/Communication/Outcome_mapping.html

Outcome mapping as used by Asian Development Bank: http://www.adb.org/Documents/Information/Knowledge-Solutions/Outcome-Mapping.pdf

Using Peer Ethnographic Evaluation and Research (PEER) to understand local interpretations of change and attributing changes to external interventions. This has been used to help plan and steer decisions by project managers in a Safe Motherhood project in Nepal: http://www.options.co.uk/peer-case-studies/168-nepal-2003 For a general description see: http://www.options.co.uk/the-peer-approach and http://www.worldbank.org/tips/ (see Chapter 9 on PEER).

B2.4 Power analysis

This method can be used to assess changes in power relationships, for example the level of power one group is perceived to have, or relationships of power between one group and another. There are various tools that can be used to conduct a participatory power analysis, including the Power Cube and the Power Matrix.

Things to consider: There is no one agreed way to understand what power is. These tools are based on specific assumptions about what power is and how it operates. It is important to adapt these tools so that they reflect local understandings of power in the context in which you are working.

Using the Power Cube: http://www.powercube.net/analyse-power/what-is-the-powercube/

Using the Power Matrix: http://www.powercube.net/wp-content/uploads/2009/12/Power_Matrix_intro.pdf

B2.5 Social Audits

A social audit is a collective scrutiny by communities of public funds. This is most often done by establishing committees of community representatives (either elected or nominated) who scrutinise public expenditure records and hold local governments to account in public meetings.

Things to consider

Social audits have been most successful in India since a right to information law was passed making it compulsory for public officials to share information on public expenditure with their citizens. It has been more challenging in countries where this law does not exist and obtaining information from public officials is difficult. How the community representatives are selected needs to be carefully considered to ensure the voices of the less powerful are heard.

Mazdoor Kisan Shakti Sangathan (MKSS) "Jan Sunais" in India. This was used for accountability purposes, to hold local governments to account for their public expenditure: http://www.justassociates.org/MKSS%20Case%20Study%20Section%20II.pdf

A database of social audits undertaken by the World Bank in South and East Asia: http://www.worldbank.org/socialaccountability_sourcebook/Regional%20database/Case%20studies%20on%20social%20accountability.pdf#page=66

Center for Governance. (2005). Social Audit: A Toolkit - A guide for performance improvement and outcome measurement. Hyderabad: Director General & Executive Director, Centre for Good Governance. http://unpan1.un.org/intradoc/groups/public/documents/cgg/unpan023752.pdf

B2.6 Using new technologies for participatory evaluation

Digital technologies and media, when combined with participatory methods, can be used to generate visual and audio narratives of change, and to help participants distil and articulate lessons more clearly. Visual and audio material can be linked to social media to create wider possibilities for participation and engagement. These approaches are often appealing to participants because they allow them to control the technology involved and gain skills in its use. They can also be effective tools for advocacy.

Issues to consider: Risk and anonymity are key considerations in using visual and media-based approaches. Some participants may be put at risk if certain views are more widely known. Risks may limit what people are prepared to communicate. In some cases, anonymity can be used to address risk, but in other cases it is not possible. Care is needed to ensure that participants have clear expectations about the process, and that their views on how products are used are taken into account. There are also technical constraints to using these approaches, such as the need for the appropriate equipment, editing skills, etc. A facilitator or trainer experienced with these technologies is advisable.

Examples

In Photo Vision, participants are given cameras and encouraged to take photographs of aspects of their lives, which then form the basis for dialogue, often structured around particular themes. At the end of the process the photographs are used to articulate, illustrate and support an emergent argument. The process itself is designed to foster social cohesion, and encourage dialogue.

Digital storytelling facilitates ordinary people telling their story. The process involves the production of a short (approx 3 mins) multi-media film (built from drawings and photographs) based around a first-person audio narrative. The production of the film is carried out by the narrator, often in situations where they have no/little prior technical knowledge.

Using digital storytelling to evaluate gender empowerment. This has been used for both planning and steering decisions by project managers and for accountability purposes to assess changes in empowerment: http://www.apc.org/en/node/10567/

In participatory video, participants are trained in basic filming, editing and production skills. Through a process of dialogue, participants construct a collective narrative. They use a storyboard and drawings to develop a film, which they enact and record, and then edit. This short film can be shown to multiple audiences, put onto a DVD and uploaded to the internet.

