PARTICIPATORY PLANNING MONITORING & EVALUATION

TRAINING MANUAL

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EXECUTIVE SUMMARY

To achieve the goals of sustainable growth and Poverty reduction, developing countries need strong Participatory Planning Monitoring and Evaluation Systems for community projects and programs. To this end, the SDCP has devoted significant resources to building the capacity of dairy groups and other stakeholders involved in the implementation of the programme.

Based on the capacity building programs done by SDCP, it has been found necessary to assess the effectiveness of the trainings through participatory M&E approach.

These guidelines will form the basis for planning and monitoring the training programme to ensure high standards and uniformity in training offered to the dairy groups. The guidelines will be used for briefing/guiding the various resource persons to be engaged in training in the programme.
1.0 INTRODUCTION

1.1 PARTICIPATORY PLANNING PROCESSES

The SDCP Appraisal reports make reference to Dairy Enterprise Plans (DEPs) which are developed during a PRA process with participants derived from dairy groups identified one year proceeding the implementation of the SDCP. In this context the term ‘DEPs’ is therefore used synonymously with the community action plans (CAPs) which are also referred here as DCA-APs. DEPs are prepared at DCA level. A DEP reflects the community’s problems and the options and actions agreed on to address them. The distinction is the focus on dairy versus a multi-sectoral intervention. This approach was not seen as being feasible by the technical PCU staff for it was bound to antagonize communities because of the evident means of segregation being employed by the programme right at the initial stages of programme implementation. The approach was altered to reflect the ideal situation on the group. The PRA process will be focused and used as an entry point and sensitization forum to the DCA and participants will not be necessarily only members of the dairy groups so as to reflect the broader issues of the community as far as dairy and dairy products are concerned. The DCA-AP developed during the PRA process will then be reflected at group level to form the Group Action Plans (GAP) and this will then be reflected at individual group members’ level as Dairy Enterprise Plans (DEPs).
1.2 PARTICIPATORY PLANNING MONITORING AND EVALUATION

Monitoring and evaluation of training are an important element of the training management process. They are particularly important in long-term training programs where feedback from former training participants can be used to shape future course content.

Training can be evaluated in two ways: by looking at the results of training, or by looking at the training management process.

In medium or long-term training programs, monitoring and evaluation systems can help improve outcomes by establishing feedback loops between the workplace and training programs. Information on the implementation of knowledge and skills by former trainees/groups can be used to shape training content.

1.3 BASIC TERMS IN MONITORING AND EVALUATION

**Monitoring**

- The regular collection and analysis of information to assist timely decision making, ensure accountability and provide the basis for evaluation and learning.
- It is a continuous function that uses methodical collection of data to provide management and the main stakeholders of ongoing project or programme with early indications of progress and achievement of objectives.
- Tracking the key elements of programme/project performance on a regular basis (inputs, activities, results).

**Evaluation**

- It’s a rigorous systematic collection of information about programme, activities, characteristics, and outcomes that determine the merit or worth of a specific programme. It aims to answer specific management questions and to judge the overall value of an endeavour and supply lessons learned to improve future functions, planning and decision making.
- It is episodic assessment of the change in targeted results that can be attributed to the programme/project intervention, or the analysis of inputs and activities to determine their contribution to results.
- A process which attempts to determine as systematically and objectively as possible, the *relevance, effectiveness, efficiency, sustainability* and the *impact* of activities in the light of predetermined objectives.
- An evaluation should provide information that is credible and useful, offering concrete lessons learned to help partners and funding agencies make decisions.

**Indicators**

An indicator is a “pointer” that helps you to measure progress towards achieving results.
**Effectiveness**
The degree or extent to which the programme/project outputs and objectives have reached the target group.

**Efficiency**
The ratio of costs incurred relative to the output – a measure of productivity.

**Relevance**
The degree/extent to which the programme activity makes sense or remains pertinent and significant to the stakeholder. Is it still worthwhile to continue with the project?

**Sustainability**
Capacity for institutionalization and continuity. Can the project survive without external support?

**Impact**
The effect as a result of the project. Issues arising as a result of the project implementation.

### 1.4 OBJECTIVE OF THE PPME TRAINING MANUAL

**Broad Objective**
To impart knowledge and skills on participatory monitoring and evaluation

**Specific Objectives**
By the end of the topic, the trainee should be able to:

- Define participatory planning monitoring and evaluation.
- Explain the purpose and procedures of participatory monitoring and evaluation.
- Develop participatory systems of monitoring and evaluation.
- Develop performance indicators.
- Develop tools for data collection.
- Incorporate the dimensions of gender, human rights, child rights, drugs and substance abuse and the environment in participatory monitoring and evaluation.
- Analyze and interpret monitoring and evaluation data.
- Write a monitoring and evaluation report in an appropriate format.
- Give feedback to the project stakeholders.

**Content**

**Definitions**
- Participation.
- Monitoring.
- Evaluation
Developing Monitoring and Evaluation System

- Types of Monitoring & Evaluation systems.
- Factors to consider in establishing a Monitoring & Evaluation system.
- Formulation of Monitoring & Evaluation system objectives.
- Preparation of Monitoring & Evaluation system work plan.

Developing Indicators

- Definition of an indicator.
- Factors to consider in selecting indicators.
- Types of indicators.
- Formulation of indicators.
- Indicators relating to gender, human rights, child rights, environment, HIV/AIDS, and drugs and substance abuse.

Tools for Data Collection

- Types of tools.
- Factors to consider in selecting a tool.
- Advantages and disadvantages of various tools.
- Procedures for applying the tools.

Formation of Participatory Monitoring & Evaluation Teams

- Composition e.g. gender balance and sensitivity of team, non-discrimination, skill mix etc
- Roles and responsibilities.

Literature Review

- Developing checklist.
- Comparing collected information with previous documentation.

Data Collection

- Itinerary.
- Logistics.

Data Processing and Analysis

- Computation.
- Comparison.
- Editing.
- Interpretation.
- Narration.
- Focus on cross-cutting issues.
- Drawing conclusions.

Report Writing

- Parts of a report.
• Qualities of a good report.
• Language e.g. simplicity, gender sensitivity etc.
• User-friendliness.

**Feedback to Stakeholders**

• Standards of performance.
• Efficiency and effectiveness of resource use.
• Timeliness.
• Dissemination methods for maximum outreach.
2.0 DETAILS FOR THE PPME TRAINING

CONCEPT OF PARTICIPATORY PLANNING, MONITORING AND EVALUATION

Participatory monitoring & evaluation (PM&E) is a process through which stakeholders at various levels engage in monitoring or evaluating a particular project, program or policy, share control over the content, the process and the results of the M&E activity and engage in taking or identifying corrective actions. PM&E focuses on the active engagement of primary stakeholders. Participatory community monitoring and evaluation is extremely important for learning about the achievement/deviation from original concerns and problems faced by local development projects/programmes being implemented, so that corrective measures can be taken in time.

Why is Participatory Monitoring and Evaluation important?

• Participation is increasingly being recognized as being integral to the M&E process, since it offers new ways of assessing and learning from change that are more inclusive and more responsive to the needs and aspirations of those most directly affected.
• PM&E is geared towards not only measuring the effectiveness of a project, but also towards building ownership and empowering beneficiaries; building accountability and transparency; and taking corrective actions to improve performance and outcomes.

What are the principles of Participatory Monitoring & Evaluation?

• Conventionally, monitoring and evaluation has involved outside experts coming in to measure performance against pre-set indicators, using standardized procedures and tools.
• PM&E differs from more conventional approaches in that it seeks to engage key project stakeholders more actively in reflecting and assessing the progress of their project and in particular the achievement of results.