Using participatory video to evaluate community-based adaption. This was used for accountability purposes to assess the impact of a community-based adaptation project: http://www.researchtoaction.org/participatory-video-for-monitoring-and-evaluation-community-based-adaptation-in-africa/

C. How to assess complex change (using multiple methods)

These are examples of 'complex participatory evaluation approaches' in which multiple tools are used in order to create a bespoke evaluation system for a particular programme, organisation, policy, or intervention. These approaches tend to accept that change is complex and therefore measure contribution to change rather than attribution.

C1. Participatory Poverty Assessments

This is an instrument development by the World Bank designed to include poor people's views in the analysis of poverty. They are used to plan and then evaluate the impact of PRSPS.

Things to consider: These are large scale assessments that use a variety of participatory methods and require significant time and resources.

The PPA in Niger. These are used for planning and steering decisions for policies to reduce poverty, and to evaluate the impact of such policies:
http://siteresources.worldbank.org/INTPCENG/1143333-1116505707719/20509329/ba-larry-NigerFinal.pdf

The World Bank's PPA guide: http://siteresources.worldbank.org/INTPCENG/1143333-1116505707719/20509327/ppa.pdf

C2. Consultative impact monitoring of policies

This instrument assesses and monitors the effectiveness of poverty-focused policies and programs on their target group. It collects data using participatory methods and combines this where appropriate with survey and other data sources. It also involves representatives from an array of institutions both governmental and nongovernmental, to ensure that the results of the exercise find their way into the policy process.

Issues to consider: Nationally owned, country-led instruments such as these require sufficient capacity, a political commitment, attention to possible competing interests, good coordination, and sustainable resources (Gabarino and Holland 2009).

GTZ Consultative Impact Monitoring of Policy – CoIMPact (methods, and Malawi and Kenya examples). This is used for accountability purposes to assess the impact of policies:
http://www.methodfinder.net/download41.html

C3. Participatory Impact Assessment

These are *ex post* or intermediate evaluations that attempt to attribute impacts to external interventions and explain what worked and why. Participatory Impact Assessment (PIA), as it is now increasingly named, has demonstrated how participatory statistics can empower local communities while generating externally meaningful empirical data and analysis. PIA is fast maturing, with proponents systematising PIA approaches and developing guides for practitioners. (Holland 2011).

Things to consider: Data collection needs to be around locally-identified indicators to describe the nature of long-term and broad change processes to which external interventions contribute. Group-based diagnosis of these data can help explain pathways of change and generate policy recommendations (Holland 2011).

A guide for practitioners by Tufts University:
http://www.proventionconsortium.org/themes/default/pdfs/CRA/PIA_Feinstein_meth.pdf

Participatory Impact Assessment of Sustainable Agriculture in Malawi. This was used for accountability purposes to assess the impact of the project:

http://www.reading.ac.uk/ssc/media/sadc-training-pack/02%20Intermediate%20Level/Module%20I1/Module%20I1%20Session%2014-16/agrenpaper_112.pdf

Field guide for PIA in a DFID agricultural research and dissemination project: http://portals.wi.wur.nl/files/docs/ppme/FieldguideforParticipatoryImpactAssessment.pdf

Case studies on PIA of support to pastoralists livelihoods in Ethiopia: community animal health and destocking. This was used for accountability purposes to assess the impact of the project: http://www.future-agricultures.org/farmerfirst/files/T1d_Abebe.pdf

PIA case study of IFAD rural development programme in Laos. This was used for accountability purposes to assess the impact of the project: http://www.ifad.org/events/past/impact/presentation/participatory.htm

An interesting PPT presentation by Chris Roche Oxfam presenting a case study in Uganda: http://www.parracity.nsw.gov.au/blogs/media/blogs/ccb/Participatory%20Impact%20Assessment%20Workshop_Chris%20Roche%20final.pdf

C4. Reality Checks

These are undertaken by SIDA and the Government of Bangladesh on an annual basis, as part of a 5 year longitudinal study (2007-2011). They are a means of listening to the voices of citizens and grass-root service providers, in education and health. These voices are used to assist in refining the understanding of their challenges and needs and thus their perception of development and change (SIDA 2009).

Things to consider: The research team stays with the community for several days, allowing researchers to be particularly attentive in recording different perspectives and relating these to actual life conditions through both observation and immersion. They are also able to following up earlier conversations. Therefore, this method requires more time than shorter term methods and has logistical implications (organising places for the researchers to stay and managing community expectations about the purpose of the researcher's stay).