Core principles of PM&E are:

• primary stakeholders are active participants – not just sources of information
• building capacity of local people to analyze, reflect and take action
• joint learning of stakeholders at various levels
• catalyzes commitment to taking corrective actions

Aim of participatory monitoring and evaluation (PM&E)

• To assess information or generate data on development activities being carried out at the local community level.
• To facilitate monitoring and evaluation by beneficiaries of different development activities.
• To increase beneficiaries’ commitment and understanding in designing, planning and implementing community-based development projects or programmes.
**Participatory monitoring** involves local beneficiaries in measuring, recording, collecting, processing and communicating information to assist local development project extension workers and local group members in decision-making.

**Participatory evaluation** assists in adjusting and redefining objectives, reorganizing institutional arrangements or re-allocating resources as necessary. Monitoring and evaluation system (MES) allows continuous surveillance in order to assess the local development project’s impact on intended beneficiaries.

- Involving local people in project evaluation is one of the learning objectives of participatory management.
- Apart from project’s impact on the life of the people, it is also worthwhile to evaluate: i) attitudinal changes in the local community about their role and sense of responsibility; ii) if people have gained confidence in their ability to undertake new activities; and iii) lessons about people’s capacity, extent of participation and community responsibilities.
- It provides an opportunity to the project implementation committee to assess deficiencies in the project design - if objectives and work plan were realistic, if local funding was adequate and whether project actually owned by the people.
- Answers to these questions indicate future precautions and modifications in the method and approach. This in itself is an achievement in capacity building at the local level.

**Role of community extension workers**

- It is the responsibility of extension workers/community development motivators to make beneficiaries aware about the project/programmes and their objectives.
- They should develop and help beneficiaries identify indicators and measurements for each project activity. Based on these, extension workers should collect data on inputs and outputs by using simple formats and tables.
- They should process, organize and analyze the data for evaluation.
- For participatory evaluation, they should assist beneficiaries to understand the process, using simple procedures.
- After processing, organizing and analyzing the data, extension workers must assess the impact of local development project activities.

**PME should be:**
1. Demonstrative, not instructive in writing
2. Collaborative, not individualist or directive
3. Explorative, not repetitive
4. Listening to, not lecturing
5. Interactive, not dominating
6. Qualitative, not quantitative
7. For community/people, not project-oriented

**Steps in participatory monitoring and evaluation (PME)**

**Step I** - Understanding goal/objectives of local development project/programme.

**Step II** - Identifying activities to achieve objectives.

**Step III** - Identifying measurements to assess results or show extent of progress achieved.

**Step IV** - Developing measurement indicators.

**Step V** - Identifying methods and techniques of collecting information.
Step VI - Selecting formats/visual tools for presenting information

Example

Step I Goal: “To increase the income of poor rural households that depend substantially on production and trade of dairy products for their livelihoods.”

Objectives

- Smallholder dairy sub-sector market orientation is enhanced.
- Smallholder dairy farming productivity enhanced and production costs reduced.
- Market linkages of smallholder dairy, small scale milk traders and small size milk processors farmers strengthened
- A conducive environment for the development of the smallholder dairy sub-sector created
- Project management is effective and beneficiaries are fully involved in the implementation and monitoring of the project activities

Step II – identification of activities

Activities

- Community start-up workshops
- PRA and DCA-AP preparation
- DCAC training
- Inventory of groups
- Capacity building of groups
- Identification of the poor and vulnerable
- Group problem analysis
- TNAs
- DEPs preparation
- Capacity building of groups
- Organise study tours
- sensitise the dairy groups on entrepreneurial skills
- Link groups with service providers
- Support preparation of bankable proposals
- Skills enhancement of government staff
- train DGs on technical skills
- develop a smallholder milk recording system
- Carry out an inventory of feed resources
- Promote feed conservation techniques
- Establish fodder bulking sites
- Carry out an inventory of private technical service
- Train farmers on AI services and dairy recording
- Train on collection of market information
- procure cell phones for the district target groups
- Train groups on marketing skills
- Conduct training on dairy product standards for technical staff
- Set up pilot
- Conduct a study on school milk programme
Step III - Assessment measures

- No. of groups trained in group dynamics
- Groups operational by type People trained by gender and subject People trained by gender and subject
- No. of training/workshops/field tours organized by type.
- Formal enterprise/farmer associations (for marketing activities) registered
- No. of enterprises plans prepared by groups
- Groups using purchased inputs
- No. of training in negotiation skills and contracts and attendance by gender
- Groups/people trained by gender and subject
- Groups/people trained by gender and subject
- No. of Groups trained in bookkeeping, accounting, business planning & enterprises development (by gender)
- No. of groups active borrowers
- No. of groups active savers
- No. of bankable investment proposals developed by the groups
- No. of proposals financed At least 5 financial products developed for Small Scale Dairy Enterprises
- increase in fodder production at farm level
- Ha. of forage established at farm level
- increase of fodder availability at farm level during the dry season (quality, quantity)
- People adopting technology recommended by project (by type and gender)
- fodder bulking sites established36 demonstration fodder sites
- No. of Groups undertaking forage bulking
- No. of small scale mills established and functioning
- Groups using purchased inputs
- 10% increase in number of small-scale dairy farmers using industrial/purchased inputs (fertilizers, concentrates fodder seeds, etc.) by gender.
- 1 Study on existing milk production and processing technologies carried out

Step IV - Developing measurement indicators

- Hold group discussions among farmers/stakeholders and share common experiences.
- Use brainstorming methods (list all possible ideas and select suitable ones).
- Develop indicators for each activity designed to achieve specific objective

Step V - Identifying methods of collecting information

At community level

- Group discussion among people.
- Direct observation of site activities.
- Interviewing individuals.
Tools

- Resource map
- Pie chart
- Bar chart
- SSI (Semi-structured interview)
- Venn diagram
- Gender daily calendar and others

Remember to collect data in

- Simple form
- Local language
- Regular interval (monthly, quarterly, half-yearly or yearly, etc.)
- Remember PRA guidelines

Step VI- Selecting formats/visual tools for presenting information

- Charts/graphs/diagrams.
- Visual presentation is easier for village people to understand.

Measurement Indicators

<table>
<thead>
<tr>
<th>Indicators of organizational strength</th>
<th>Indicators of group participation</th>
<th>Indicators for gender issues (women in development)</th>
<th>Indicators for environmental issues</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of villagers who know or who have heard about organization or groups</td>
<td>Number of groups or rural organizations</td>
<td>Funds allocated for women in development activities</td>
<td>Degree of rehabilitation of degraded areas</td>
</tr>
<tr>
<td>Frequency of attendance of participants in the meeting</td>
<td>Socio-economic composition of groups</td>
<td>Women’s share in benefit</td>
<td>Community forests protected, managed and utilized</td>
</tr>
<tr>
<td>Number of meetings held each month</td>
<td>Number of person-days of labour contributed</td>
<td>Women’s participation in decision making</td>
<td>Forest area increased</td>
</tr>
<tr>
<td>-</td>
<td>Material and money contributed by group</td>
<td>Women trained in various activities</td>
<td>Bio-diversity increased and protected</td>
</tr>
<tr>
<td>-</td>
<td>Joint funds collected from local sources and used for maintenance work</td>
<td>Change in time spent by women in domestic and farm activities</td>
<td>Landslide, soil erosion and floods decreased</td>
</tr>
<tr>
<td>-</td>
<td>Participation of farmers</td>
<td>Change in women’s income, expenditure and savings</td>
<td>Water-source increased and protected</td>
</tr>
<tr>
<td>-</td>
<td>Capacity to maintain local facilities</td>
<td>Position of women in different states</td>
<td>Decrease in incidence of environment-related diseases/disasters</td>
</tr>
</tbody>
</table>
3.0 PARTICIPATION AND EMPOWERMENT

3.1 PARTICIPATION:

Definition

- Means taking part together, sharing information and resources, and is a key virtue in sustainable development.
- It the process of devolving power to the powerless
- Participation is about opening up the design process to include those directly affected and analysing data together.
- It Empowers communities solve their own problems.
- Means taking part together, sharing information and resources, and is a key virtue in sustainable development.