The 2009 Report. This is used for both accountability purposes (to measure changes over time) and learning purposes (to help SIDA plan): http://www.sida.se/Global/Countries%20and%20regions/Asia%20incl.%20Middle%20East/Bangladesh/SIDA61258en_Reality%20Check%20Bangladesh_%20Web%20.pdf

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http://www.reading.ac.uk/ssc/media/sadc-training-pack/02%20Intermediate%20Level/Module%20I1/Module%20I1%20Session%2014-16/agrenpaper_112.pdf

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BA Example Roles and Responsibilities Annex 7

The BA How to Note emphasizes that there is not blueprint for roles and responsibilities. What follows are some generic ideas about possible roles and responsibilities

1. Planning and Design (3-4 months before fieldwork):

- **SDC/Implementing partners:**
  - Set broad aims
  - Negotiate initial agreement with different stakeholders
  - Hire/ lisiase general facilitator and support search for additional local facilitators, if and where appropriate

- **General facilitator:**
  - Work with different stakeholders to develop the general aspects of the BA research design/framework including sample detail
  - Act as a critical friend in terms of encouraging different actors to consider how power relationships at different levels will influence methodology and responsiveness
  - Help in developing specification for citizen observers.
  - Help in recruitment of approriate local facilitator. Do a training needs analysis and develop a methodology for the BA training for citizen observer/ 'assessors'.

- **Local facilitator:**
  - If relevant, build relationships**,** assist in decisions about sample and design of training workshop.

- **Intermediaries, e.g. local NGO partners, national government officers, local government officers.**
  - Involvement in negotiation about the BA framework and roles;
  - Make commitment to preparedness to respond if appropriate.
  - More specfic roles will depend on context and aims. If the process aims to assess SDC as a donor they could play a role in setting some questions.
  - Assiting in searching for and engaging citizen observers

- **Citizens:**
  - Assessors with time and motivation are hired and begin to work with the programme.

2. BA Proper: Research design, training and implementation

- **SDC and INGO partners**
  - SDC approves concepts and design proposed by BA commissioners
  - Providing there is no conflict of interest INGO partners with BA experience can play the general facilitator role this is particularly useful in a training of trainer design where international NGO staff play the role of general facilitators and train local consultants to play that role in the future. In this design they may also train citizen observers
  - The participation of SDC and INGO staff in data collection is a double-edged sword. The potential advantages are the possibility for immersion and reality check, the disadvantage is that in some situations and cultural contexts it can

lead to normative response bias the part of assesses. However in some post conflict contexts characterised by oppressive power structures where trust amongst the population is low, foreign donor participation may actually reduce bias and encourage complaints they may not feel able to voice to local leaders. The decision about the likely effects requires a good understanding of how populations typically perceive donors and INGOs and will be context specific

- **General facilitator:**
    - Facilitation of capacity building process for national facilitor if and where necessary;
    - Facilitate training workshop for development of assessor's design/framework and specific research questions and tools;
    - Observation of citizen observer 1st day pilot fieldwork, facilitating citizen observer reflection on methods and processes after pilot test; back up to national facilitator for the rest of the pilot through facilitating regular reflections on process
- **National facilitator:** shadow general facilitator, intepret proceedings and help general facilitator make sense of contextual meaning, especially political cues ; directly support assessors in training workshop and pilot
- **Intermediaries, e.g. INGO partners, their local partners, national government officers, local government officers.** Very contingent on context, to be decided during planning.
- **Citizens:** Engage in pilot test, reflect and refine tools and methods, continue assessing activities.

Analysis and conclusions:

- **SDC:** No role
- **National facilitator:** support assessors and help general assessor with interpretation of language and political and power dynamics.
- **General facilitator:** facilitate process for the assessors to analyse results and develop conclusions, provide tools and critical voice if appropriate.
- **Intermediaries, e.g. INGO partners, their local partners, national government officers, local government officers:** key role if assessors; lesser role if assessed, unless the BA model deliberately aims to use the analytical process to bring assessors and assessees together for participatory validation and discussion e.g. in SA models used in democratic contexts.
- **Citizens:** key role if assessors

Communication and utilisation (1 month after):

- **SDC:** listen learn, reflect on impact hypothesis, constructively challenge if appropriate, decide, in consultation with partners decide how to respond. Enact response.
- **General facilitator:** support, mediation, constructive challenge to powerful actors on responses to ensure they are held to account (by distance)
- National facilitator: ?
- **Intermediaries, e.g. INGO partners, their local partners, national government officers, local government officers:** listen learn, reflect on impact hypothesis ???
- **Citizens:** present findings and conclusions and respond to questions, disseminate findings and information about SDC response to assessees. Hold SDC and intermediaries accountable for sharing decisions about their response.

BA Analysis, Translation and Reporting Processes

Annex 8

Path 1: Programme underpinned by a participatory impact hypothesis generated in collaboration **with** citizens

Citizen observer analysis: Citizen observers use consolidated but differentiated findings to interrogate their assumptions and impact hypothesis/es. General facilitator provides support facilitating the process and encouraging critical reflexivity by citizen observers. However s/he does not introduce conceptual tools unless
a) requested by the citizen observers; or
b) s/he feels that the CO analysis is avoiding/overlooking important power issues that directly undermine the possibility of meeting BA principles.

Path 2: Programme without a participatory impact hypothesis

Citizen observer analysis: Citizen observers consolidate findings. General facilitator provides support with process and possible analytical approaches, e.g. consolidating data under questions or suggesting that the observers uses any emotions that have been prompted by what they have found as the basis for developing their argument and recommendations.
General facilitator encourages critical reflexivity among citizen observers and introduces conceptual tools if s/he feels that the CO analysis is avoiding/overlooking important power issues that directly undermine the possibility of meeting BA principles.

Beneficiary Validation Workshops

Citizen observers present consolidated, but differentiated findings, analysis, and thoughts for recommendation to assessees for discussion and validation.

General facilitator provides advice in sensitive situations where findings may place some groups at risk, or if conflict needs to be managed and negotiated. S/he makes sure that different views are not lost. See Annex 4 for more guidance.

Programme Steering Workshop

Citizen observers present consolidated but differentiated findings, analysis & recommendations that have been validated (or objected to) by assessees to programme steering committee.

Programme steering group listens discusses and uses CO findings to interrogate assumptions and impact hypothesis, reflects,on how and why change is or isn't happening as anticipated, learsns and works with COs to come up with response.

General facilitator encourages and supports COs in presentation especially if findings are critical of SDC

Notification of Response

Programme steering group and citizen observers decide on how to share the response with assessees in ways true to BA principles, i.e. they make special effort to ensure the most vulnerable people are informed, which is likely to require more than community level meetings or posting on community level notice boards. (Refer to Annex 4)

Report Writing

General facilitator has responsibility for writing the final report that includes agreements and disagreements covered in the programme steering meeting and presents different perspectives and interpretations of different groups of beneficiaries, and other stakeholders e.g. citizen observers/ assessors, implementers, donors, general facilitator if and where necessary (Refer to Annex 4 for ideas about writing style).

Annex 9

Extract from

Beneficiary Assessment: A Concept note for the evaluation of Water Resources Management Programme (WARM-P), Nepal

13 March 2013

HELVETAS Swiss Intercooperation | NEPAL

जलश्रोत व्यवस्थापन कार्यक्रम

Water Resources Management Programme, WARM-P

Annex 4: Terms of References (TOR) of facilitator and co-facilitator

Terms of References (TOR) of the Facilitator

Beneficiary Assessment Water Resources Management Programme (WARM-P) Nepal

1. Introduction

The Water Resources Management Programme (WARM-P) is a project of HELVETAS Swiss Intercooperation (HSI), Nepal. It started in the year 2001 by incorporating the substantial experience and learning accumulated by its predecessor water and sanitation projects implemented during the period 1976 to 2000. The scope and mandate of WARM-P has been broadened from water and sanitation towards integrated water resources management. At present the programme has been running on 4th phase of each 3 years. The main goal of the programme is to improve well- being in the rural communities through equitable and efficient sharing of water resources and improved sanitation.

WARM-P is part of the Swiss Water & Sanitation NGO consortium since 2011 and aims at i) strengthen the capacity of key local actors to implement and operate water resources services and ii) provide improved access to water and sanitation

To achieve these objectives the program facilitates Village Development Committees (VDCs; the local government) for the preparation of Water Use Master Plans (WUMPs). Besides preparation of the WUMPs, it supports implementation of few water and sanitation schemes prioritized in the WUMPs. The project also assists VDCs to link up with potential resource organizations for realizing other schemes that are not implemented by this project itself. Hygiene and sanitation is an integral part of drinking water schemes. Once an entire project area is equipped with toilets, it is declared an Open Defecation Free (ODF) area. For the implementation and sustainable operation of water and sanitation schemes, capacity building through various social and technical training is included in each component of the programme.

WARM-P project has been selected as one of the 27 water consortium projects to conduct a Beneficiary Assessment (BA) as specified in the framework for the consortium[1]. The same time this BA is also considered as a pilot within the objective of the Quality Assurance Unit of SDC to further develop and promote the application of the BA.