THE 4IS AND THE 4CS OF PARTICIPATION

The 4 Is

1. Integrated
2. Involving
3. Inclusion
4. Interaction

The 4 Cs

1. Collaboration
2. Collegial – (Mutual, respectful, friendly)
3. Co-ordination
4. Cooperation

Types of Participation

Typology Characteristics of Each Type

Passive Participation

People participate by being told what is going to happen or has already happened. It is a unilateral announcement by an administration or project management without any listening to people's responses. The information being shared belongs only to external professionals/administrators.

Participation in Information Giving

People participate by answering questions posed by extractive researches using questionnaire surveys or similar approaches. People do not have the opportunity to influence proceedings, as the findings of the research are neither shared nor checked for accuracy. e.g. surveys for academic research

Participation by Consultation

People participate by being consulted, and external agents listen to views. These external agents define both problems and solutions and may modify these in the light of people's responses. Such a consultative process does not concede any share in decision making, and professionals are under no obligation to take on board people's views.

Participation for Material Incentive

People participate by providing resources, for example labour, in return for food, cash, or other material incentives. E.g. food for work programmes. Much on-farm research falls in this category, as farmers provide the fields but are not involved in the
experimentation or the process of learning. It is very common to see this called 
participation, yet people have no stake in prolonging activities when the incentives end.

**Functional Participation**
People participate by forming groups to meet predetermined objectives related to the 
project, which can involve the development or promotion of externally initiated social 
organization. E.g formation of groups to get access to the youth/women fund. Such 
involvement does not tend to be at early stages of project cycles or planning, but rather 
after major decisions have been made. These instructions tend to be dependent on 
external initiators and facilitators, but may become self-dependent.

**Interactive Participation**
People participate in joint analysis, which leads to action plans and the formation of new 
local institutions or the strengthening of existing ones. It tends to involve 
interdisciplinary methodologies that seek multiple perspectives and make use of systemic 
and structured learning processes. These groups take control over local decisions, and so 
people have a stake in maintaining structures or practices. PRA and development of 
Community Action Plans.

**Participation by self-Mobilization**
People participate by taking initiative independent of external institution to change 
systems. They develop contacts with external institutions for resources and technical 
advice they need, but retain control over how resources are used. Such self-initiated 
mobilization and collective action may or may not challenge existing inequitable 
distribution of wealth and power. Example community volunteering to open up a rural 
access road.

### 3.2 EMPOWERMENT

**POWER – What does it entail**

- The origin of power lies in culturally defined positions of authority on which the 
  community relies for solution of conflicts and decisions about how to act wisely 
  and effectively
- Power is understood in general terms as the ability for one to make others act 
  according to his or her wishes or to work for him/her thus meeting his/her 
  specific interests.
- It is often conceptualized as the capacity of powerful agents to realize their will 
  over the will of the powerless and ability for them to do things which they do not 
  wish
- Power has to do with influencing the behaviour of others to meet one’s need, 
  requirements or standards
- Power is also seen as a possession - something which is held onto by those in 
  power and which those are powerless try to wrest from their control.

**EMPOWERMENT**

- Entails the process of building up people’s capacity to influence course of action 
  by those in authority determining public policy e.g. training of dairy groups in 
  group dynamics
- Such collective influence on public policy should serve people’s specific and 
  collective interests and aspirations
• It will also imply building up people’s capacity to take active responsibility over their own decisions.
• It is the process of enabling people to assume the responsibility to shape their own destiny/development

3.3 EMPOWERMENT AS A POLITICAL PROCESS

• Empowerment has also been understood as essentially a political process that seeks to redistribute power in favour of the poor and the disadvantaged.
• The process is marked by an effort by the grass roots to develop new knowledge and skills, which serve people’s specific needs
• This will include appropriation and adaptation of technology/skills in extension services so that it serves the people in response to their development priorities and in context of the people’s specific cultural settings and experiences e.g. establishment of fodder

3.4 EMPOWERMENT AS A PROCESS

1. Power within self (Individual level)

   How?
   
   • Information sharing
   • Dialogue
   • Appreciation
   • Giving opportunities/responsibilities
   • Building a trusting environment

2. Power to do – Transformation level (individual level)

   • Build an economic base
   • Self support in technical and social skills

3. Power with others (at group level)

   How?
   
   • Building people’s organization e.g. Lobby groups, Marketing federations, associations, networking, collaborations, linkages

4. Power to overcome circumstances – control level

   • Self management and organization
   • Formalization of groups action for change as legal entities
   • Social support system put in place for the weak
   • Lobby for good commodity prices
Lobby to influence policy issues

Discussion question: What is the result of people’s empowerment?

3.5 COMMUNITY EMPOWERMENT - THE TEN ELEMENT CYCLE

- The purpose of these TEN elements is to ensure a thorough understanding of the key components which are crucial for any quality community development programme to be considered complete.

1. Institutional strength as a promoting agency

- An institution can not improve on other peoples situations if its own is in shambles
- It is therefore imperative that the change agent undergo a self examination towards strengthening its own position as an effective and efficient entity

This will involve looking at the following areas: -

- Does the organization have a corporate vision, mission, strategies and values
- Does the organization have a committee/Team to oversee its operations
- Are there policies, norms, and working guidelines known to all those who work in it
- Does it have a legal identity
- Is there personnel policy, employment contracts, job descriptions, do the staff do what they were trained to do, does it have qualified staff trained for the job
- Is there adequate office working space, are office facilities adequate
- Is the organizational methodology and management style empowering and participatory,

2. Complementary methodological orientation

- Promotion of methods of work and extension that compliment organizational vision, mission, values and aspirations
- Use of consultative and participatory methodologies that seek to empower the powerless
- Orientation of staff to ensure they stand by the organizational ideals, vision and values
- Living out what we believe and preach as an organization in our relations between ourselves, with our neighbours and with our clients
- True sense of partnership reflected in our day to day working relations with the target groups
- Showing seriousness in commitment and conviction on the organizational ideals, vision and values by encouraging staff who cannot bend to or subscribe to them to seek alternative sources of living else where
• Training and sharing with stakeholders to understand the organizational ideals, vision and values
• Planning based on the needs and priorities of the target group

3. Change of attitude/ change of values

• We need to facilitate change of more humane values and attitudes among our people as the deliberate option of the poor in our targeting
• Change from the outright tendency to condemn those afflicted (blaming the victim) as an easier option, rather than taking time and the pain to understand their circumstances
• Change from attitude of competition for individual gain to that of cooperation for common good or spirit of collective sharing
• Change from “individual show pieces” to team work, appreciating and acknowledging the input of others
• Change from counting ourselves as more important than others to seeing others as equally capable of or even counting them better than ourselves
• As professionals we need to develop faith in the people and appreciate them for who they are and not what they are, that is regardless of their social status in the community
• We need to appreciate that illiteracy is not inability
• We need to instill morals of accountability and transparency as opposed to the assumed heroism in stealing of the public kit without impunity or guilt.

PEOPLE FIRST

Go to the people, Live with them, Love them, Learn from them, Work with them, Start with what they have, built on what they know

And in the end
When the work is done the people will rejoice
“We have done it ourselves” – (Source Burkey 1996)

4. Promotion of people’s democracy

• Creation of CBOS/groups as instruments of decision making and community action as opposed to “individual farmer contact” which tend to promote individualism e.g. Formation of dairy groups
  • Promotion of democratic ideals and practices right from small groups of action
  • Need to create development committees as community instruments to monitor and ensure that only relevant projects are started with potential to make a difference in the lives of the people and to ensure proper accountability to their management e.g. DivPIT, DCAC.
5. Capacity Building

- Instilling self confidence among the people, cultivating sense of dignity, self worth
- Training people in skills that will enable them claim a measure of autonomy from perpetual dependency on professionals e.g. CBHW, Community Animal Vets, pump attendants, milk marketing associations’ etc.
- Training in management skills such as leadership, accounting, conflict management, business management etc.
- Training in social skills for awareness and self defence such as Para legal skills and HIV Aids.
- Developing organizational management capacity such as properly constituted representative boards and committees, organizational constitution, operational policies, competent human resource etc

6. Consolidating people's economic base

- Seeking to strengthen the economic position of the poor/target group through initiatives which have the potential for wealth creation towards poverty alleviation – e.g assisting them to prepare business plans
- Setting in motion efforts to establish income saving projects by the people for the people e.g. saving and credit schemes, cooperatives
- Initiating income generating projects which are profitable and have the potential for surplus income that can be shared among the members as dividends e.g. processing plants, cottage industries, Marketing, commodity exchange etc.

7. Improving living standards right from the family level

- Ultimately good development should be measured by how much it has improved the living standards at the family level
- Are input suppliers, water sources, milk marketing channels, health facilities and other related amenities nearer home/community? Are they accessible to all the community members? Are they affordable?
- Do all the members of the family realize that one of their own is a member of an income generating project? How do they?
- Do families have the necessary skills to improve their own living standards at their levels?

8. Networking and linkages

- Networking involves promoting horizontal and vertical linkages among community organizations and among those who promote those organizations.
- It is through these networks that the power in numbers, is realized and a collective vision for a better society is articulated
• These linkages also become a source of nourishment and affirmation.
• Solidarity and support will strengthen the weak and keep the vision alive.
• Creative developmental experiments are possible as sharing of experiences become central activities at these levels.
• Commitment to social justice and struggle to protect individual rights are reinforced through such networking initiatives.

9. Phase out/phase over plan

• A time comes when an external change agent has either to physically withdraw from the community.
• If the change agent happens to be from outside the community, a time comes when he/she has to phase over more responsibilities to the target group.
• The phase out/phase over does not have to be an overnight activity, but should be a gradual process already conceptualized and planned for.
• It should never happen as a surprise move.

10. Continuous reviews/collective reflection and learning – participatory monitoring and evaluation

• A seasoned community development process will ensure continuous and participatory reviews as regularly as possible towards excellence.
• These could be in form of participatory self evaluations as well as externally facilitated reviews.
• It is through these reviews that a management team will not only establish the worth of what they do but also justify the costs involved in the light of the results and their effectiveness.
• Reviews also provide an opportunity for collective learning.
• Reviews enable people to take a chance to explore the possibilities that exist in their way.
4.0 BENEFITS OF EMPOWERMENT AND PARTICIPATION

4.1 The benefits of empowerment

- Increased self respect and sense of dignity among people
- Increased access to resources and opportunities for self advancement
- Increased scope for self decision making, with the ability to take responsibility over the consequences of those decisions
- Peoples greater control over their own lives and greater autonomy
- Ability to challenge/change the structures and cultures and ideologies which keep people subordinate

4.2 The benefits of participation

1. IMPROVED EFFECTIVENESS
   Participation increases the sense of ownership of the project by beneficiaries, which increases the likelihood of project objectives being achieved.

2. ENHANCED RESPONSIVENESS
   If people participate at the planning stage, the project is more likely to target effort and inputs at perceived needs.

3. IMPROVED EFFICIENCY
   If local knowledge and skills are drawn on, the project is more likely to be good quality, stay within budget and finish on time. Mistakes can be avoided and disagreements minimized.

4. IMPROVED SUSTAINABILITY AND SUSTAINABLE IMPACT
   More people are committed to carrying on the activity after outside support has stopped.

5. EMPOWERMENT AND INCREASED SELF-RELIANCE
   Active participation helps to develop skills and confidence amongst beneficiaries.

6. IMPROVED TRANSPARENCY AND ACCOUNTABILITY
   Because stakeholders are given information and decision making power.

7. IMPROVED EQUITY
   If the needs, interests and abilities of all stakeholders are taken into account.
5.0 PARTICIPATORY INFORMATION GATHERING METHODS AND TOOLS

- The following should be put into consideration before choosing the kind of methods/tools to use in a PM&E process.
- Both the community/Stakeholders and project implementers discuss the purpose and what different each one of them would like to know about the outcome of the project.
- On the basis of indicators the group discusses different types and forms of information required to accurately track indicators.
- On the basis of defined information, tools necessary to adequately gather this information are discussed and agreed on.
- Roles and responsibilities for gathering data are discussed and agreed on. Because it is participatory, both the local communities and other stakeholders will have roles to play. e.g community records of Number ha of fodder established, amount of milk produced, etc while the project implementers gathers the information for analysis and feedback.
- Processing and analysing data - defines how and gives responsibility
- The use of results of PM&E is discussed and also the kind of forums where feedback is to be given etc.

PM&E TOOLS
Selecting the tools
In choosing the tools for PM&E, it is crucial to –

- Reflect on what is being assessed,
- For whom the information is intended,
- The available time and resources
- The skills of those who will be using the tools.

For example, it makes no sense to use written forms if participants cannot read and write; pictorial diagrams may be more appropriate.

SOME OF THE PM&E TOOLS
Many of the PRA tools are useful. Examples are:

- Community resource maps;
- Farm maps;
- Transect walks;
- Historical lines;
- Seasonal diagrams
- Social maps;
- Venn diagrams
- Role playing
- Wealth ranking
- Access to resources profile
- Analysis of tasks
- Mapping
- Needs assessment
- Tree diagrams
- Pair wise ranking
- Strengths, weaknesses, opportunities, and threats (SWOT) analysis.
- Pictorial diagrams
- Impact diagrams and matrices
- Group brainstorming exercises
- Focus group discussions
- Drawings,
- Posters,
- Photographs,
- Theatre,
- Role playing,
- Games.