2. Objectives and expected outcomes of the BA

The overall objective of the BA is to get the project clients ("beneficiaries") views and perspectives on results and changes due to the project intervention applying a peer assessment approach.

The specific objectives of the BA are:

- To get to know the beneficiaries' genuine views and perceptions on changes related to water and sanitation and hygiene at household and community level;
- To get to know the beneficiaries' genuine views and perceptions on the conducted process of by the project
- To validate the applied methodology of BA

[1] Please refer to: Beneficiary Assessment – a framework for the Swiss Water & Sanitation NGO Consortium (Pilot Phase).

3. Methodology

The methodology applied for the BA of WARM-P has been jointly defined by staff from the WARM-P project and consultants from HSI, Switzerland, and the Asia Regional Coordinator, Swiss Water and Sanitation NGO Consortium[2]. It draws on global experiences of participatory methods in general and on conducted BA's in particular, a draft "How to Note"[3] on BA, and conclusions of a learning event on BA organized by SDC in January 2013 in Switzerland in which the two consultants participated.

4. Roles & tasks of the facilitator

The facilitator has the overall responsibility to coordinate and implement the BA of WARM Programme. In particular, the facilitator assumes the following roles and tasks:

1. Coordinates and accompanies all sequences of the process BA
2. Leads and guides the co-facilitator
3. Participates in initial training conducted by the consultants from head office HSI.
4. Implements the training of Citizen Observers (COs) with the assistance of the co-facilitator and methodological support from the consultants from head office HSI.
5. Leads the field testing and adjustment of the methodology (with support from consultants from head office HSI).
6. Establishes together with the co-facilitator a detailed time plan for field implementation and complies with the established plan
7. Accompanies the COs during field phase and assures the correct application of the methodology and tools
8. Assures quality collection, translation and analysis of the information generated by the COs (respecting the views of the COs)
9. Captures important observations during the field phase ("what has been obviously seen but not said").
10. Takes pictures during the field phase
11. Organizes (or coordinates organization?) and facilitates a general workshop to validate the results of the BA with involved actors.
12. Based on obtained and validated results elaborates a draft report
13. Draws lessons learned of the methodology applied (one chapter in draft report)
14. Supports consultants from HSI to produce the final report (at disposition for requests)
15. Is responsible for keeping accounts of expenses and handling of funds for the implementation of the BA.

Any other additional tasks related to the above may be defined during the process in case necessary.

5. Profile of the Facilitator

The facilitator has the following skills and competences:

1. Proven experience in facilitating large and participative processes related to rural development (and preferably in the area of water management and sanitation)
2. Capacity to lead groups, field assessments and to facilitate workshops.
3. Excellent communication and analytical skills
4. Proven capacity to analyze information derived from participatory processes (e.g. by using PRA tools)
5. Proven capacity to document evaluation and systematization processes
6. Proven skills to write up reports of high quality (in English).

[2] Beneficiary Assessment: A concept note for the evaluation of the WARM Programme, Nepal
[3] SDC Beneficiary Assessment – How to Note (draft January 2013).

7. General knowledge of the local context (assessment zones, social groups etc.)[4]
8. Skills for coordination and organization
9. Capacity to translate into English

6. Duration of the consultancy

The facilitator will assume his/her assignment by beginning March and will complete it by end April. The workload during the assignment is full-time during training, field testing, implementation, analysis, validation up to completing the draft report with a total of 60 days; after submitting the draft report to HSI head office, the facilitator is at disposition to answer requests from HSI during the process of elaborating the final report.

7. Deliverables

The facilitator will deliver the following (in written form, unless specified differently):

Type
1. Final concept note BA WARM-P
2. Proposal for training of Citizen Observers; with support from consultants
3. Proposal for conducting field testing; with support from consultants
4. Detailed time plan (incl. responsibilities) for field implementation)
5. Adjusted methodology for implementation of BA (Assessment framework, formats for data collection, data handling etc..)
6. Short appraisal of field implementation (feedback of positive, negative aspects)
7. Draft analysis of collected information for presentation in validation workshop
8. Proposal for validation workshop
9. Final analysis of data based on validation workshop
10. Draft report BA including one chapter on systematization of methodology
11. Written answers to requests of consultants during elaboration of final report
12. Submission of accounts implementation BA

* for steps: see Process Table Annex 1.

[4] However, it is important that the facilitator is not be perceived by the beneficiaries as being a project staff.