In addition, tools from “traditional” social science research can be adopted, such as:

- direct measurement
- direct observation
- informal conversation
- interviews of various kinds
- questionnaires
- surveys
- self-evaluation forms
- personal journals
- Some tools, methods for participatory assessments

**Analytical Tools**

- Case studies/scenario analysis
- Gender analysis
- Scenario analysis

**Community-based Methods**
- Participatory Rural Appraisal (PRA)

**Consultation Methods**
- Beneficiary Assessment

**Workshop-based Methods**
- Objectives-Oriented Project Planning (ZOPP)

**Observation and Interview Tools**

- Participant Observation
- Semi-structured Interviews
- Focus Group Meetings
- Village Meetings
- Secondary Data Review
5.1 Monitoring and evaluation methods

Participatory monitoring and evaluation (PM&E)

EXAMPLES

Historical Resource Matrix

<table>
<thead>
<tr>
<th>Monitoring issue</th>
<th>1998</th>
<th>2008</th>
<th>Future</th>
</tr>
</thead>
<tbody>
<tr>
<td>Group formation and sustainability</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Participation of the community in projects</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Milk production</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fodder Availability</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rainfall</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Milk marketing</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

TREND LINE

![Graph showing trend line for milk production over time](image)
### Empowerment Profile

<table>
<thead>
<tr>
<th>Resource/PM&amp;E Issue</th>
<th>Men</th>
<th>Women</th>
<th>Youth</th>
</tr>
</thead>
<tbody>
<tr>
<td>Milk</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Group Trainings</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Gender Integration</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Marketing</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Group Leadership</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Pictorial self assessment

<table>
<thead>
<tr>
<th>Resource/PM&amp;E Issue</th>
<th>Before SDCP</th>
<th>After SDCP</th>
<th>Future</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gender Integration</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Milk Production</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Community Leadership</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Marketing</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## SWOL ANALYSIS

<table>
<thead>
<tr>
<th>Topic/Issue/Project</th>
<th>Strengths</th>
<th>Weaknesses</th>
<th>Opportunities</th>
<th>Limitations</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
<td></td>
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<tr>
<td>3</td>
<td></td>
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<tr>
<td>4</td>
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</tr>
<tr>
<td>5</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

## Resource Benefit Analysis

<table>
<thead>
<tr>
<th>Resource Benefit</th>
<th>How Used (food, cash, etc)</th>
<th>Who uses (man, woman, comm.etc)</th>
<th>Control (man, Woman, Comm., grps, admin, etc)</th>
<th>Challenges</th>
</tr>
</thead>
<tbody>
<tr>
<td>Land</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dairy cow</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Milk</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fodder</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Income from milk sales</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dairy</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dairy goat milk</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Household Livelihood Model

- **INCOME**
  - Salary
  - Crop Sales
  - Milk sales
  - Off farm income
- **EXPENDITURE**
  - Food
  - School fees
  - Dairy enterprise improvement
  - Loan payment
  - Health
  - Others

### Gender daily calendar

<table>
<thead>
<tr>
<th>TIME</th>
<th>MEN</th>
<th>WOMEN</th>
<th>YOUTH</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.15 A.M</td>
<td>Sleeping</td>
<td>Waking up and prayers</td>
<td>Sleeping</td>
</tr>
<tr>
<td>5.15 am</td>
<td>Sleeping</td>
<td>milking</td>
<td>waking up</td>
</tr>
<tr>
<td>5.45 A.M</td>
<td>sleeping</td>
<td>Preparation of break fast</td>
<td>preparing for sch.</td>
</tr>
<tr>
<td>6.30 A.M</td>
<td>Sleeping</td>
<td>serving b/fast</td>
<td>taking b/fast off to sch.</td>
</tr>
<tr>
<td>7.30 AM</td>
<td>Waking up</td>
<td>Fetching water</td>
<td></td>
</tr>
<tr>
<td>8.00 AM</td>
<td>Taking b/fast</td>
<td>Taking b/fast</td>
<td></td>
</tr>
<tr>
<td>8.30 A.M</td>
<td>Checking the boma</td>
<td>Taking milk to dairy</td>
<td></td>
</tr>
<tr>
<td>9.00 AM</td>
<td>Farm activity</td>
<td>Feeding animals</td>
<td></td>
</tr>
<tr>
<td>10.00 AM</td>
<td>Farm activity</td>
<td>Farm activity</td>
<td></td>
</tr>
<tr>
<td>11.00 AM</td>
<td>Farm activity</td>
<td>Farm activity</td>
<td></td>
</tr>
<tr>
<td>12.00 PM</td>
<td>Farm activity</td>
<td>Fetching f/wood/lunch prep</td>
<td></td>
</tr>
<tr>
<td>1.00 PM</td>
<td>bathing/lunch/news</td>
<td>Serving/taking lunch</td>
<td></td>
</tr>
<tr>
<td>2.00 PM</td>
<td>Siesta</td>
<td>Washing utensils/children</td>
<td></td>
</tr>
<tr>
<td>3.00 PM</td>
<td>Off to market centre</td>
<td>Feeding/watering animals</td>
<td></td>
</tr>
<tr>
<td>4.00 PM</td>
<td></td>
<td>Bathing/washing clothes</td>
<td></td>
</tr>
<tr>
<td>5.00 PM</td>
<td></td>
<td>Milking</td>
<td></td>
</tr>
<tr>
<td>6.00 PM</td>
<td>Listening to news</td>
<td>Preparing super</td>
<td>Assisting mother</td>
</tr>
<tr>
<td>7.00 PM</td>
<td>Taking supper</td>
<td>Preparing super</td>
<td>Doing homework</td>
</tr>
<tr>
<td>8.00 PM</td>
<td>Listening to news</td>
<td>Serving/taking supper</td>
<td></td>
</tr>
<tr>
<td>9.00 PM</td>
<td>Listening to news</td>
<td>Preparing children to sleep</td>
<td></td>
</tr>
<tr>
<td>10.00 PM</td>
<td>H/Hold discussions</td>
<td>Washing utensils</td>
<td></td>
</tr>
<tr>
<td>10.30 PM</td>
<td>Sleeping</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.00 pm</td>
<td>Sleeping</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
The first data collected before the project implementation may form the base line data. The same tool can be used to analyze the situation, using the same needs sometimes during the implementation to check if the project interventions had any significance change in the priorities and needs of target group in the project areas.

The profile provides the details of “what” activities are carried out by various gender groups in a household or community”. The activities are categorised as productive, reproductive and community roles.
**Benefits Analysis Chart**

**PURPOSE**

The tool helps participants understand what the "fruits" of a project, resources or activity are and who enjoys them.

<table>
<thead>
<tr>
<th>PRODUCT/BENEFIT</th>
<th>HOW USED</th>
<th>WHO USES</th>
<th>WHO DECIDES</th>
<th>CHALLENGES/ISSUES/CONCERNS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Meat</td>
<td>♂♀♂♀♂♀♂♂</td>
<td>♂♀♂♀♂♀♂♂</td>
<td>♂♀♂♀♂♀♂♀</td>
<td></td>
</tr>
<tr>
<td>Milk</td>
<td>♂♀♂♀♂♀♂♂</td>
<td>♂♀♂♀♂♀♂♂</td>
<td>♂♀♂♀♂♀♂♂</td>
<td></td>
</tr>
<tr>
<td>Skin</td>
<td>♂♀♂♀♂♀♂♂</td>
<td>♂♀♂♀♂♀♂♂</td>
<td>♂♀♂♀♂♀♂♂</td>
<td></td>
</tr>
<tr>
<td>Dairy goat</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**PURPOSE**

The tool helps participants understand what the "fruits" of a project, resources or activity are and who enjoys them.

**SOME QUESTIONS TO ASK WHEN FACILITATING**

- What are the major benefits from the activity or resource?
- How are they used?
- Who uses the product/benefits? (man, woman, both, community)
- Who decides on their use?
- If sold how is the cash used? Who decides on use of the cash?
- What are the major challenges to the use and sustainability of the project and its benefits? Who is more constrained by the challenges?
6.0 PARTICIPATORY IMPACT ASSESSMENT (PIA)

PARTICIPATION
Simply means to be involved. Key things to think about in participation include:

- Who participates?
- What are their roles?
- Why should they participate?
- What value does it add?
- How do they participate?

At the heart of PIA, however, are four broad principles:

- **'Participation'** - which means opening up the design of the process to include those most directly affected, and agreeing to analyse data together;
- The inclusiveness of PIA requires 'negotiation' to reach agreement about what will be monitored or evaluated, how and when data will be collected and analysed, what the data actually means, and how findings will be shared, and action taken;
- This leads to 'learning' which becomes the basis for subsequent improvement and corrective action;
- Since the number, role, and skills of stakeholders, the external environment, and other factors change over time, 'flexibility' is essential.

Features of Participatory Impact Assessment

- **Aims to empower local people.** enable people to articulate their own vision to work towards achieving set objectives
- **Community is fully involved in the process:** it helps them to own the project so they can plan, implement, monitor and evaluate it
- **Community identify their own indicators of success:** based on goals, activities, decisions and results
- **Methods are simple,** open and with immediate of sharing results
- **Built in** from the start of a project
- **Flexible** to fit the local context

Summary of key steps in PIA

- Set long term goals with the community (dreams).
- Community articulates what they would like to see if the project is successful and the benefits they will reap.
- Record in writing, graphically or on tape (audio, visual). Be faithful to the community’s words
- Create checklists of what needs to be done to realise goals (decide together what objectives to work on first and activities to undertake. Match the activities with the objectives. Keep records and adjust as activities get done
• Monitor progress using checklists. Tick off the checklist on what has been done and against each record achievements/benefits realised. Develop checklist of the things not done or needing to be done as they emerge from monitoring.

• Reflect on changes noticed and progress made. Community discusses what is going well, benefits, lessons, changes required. Record in their own words.

• Produce a record of the assessment that the community itself can understand. The accumulated records illustrate where the community came from and where they have reached. It forms a pool of experiences that can be replicated or modified. This enhances community confidence and ownership and ability to take on new ventures on their own or as equal partners.

6.1 Approaches to Participatory Impact Assessment

• To what extent has a development project achieved its purpose and reached its goal?
• It is important not only to ask, "Are we doing things right?" but also, "Are we doing the right things?"
• Development agencies justify their actions in terms of impact on the framework, and projects justify themselves through good performance.
• In the best case, a project starts with an orientation phase that provides a constructive participation for stakeholders and project staff to get a clear picture of the project, its problems and opportunities.
• Without the orientation phase, a participatory project analysis would be the minimum requirement for relevant project planning.
• Until the outputs of a project are utilised and impacts are achieved, a certain amount of time passes during which the perspective changes.
• On the other hand, there are external factors of change, such as the national and international economy, different policies, etc.
• There must be complete awareness that the project is only one factor among many, and finally, that a change in the framework is the result of the influence of all factors.

6.2 The Six Steps in Participatory Impact Assessment

How to Initiate PIA

• If you are about to design and plan a project, or if your project is in the orientation phase, begin with Step 1: Involvement of stakeholders and information management.
• If you are already running a project, begin with Step 3: Formulation of impact hypotheses. You can use the project planning matrix to start with PIA, but keep in mind that PIA needs to shift the focus from performance to the context of a project.
• An existing planning matrix, however, is often rather strictly related to project performance.
• To ensure that the perspective is understood and well represented, it is strongly recommended that the problem analysis be re-examined (Through PRA) and a wide range of impact hypotheses be formulated.
Step 1: Involvement of Stakeholders and Information Management

Involvement of Stakeholders

- Participation is a matter of compromising the various perceptions, attitudes, opinions and objectives of different stakeholders through negotiations in a real-life local context.
- Stakeholder diversity means managing conflicting interests but also involves a huge potential of choices to solve prevailing problems.
- Therefore, one of the first tasks in project planning is a stakeholder analysis that can simultaneously be used for PIA.
- A project may trigger changes in its viewpoint through its outputs. But it is the stakeholders who actually make the changes through social processes such as learning, adaptation, rejection, etc. Therefore it is necessary that stakeholders are actively involved in the PIA procedure from the beginning.

The importance of stakeholders in PIA

- They bring their deep knowledge and perception of the project framework into the analysis of problems and alternatives
- They provide a large number of positive and negative impact hypotheses which may otherwise be overlooked by the project team
- They provide local indicators
- They become actively involved in observation and data collection
- Changes in the project structure cannot be assessed without them
- At the end of a project phase, stakeholders provide new opportunities for improving the project’s work.

The active participation of stakeholders throughout the PIA procedure provides new opportunities for improving a project’s work.

Information Management

- PIA can only be successful if it is transparent and if the information collected is relevant to different stakeholder groups.
- For each group, information must be presented in an appropriate and understandable form or media.
- The means of communication and dissemination of information are determined by the needs of each group.
- Information must be stored accessibly for everyone who is interested in it.

Involvement of Stakeholders and Information Management

The following guiding questions to be answered in a participatory exercise will help to structure information management:

- Which stakeholders will participate in PIA (Small scale dairy farmers, Milk marketing groups/associations, project staff, other stakeholders etc.)?
- What kind of information can they provide (technical, cultural background, production figures, ITK etc.)?
• What kind of information do they need / is relevant to them (technical, economic, Social etc.)?
• Which form of presentation do they prefer (reports, discussions, video shows, brochures etc.)?
• What is the best way to communicate and disseminate the information (Leaflets, radio programmes, reports etc.)?
• How should the information be stored so that it is permanently accessible (databases)

Preparation of PIA Documentation

• The matrix concerned with "stakeholders and information management" is the first document in the PIA procedure.
• To make the procedure transparent and replicable, the entire PIA should be thoroughly documented as well, which should be prepared already at this stage. PIA documentation will contain information gathered during each step, for example:
  ➤ Who used what arguments during stakeholders' discussions and which decisions were taken? (Steps 1 and 2)
  ➤ Which positive and negative impact hypotheses were formulated? (Step 3)
  ➤ Which impact indicators were discussed, which ones were chosen, which indicators were replaced or modified later on during the PIA process and why? (Step 4).
  ➤ Which monitoring methods were chosen, how were they adapted / modified during the monitoring process? (Step 5).
  ➤ Who was interviewed, what was asked and what was observed, when and where? (Step 5).
  ➤ How was the information collected, interpreted and judged, and who used it.
**Step 2: Review of Problem Analysis**

*The Project*

- What are the most important aspects or elements in a project structure?
- How are they interlinked?
- What role do they play in the structure?
- Is the framework moving towards or away from sustainability?
- The project framework, i.e. its biophysical, socio-cultural, economic, institutional and political environment should be well understood before a development operation is initiated.
- An orientation phase leaves ample time for that.
- But most projects have to rely on a rather short problem analysis that is - hopefully - carried out with stakeholders who know the context well enough.
- A common method is the problem tree, which requires the selection of a core problem (the stem), defining causes (the roots) and consequences (the branches). But focusing on only one problem with linear and causal relationships is critical.
- The elements of a context - i.e. people, institutions, resources, etc. - are highly inter-connected and not all elements and interrelations are known, even to insiders
- Stakeholders with their different agendas represent an additional degree of uncertainty and unpredictability.

**Review of Problem Analysis**

- It is conducted with stakeholders to involve a variety of different backgrounds, knowledge and experience.
• It may be difficult to agree on a common picture of a context in the short run. But the debate about different perceptions of the same context helps to avoid predetermined thinking at an early stage.
• Analysis of the context can start with development of a flow chart
• At the beginning, the analysis should be broad in order to automatically involve impact hypotheses (Step 3): Where could the project intervene? What will happen if it intervenes?
• Disagreements during discussion only indicate the need for further clarification.
• They can be considered as a wealth of alternative development options.