Terms of References (TOR) of the Co-Facilitator
Beneficiary Assessment Water Resources Management Programme (WARM-P)
Nepal

1. Introduction

The Water Resources Management Programme (WARM-P) is a project of HELVETAS Swiss Intercooperation (HSI), Nepal. It started in the year 2001 by incorporating the substantial experience and learning accumulated by its predecessor water and sanitation projects implemented during the period 1976 to 2000. The scope and mandate of WARM-P has been broadened from water and sanitation towards integrated water resources management. At present the programme has been running on 4th phase of each 3 years. The main goal of the programme is to improve well- being in the rural communities through equitable and efficient sharing of water resources and improved sanitation.

WARM-P is part of the Swiss Water & Sanitation NGO consortium since 2011 and aims at i) strengthen the capacity of key local actors to implement and operate water resources services and ii) provide improved access to water and sanitation

To achieve these objectives the program facilitates Village Development Committees (VDCs; the local government) for the preparation of Water Use Master Plans (WUMPs). Besides preparation of the WUMPs, it supports implementation of few water and sanitation schemes prioritized in the WUMPs. The project also assists VDCs to link up with potential resource organizations for realizing other schemes that are not implemented by this project itself. Hygiene and sanitation is an integral part of drinking water schemes. Once an entire project area is equipped with toilets, it is declared an Open Defecation Free (ODF) area. For the implementation and sustainable operation of water and sanitation schemes, capacity building through various social and technical training is included in each component of the programme.

WARM-P project has been selected as one of the 27 water consortium projects to conduct a Beneficiary Assessment (BA) as specified in the framework for the consortium[5]. The same time this BA is also considered as a pilot within the objective of the Quality Assurance Unit of SDC to further develop and promote the application of the BA.

2. Objectives and expected outcomes of the BA

The overall objective of the BA is to get the project clients' ("beneficiaries") views and perspective on results and changes due to the project intervention applying a peer assessment.

The specific objectives of the BA are:

- To get to know the beneficiaries' genuine views and perceptions on changes related to water and sanitation and hygiene at household and community level;
- To get to know the beneficiaries' genuine views and perceptions on the conducted process of by the project
- To validate the applied methodology of BA

[5] Please refer to: Beneficiary Assessment – a framework for the Swiss Water & Sanitation NGO Consortium (Pilot Phase).

3. Methodology

The methodology applied for the BA of WARM-P has been jointly defined by staff from the WARM-P project, consultants from HSI, Switzerland, and the Asia Regional Coordinator, Swiss Water and Sanitation NGO Consortium[6]. It draws on global experiences of participatory methods in general and on conducted BA's in particular, a draft "How to Note"[7] on BA, and conclusions of a learning event on BA organized by SDC in January 2013 in Switzerland in which the two consultants participated.

4. Roles & tasks of the co-facilitator

The co-facilitator has the responsibility to support the facilitator in the implementation of the BA of WARM Programme. In particular, the co-facilitator assumes the following roles and tasks:

1. Participates in initial training conducted by the consultants from head office HSI.
2. Supports the facilitator in the training of Citizen Observers (COs) with the assistance from the consultants from head office HSI.
3. Supports the facilitator in the field testing and adjustment of the methodology (with support from consultants from head office HSI).
4. Establishes together with the facilitator a detailed time plan for field implementation and complies with the established plan
5. Accompanies the COs (assigned to two peer groups) during field phase and assures the correct application of the methodology and tools
6. Assures quality collection, translation and analysis of the information generated by the COs (respecting the views of the COs)
7. Captures important observations during the field phase ("what has been obviously seen but not said").
8. Takes pictures during the field phase
9. Co-organizes (in coordination with facilitator) and co-facilitates a general workshop to validate the results of the BA with involved actors.
10. Provides inputs to the facilitator for the elaboration of the draft report
11. Contributes to drawing lessons learned of the methodology applied
12. Supports facilitator in handling of funds for the implementation of the BA.

The co-facilitator reports directly to the facilitator of the BA. Any other additional tasks related to the above may be defined during the process in case necessary.

5. Profile of the co-facilitator

The co-facilitator has the following skills and competences:

1. Proven experience in facilitating participative processes related to rural development (and preferably in the area of water management and sanitation)
2. Capacity to lead groups and conduct participatory field assessments
3. Good facilitation and communication skills
4. Proven capacity to analyze information derived from participatory processes (e.g. by using PRA tools)
5. Good skills write up reports (in English).
6. General knowledge of the local context (assessment zones, social groups etc.)[8]
7. Skills for coordination and organization
8. Capacity to translate into English

[6] Beneficiary Assessment: A concept note for the evaluation of the WARM Programme, Nepal
[7] SDC Beneficiary Assessment – How to Note (draft January 2013).
[8] However, it is important that the co-facilitator is not be perceived by the beneficiaries as being a project staff.