**Step 3: Formulation of Impact Hypotheses**

*Starting with the Project Planning Matrix*

• Is the project framework moving towards or away from sustainability?
• What impulses can a project give towards more sustainable development?
• What positive and negative impacts might this imply?
• Many projects that start with PIA have already completed their planning. Goal, project purpose, results, activities, indicators, etc. are formulated and compiled, for example in a project planning matrix. This matrix can be used to initiate PIA for the first time. The precondition, however, is that the wider project frame work be taken into consideration.
• Therefore, the formulation of impact hypotheses begins with the goal and project purpose. Later, it may be continued with expected results.
• Projects that have not yet established a planning matrix formulate impact hypotheses on the basis of a sound context analysis (Step 2).
• A participatory network or systems analysis will automatically lead to questions about where the project could intervene, which elements and interrelations will be involved, what would happen after an intervention, etc.

**Clarifying the Project Goal, Purpose and Expected Results**

• The formulation of the project goal, purpose and expected results should reflect a situation to be achieved.
• In this case, the focus is more likely on the framework text, and it is much easier to establish impact hypotheses comprising utilisation, effect, benefit I drawback and impact.

**Formulation of Impact Hypotheses (setting of objectives)**

*For example Formulation of a project purpose*

• The project purpose, for example, should describe a "situation to be achieved"
• Formulations such as "the purpose is to enhance sustainable dairy production practices” indicates an activity
• An “effect” or “impact” is better addressed by “milk production has increased, fodder crops are established, incomes of small scale dairy farmers increased”, etc
• The achievement of a vaguely formulated purpose such as "farmers are ready to establish fodder" will be more difficult to prove than "farmers have established fodder "

35
Finally, catchwords such as "the living conditions of farmers are improved" or "dairy sector is more sustainable" require clarification of what is meant: "Living conditions or more sustainable" means increased income; better housing; clothing, etc. and "more sustainable" means increased production, reduced degradation, social adaptability, etc."

**Step 4: Selection of Impact Indicators**

**Indicators:**

- An indicator comes from a Latin word “indicare”: “to point out” which means gauge or standard against which progress made is judged.
- Standards against which achievement should be measured or what manifestations will tell us whether we are realizing what we planned.
- Bits of information that highlight what is happening in system.
- Something which tells you about something else e.g. fuel gauge indicates the amount of fuel is still in the tank and helps in deciding whether to refuel or not.
- An indicator is important and meaningful only if it relates to the information you need and you can interpret it.

**Indicators can provide information on a range of things e.g.**

- Presence of something (Fodder Bulking plots)
- Access to a service (dairy groups receiving training)
- Level of acquisition and use (frequency of loan acquisition repayment)
- Spatial coverage (no. of farmers using A.I)
- Relevance of an activity (Recommended dairy goat breeds)
- Quality of an activity (better milk yields)
- Effort required (cost saving in production)

**Participatory collection of indicators**

This means developing indicators together with the beneficiaries. Some key guides to this process include:

- What are the information needs of the different stakeholders?
- What does each stakeholder consider important and relevant?
- How do the perceptions differ with age, gender, occupation, social class etc.?
- What methods would the different stakeholders use to measure success or failure?
- What would be the local term for “indicator”?

**Note:**

**Local indicators**

- Not all relevant stakeholders such as farmers, vulnerable groups, CBOs, FBOs etc. may be able to participate during indicator selection.
- In this case some time should also be devoted to getting their opinion - in the form of local indicators often hidden to outsiders e.g. indicators of poverty, if at least some of these indicators are found and incorporated in to the PIA procedure, communication among stakeholders will be considerably facilitated.
Preparation impact assessment indicators - Some important details when preparing for impact assessment

• All stakeholders should agree on a common rating (benchmarks) for all important indicators e.g. score 1 – 5 or 1 – 10 (1 bad, 10 excellent)
• Determine at what level the assessment will be made (household, community, group etc). For example, if there is a great heterogeneity of households (poor, rich, small scale dairy farmers) changes should be assessed individually or at least separately for each category. If all categories are charged together at the community level, the result will be average which may not reflect important changes in individual households.
• After a set of impact indicators has been selected, an initial observation (monitoring) that takes all of them into account produces the baseline. In the first years PIA includes those indicators that are sensitive to short term changes e.g. Prices of milk, etc Indicators sensitive to mid – long term changes will gradually be added over years e.g. Milk production

Step 5: Development and Application of Impact Monitoring Methods

Participatory Methods to Collect and Record Data.

• There are many methods, some conventional and others emerging participatory and creative
• Conventional ones tend to be research centred e.g. secondary data, reviews, surveys, interviews, group meetings/ workshops, direct observation
• The participatory ones tend to be interactive and inclusive e.g. PRA tools
• The choice depends on the purpose, information required, time available, expertise of the data collector, context and method of analysis among other factors
• No one method is sufficient on its own so they need to be used in combination and be logically sequenced.

The following principles and guiding questions provide assistance when adapting monitoring methods to a specific project situation:

• **Accuracy:** which stakeholders will use the information and for what purposes? How accurate must the information really be in view of these purposes? Would the same method applied by different persons provide comparable results?
• **Area coverage:** Is there a need for results with great area coverage, or is there a need for more detailed information from a few representative locations, households, etc?
• **Frequency:** How often should information be updated, (this is strongly related to the accuracy of the method and the sensitivity of the corresponding indicators)
• **Feasibility:** Can the method be applied with the resources available to the project (field equipment, laboratory facilities, transport, labour, skills, funds, etc), or If not, how can the method be adapted to the project's resources? Can parts of the monitoring be out-sourced, i.e. be conducted by universities, private companies, external experts etc.?
Step 6: Impact Assessment

Assessing Changes in the Project Context

• How did the project structure change in the eyes of different stakeholders?
• What did they learn from these changes? In Step 4 (selection of impact indicators) stakeholders prepared an assessment (fixing benchmarks and rating), which will now be visualised by using a "Spider" or "amoeba" diagram. The diagram has one "line" or "spoke" for each selected impact indicator.
• Impact indicators can be grouped and placed according to dimensions of sustainability (social, institutional, economic, ecological, standard of living), in order to visualise in which dimensions changes are moving towards or away from sustainability.

Assessing Changes in the Project Context

• All units (e.g. kg, minutes, tons! etc.) have already been converted into a neutral numeric scale ranging from 5 (change considered very good) to 1 (change considered very bad).
• The results of the initial monitoring - the status quo of the project.
• Situation at the beginning of PIA - are marked for each indicator on the diagram. This serves as the "baseline" - a reference for all future monitoring.

Assessing Changes in the Project situation - Use of amoeba/spider diagram

Impact Assessment

• After each indicator ("spoke") is assessed separately, all marks can be connected with a line to form the "spider web" or "amoeba" (the scoring). After a certain time - depending on the sensitivity of the indicators this can be done, five or even
ten years - each indicator is monitored again, and the results are marked on the spider diagram and compared with the baseline.

- This graph needs to be discussed and interpreted. Is the change achieved in all indicators satisfactory? If not, which indicators or which dimensions of sustainability show weak monitoring results?
- What might be the reasons for a remarkable good or bad rating?
- How did the changes come about? Is there a need to adapt the project's plan and activities?

Attribution – Assessing the Impact of the Project

- Naturally, the spider diagram can only reflect changes covered by selected impact indicators.
- How can these changes be attributed to the project? Were there additional changes that were not expected and, therefore, could not be covered?
- Which changes contribute to the goal of the project? Due to the attribution gap it is not easy to attribute changes to a project.
- The challenge is rather to find plausible relations between the project's outputs and the changes rather than scientific proof.
- Changes in the situation can be considered the result of social processes, i.e. interactions between individuals or groups, such as learning, adaptation, communication, decision, integration, etc.
- The project "only" tries to trigger or strengthen these processes with its outputs. For example, any new technology must be utilised and adapted or rejected by stakeholders; members of a society communicate their experience and learn from it; when the biophysical environment or the economic situation changes, people adapt their perception and react to it.
- The question for a project is whether the project outputs have stimulated changes and social processes, and whether these processes are likely to help reach development goals.