6. Duration of the consultancy

The co-facilitator will assume his assignment by beginning March and will complete it by end April, 2013. The workload during the assignment is full-time during training, field testing, implementation, analysis, and validation with a total of 50 of work days; after validation workshop the co-facilitator is at disposition to answer clarifications if needed from the facilitator during the process of elaborating the draft report.

7. Deliverables

The co-facilitator will deliver the following:

Type
1. Contribution to detailed time plan (incl. responsibilities) for field implementation
2. After field testing, a contribution to adjustment of the methodology for implementation of BA (Assessment framework, formats for data collection, data handling etc..)
3. Draft analysis of collected information from the field as required by facilitator
4. Short appraisal of field implementation (feedback to facilitator of positive, negative aspects)
5. Written answers to requests of facilitator during elaboration of draft report

* for steps: see Process Table Annex 1.

Annex 5: Guidelines for Household Assessment and Focus Group Discussion

Citizen Observer Guidelines for Household Assessment
WARM-P BA

The most important thing about the household (HH) interviews is that people have a chance to share their real experiences of how they lived before the project started and how they live now that the project is in place. So, even though you will ask them for a lot of details about themselves (e.g. names, ethnicity), it is the Water, sanitation and hygiene (WASH)-related experiences they share in their own words that will give us the best idea of how they think the project has affected their lives.

As a CO, you will lead conversations with HHs in 2 schemes, and you will be an observer/note taker in another scheme. For most COs, it is in your home scheme that you will be the observer/note taker. In the two other schemes you visit, you will lead the HH conversations.
When you are the HH conversation leader, you will be accompanied by another CO or a Facilitator (they will be observers/note takers). When you are observer/note taker, you will be accompanied by another CO who will lead the HH conversations.

In every scheme you visit, you will interview 3 HHs per day, spending maximum 2 hours per HH.
Steps to hold HH conversations:

Step 1: Arrival at the HH
After everyone has introduced themselves, you should briefly remind your hosts about the purpose of your visit (including objectives of the BA process). HHs to be visited will be informed of the visit in advance, but they may not know exactly why you are visiting. You should let them know that the BA is being done to find out what changes people have noticed from the time before the water scheme was implemented and the time after.

IMPORTANT: You must also indicate to HHs that their names will not be used in the reporting of results, but that results will be summarized across the while scheme.

Step 2: Gathering of HH information
Start the conversation by finding out the basic HH information (Step 2 Questions Basic HH Information).
The following questions will guide you to lead the conversations. You will see that some questions are indicated as REQUIRED. These are questions for which we much have a specific answer (e.g. How would you rate…..?). Other questions are more open: people might give many different answers, or you may have to ask additional questions to get the information you are looking for.

Step 3: The Main Conversation
Here you can use the questions for Step 3: The Main Conversation. Use the questions as a way to move through the discussion. If you find the householder does not give a clear idea of the answer, you could ask a followup question.

For example: The CO lead says: ‘What has changed for your family after the establishment of the water scheme?’ The householder says: ‘It is easier to get water now’. A follow-up question could be: ‘What do you mean by easier. What is easier?’ The householder says: ‘Now we don’t spend so much time fetching water’.

Note: For questions where you ask people to give a rating, you will need to describe the rating system.
For example: ‘How would you rate your access to drinking water (e.g. quality) on a scale from 1-5’? A 1 means very poor 2 means poor; 3 means moderate/acceptable; 4 is good; 5 is very good?
Important: Make sure to ask both the husband and wife to answer the question (at the same time).

Step 4: Thank you and goodbye
When you are finished the conversation, thank the householders for taking the time to speak with you and for giving you a better idea of how the scheme is functioning. Tell them you look forward to seeing them tomorrow at the community meeting.

In the HH visits, CO1 will be accompanied by either a national facilitator (NF) or another CO (CO2). The role of the F or CO2 will be to take a few notes (because CO1 will focus on his/her conversation with HH members), and to observe. Sometimes you will notice things as an observer that you might miss as an interviewer (e.g. you will be able to see if a HH has a change, or how their latrine is situated and maintained, etc.). In most cases, we expect both a husband and wife to be present for the interview (you will need to make a note of who is participating in the interview).