*The following guiding questions can be helpful in attributing changes to project actions:*

- What changes can be recognised by the stakeholders since project activities were started (at the household level, at community level, at other levels)?
- What did stakeholders learn from these changes? Stakeholders point towards important social processes by mentioning lessons learnt.
- Which social processes do they indicate (self-determination, empowerment, innovation, adaptation, ethnic integration, participation, social learning, etc.)?
- What plausible relations can be determined between the project, social processes and changes in the context? Would the changes have occurred anyway, i.e. even without the project?
- Which factors have - alone or in combination - contributed to the changes (the project in question, external factors such as policies, other projects, etc.)?
- What is the connection between social processes and (development) goals? Which processes should be strengthened specifically in future?
Example

• A project was started in semi-arid North Eastern Kenya for communities to build and maintain drinking water systems. The local people involved are asked what has changed in their lives since the project started, and what they learnt from this. People stated that utilisation of the project outputs had a number of effects and benefits at the household level.

Effects and benefits of the project

• The new water systems saved time for women in particular and made household work easier. Now, men’s meals are no longer delayed and there are much fewer conflicts about who will go to fetch the daily drinking water. The occurrence of water-born diseases has been reduced considerably and so have the costs for medication. Households learnt that they themselves are responsible for improving the situation of the family and began to discover additional opportunities. Their new, self-confidence, as well as the time people gained and the additional water, created a number of subsequent (indirect) impacts; women started to explore new sources of additional household income, Children went to school in time. There were fewer accidents involving children fetching water. To ensure proper utilisation of the water systems, new water committees were democratically elected (effect) at the community level. But it was a drawback that the maintenance of the water system was blocked by rivalry between the new committees and traditional institutions in many communities.

However; the community learnt to, overcome the social isolation of the committees through intensive participation, debate and integration of both institutions. People considered it a benefit that they learnt how to negotiate village development plans and respect other viewpoints; and realised that development activities can be more successful if they are carried out jointly. The impact was not only the proper maintenance of the water systems and their advantages for the community members. The integrated and thus stronger village institutions, as well as increased competence in negotiation led to better coordination of natural resources management between different villages.

Animal and crop production systems of different ethnic groups of herders and farmers were integrated much more easily. This finally contributed to diversification of household production and income strategies. Thus, through its outputs; the project stimulated social processes of learning; integration, participation and empowerment. There was a plausible link between its actions and positive impacts, and between social processes and development goals, i.e. the empowerment of local people and institutions, and more sustainable management of natural resources. The project is now in a position to support these processes more specifically.

Follow-Up

• Assessment and the attribution of changes will be used to make the necessary strategic adjustments in the project.

• At the same time, the PIA system needs to be adapted as well. In order to achieve positive impacts the following questions needs to be answered:
• Are there new stakeholder groups that should be involved during the next project phase (Step 1)?
• Is the analysis of the project context still relevant and representative (Step 2)?
• Do the impact hypotheses have to be revised or supplemented, after initial changes and impacts appear (Step 3)?
• Follow-Up
• Is the selection of impact indicators still relevant, and can it represent all important changes (Step 4)?
• Did the monitoring methods applied produce useful data and information?
• How can methods be optimised or simplified?
• What should be added or omitted (Step 5)?
• Was the impact assessment satisfactory or does it need to be modified (Step 6)?
7.0 WRITING A PARTICIPATORY MONITORING AND EVALUATION REPORT

Report writing guidelines

- This outline/format should be discussed and approved by all the relevant stakeholders.
- This should include the main topics to be covered.
- Report format has to be brief.
- Report should be kept short, leaving out all tables and details that are not strictly necessary.
- Ensure the information needs of the intended audience are fully understood before the exercise begins.
- Timely submissions of reports are vital.
- Know when the report is needed, the level of details and the decisions to which the report will contribute.
- Include reference material in a separate annex.
- Data should be analyzed to convey meaning.
- Reports should be linked.
- Always discuss main findings and conclusions of previous report before the presentation of current operations.
- Reports should be prepared as quickly as possible. An excellent report that arrives too late will be of no use to the stakeholders.
- Reports should make specific recommendations as to the possible actions that need to be taken.
- Present both what is considered to be the best course and a number of more moderate alternatives that take into account resource and other constraints.
- Discuss the findings informally with the relevant stakeholders before the report is distributed.
- In this way the information will reach the authorities more quickly, and their comments and suggestions can be incorporated into the final report.
- The basic findings can even be communicated by telephone.
- Note that the value of information decreases rapidly over a period of time. So essential findings should be communicated as quickly as possible. Clear the report with all key parties before it is formally presented.
- This will help to eliminate errors and will also ensure that many points are clarified informally without embarrassment of confrontation in a management committee meeting.
- Decide who should receive the report.
- Although information should be disseminated as widely as possible, it may not be possible to speak frankly on delicate issues if the report is circulated too widely.
- A well bound and presented report makes reading interesting.
- Ensure that report is proof-read before circulation.
WRITING A MONITORING AND EVALUATION REPORT

The report should include the following sections:

Front cover

- Title, name and location of the programme
- Names of those with whom the programme is linked, such as ministries and donor agencies
- Period covered by the report
- Date of reporting
- Names of those involved in the exercise and report compilation

Acknowledgements

This is the section where the contribution of various parties and individuals towards the PM&E exercise is recognised and appreciated.

Executive summary

This is a brief (one or two pages) overview of the report. It is useful for busy readers and those who may not wish to read it in more detail. Explain the purpose of the report, to whom it is addressed, major conclusions, and important recommendations. It is written last after writing the body of the report.

Table of contents

A list of contents in a clear, logical order will help the reader find sections of special interest to them. The list should include topics and page numbers.

Background information

- This puts the programme into perspective and shows its origin, objectives and evolution.
- Explain briefly when, why and how the programme began, who was involved by type of participant, length of participation, training received and numbers involved.
- Which were the priority objectives
- Which were the main activities and resources involved
- The length of this section will depend on the objectives of the report and the space available.

Methodology

- Briefly describe the methods you used to collect and analyse the information gathered.
- Attach copies of tools used in an appendix where possible.
- Mention constraints experienced in the course of the entire evaluation exercise, including field gathering, manpower, finances, physical resources, and political context.

Findings (Main body of the report)

- Data reported will usually be both in figures and descriptive (quantitative and qualitative).
- After analysis of the facts, figures and other information collected, tables, graphs and test results can be prepared and included.
• One may also want to include typed examples from recordings, illustrations or photographs whether as appendices or in the main body of the report.
• These can convey a particular point, which can not be expressed in any other form.
• Highlight the objectives that have been attained by the programme and those which have not
• Indicate the problems encountered in the course of the programme
• State the measures introduced to counter these problems and explain the extent of the success

Conclusions
These may include the following:

• To what extent have the programme objectives been met
• What aspects of such as planning management, monitoring, training, field activities are strong and which need to be strengthened?
• Have human and material resources been used efficiently?
• How has the programme changed with time?
• What are its financial costs and benefits?
• What predictions can be made for the short or long term future of the programme?
• What lessons have been learned from the programme?

Recommendations

• On the basis of your conclusions, what courses of action (s) is proposed?
• How are they going to be implemented, by whom and when?
• List your recommendations
• This is often the part of the report which some people read first
• It may be the only part which they read. Hence identify the priority recommendations.

Appendices and glossary_ This will consist of a glossary of unfamiliar words and acronyms, a summary of a financial statement for the period, case studies, photographs, graphs, charts, maps, technical designs and relevant figures and statistical data.