Notes for Observers
When you are the observer/note taker

Your main responsibility is to take notes of the conversation (i.e. filling in the answers to each of the questions, including the rating results)

You should also look and listen for interesting comments or observations from the householders (e.g. a good story to illustrate project effects)

If the lead CO asks for help with some questions, you can provide it

If the lead CO forgets a question you remind him/her that he/she has forgotten

As the observer, you will also have an opportunity to look around and see how things are done (For example, maybe a householder will say, ‘Now we have a good way of protecting the water’. But you as observer see that they do not keep the water covered after they have taken it from the tap’)

Note: Another very useful thing you can do as observer is to take photos here and there (For example, of a tap stand, a kitchen garden, a gravity flow system, a rainwater harvesting scheme, a latrine, etc. You may also ask householders if it is ok to take a picture of them to show others how people live in this scheme). Please note: try to focus on photos that illustrate the project activities.

Citizen Observer Guidelines for Focus Group Discussions (FGDs), WARM-P BA

In addition to the HH conversations, the Focus Group Discussions (FGDs) will give us another way to look at how people within a scheme area see the situation regarding water, sanitation and hygiene in relation to the project. The FGs will give us feedback based on experiences of different HHs within different ethnic and gender groups.

The FGD Framework

We want to get feedback from four different kinds of Focus Group: Female Marginalised HHs, Male Marginalised HHs, Female Non-Marginalised HHs, Male Non-Marginalised HHs. We do not have enough time to have a FGD for all of these groups in every scheme. Instead, we will have two FGDs in each scheme. The facilitators will make sure this is organised for COs.

In each scheme, there will be two FGDs (they will happen in the morning of the second day that COs and Facilitators visit the scheme).

What should you expect as a CO? In some schemes you will lead the FGD, in other schemes you will be an observer. Altogether over the whole BA process, each CO will lead 2 FGDs.

The following steps describe how the FGDs can be led.

Step 1: Arrival at the FGD meeting

It makes sense to start with both FGs together in one big group to introduce yourselves and describe the purpose of your visit. The two lead COs should agree beforehand which one will lead the introduction. The facilitators can help with this.

Note: To save time, only COs and Facilitators should introduce themselves, not the whole group. FG members should be invited to introduce themselves after you split into the smaller FGs (see Step 2: Splitting into FGs).

Important: Try to keep these introductions as brief as possible, so you have enough time for discussion within the FGs.

Just as it was for the HH visits, you should briefly remind your hosts about the purpose of your visit (including objectives of the BA process). You should let them know that the BA is being done to find out what changes people have noticed from the time before the water scheme was implemented and the time after. You can inform them you are talking to a small number of HHs, but that it is also important to hear from larger groups of people, so this is why you are together for the FGD.

Step 2: Splitting into FGs

After Step 1, each FG goes to sit in different places for their discussions. Once you are settled, invite the FG members to introduce themselves. Then you can go straight into the questions for FGs.

IMPORTANT: You must also indicate to FG members that their names will not be used in the reporting of results, but that results will be summarized across the whole scheme.

Step 3: The Main FG Conversation

Here you can use the questions for Step 3: The Main FG Conversation. Use the questions as a guide to move through the discussion. If you find that someone does not give a clear idea of the answer, you could ask a follow-up question.

For example: The lead CO says: ‘How were you involved in the creation of the WUMP for your scheme?’ The householder says: ‘We participate in the WUMP’. A follow-up question could be: ‘What do you mean by participated? What did you do?’ The householder says: ‘We went to a community meeting where the WUMP was explained, and we talked about what we needed. We had to go a long way to find water, so we wanted to have water at a closer place. Then it was put into the WUMP’.

Note: For questions where you ask people to give a rating, you will need to describe the rating system.
For example: ‘How would you rate the usefulness of the WUMP on a scale from 1-5?’ A 1 means very poor; 2 poor; 3 is moderate; 4 is good; 5 is very good’.
You can ask the FG members to each say what number they would choose, then you can put it on a flipchart with a tick mark against each choice.

Step 4: Thank you and goodbye
When you are finished the questions, ask the FG members if they have anything more to say. When they have finished, thank them for taking the time to speak with you and for giving you a better idea of how the scheme is functioning. Tell them you look forward to seeing them tomorrow at the community meeting.

Notes for Observers
When you are the observer/note taker

Your main responsibility is to take notes of the conversation (i.e. filling in the answers to each of the questions, including the rating results)

You should also look and listen for interesting comments or observations from the FG members (e.g. a good story to illustrate project effects)

If the lead CO asks for help with some questions, you can provide it

If the lead CO forgets a question you remind him/her that he/she has forgotten

Note: Another very useful thing you can do as observer is to take photos here and there (For example, a photo of the FG)