Social Investment Program Project (SIPP)

Process Monitoring Consultancy Services for SIPP

Design Phase Report

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Glossary of Abbreviations and Acronyms

AI	Appreciative Inquiry
BBS	Bangladesh Bureau of Statistics
CAP	Community Action Plan
CF	Community Facilitator (of CSO)
CG	Community Group
CIW	Community Infrastructure Works
CSO	Community Support Organisation
FGD	Focus Group Discussion
M&E	Monitoring and Evaluation
MEL	Monitoring, Evaluation and Learning
MSC	Most Significant Change
NFR	Note For the Record
OM	Operational Manual (of SIPP)
PAST	Project Appraisal and Supervision Team
PM	Process Monitoring
PMA	Process Monitoring Agency
PMC	Project Management Committee
PO	Participating Organisation
QMS	Quality Management System
RO	Research Officer (of the PMA)
SAP	Social Assistance Program
SDF	Social Development Foundation
SIPP	Social Investment Program Project
SRO	Senior Research Officer (of the PMA)
TOR	Terms of Reference
VDC	Village Development Committee

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Contents

1. Introduction

This report is being submitted at the completion of the Design Phase of the Process Monitoring Agency's work within SIPP. The report describes the tools which will be used within the project by the PMA *and other project partners* to establish a sound process monitoring system. The tools have been developed after a consultative process with all stakeholders. The tools have been shared with some partners, and will be shared with others during the forthcoming pilot testing phase. This is expected to be undertaken in June 2004, after which elements of this report and the tools will be revised and ready for roll-out.

1.1. Background to Social Investment Program Project

SIPP's development objective is 'to develop effective and efficient financing and institutional arrangements for improving access to local infrastructure and basic services through the implementation of community-driven small-scale infrastructure works and social assistance programs.'

This objective is to be achieved by (a) setting in motion an inclusive demand identification and follow-up process for social development needs which will contribute to improved local institutional development: (b) demonstrating cost effective and participatory means for implementing small scale rural infrastructure and social assistance projects; and (c) strengthening and enabling a newly established national institution (namely SDF) to identify emerging successful procedures to influence and assist their adoption elsewhere.

SIPP is a four year project, currently scheduled to end in December 2006. It is operating across two pilot districts straddling the Jamuna river in northern Bangladesh: Jamalpur and Gaibandha. These districts rank among the highest in poverty incidence, both in terms of income poverty and human development. However, one component - the pilot private financing of community utilities, will be implemented across Bangladesh, wherever opportunities exists for introducing user fees.

1.2. Process Monitoring and the role of the Process Monitoring Agency

The Social Development Foundation (SDF) is the executing agency for SIPP, implementing it through a number of project partners. These partners include Community Support Organisations (CSOs) for the formation of village groups (Village Development Committees – VDCs) and identification of sub-projects, Participating Organisations (POs) for the implementation of the Social Assistance Program (SAP) and Project Appraisal and Supervision Teams (PASTs) for the appraisal of sub-projects. In addition, the Impact Evaluation Agency has been contracted to undertake impact evaluation studies, while ITAD & CNRS have appointed as the Process Monitoring Agency (PMA).

When SDF was consulted in the Inception Phase about its expectations from PM; the response was that it expects the PM system "to help it find out how well the project is running and identify ways to improve the implementation of SIPP". The PM system has been designed with this in mind. However, as elaborated in the Inception Phase Report, PM is defined as: "*the activity of consciously selecting processes, systematically observing them, comparing them with others, and communicating that in order to learn how to better steer and shape the processes*"[1]

This means that:

- PM involves the systematic (i.e. planned and programmed) monitoring of project processes
- only certain processes are selected for monitoring
- there must be a mechanism to communicate the findings to the project organisations

[1] *Zimmermann, A. and Engler, M. (1996).* Process Monitoring (ProM): Work Document for Project Staff. *Dept. 402, GATE, GTZ, Eschborn, Germany.*

- a learning culture and a learning system need to be place if the outputs from the PM are to be of benefit through guiding project organisations how implementation may be improved

This is highly relevant to the design of the PM system, which maps out:

- the processes selected for monitoring
- the systematic way in which they will be monitored
- the means by which the monitoring results will be fed back to SDF and the partners

SDF and the project organisations need to agree these three key PM parameters as this is how the PM will be done.

It is worth highlighting here that the PMA recognises that it is not possible to accurately identify all the processes that might be monitored at this stage. There is scope to alter some of the selected processes at periodic reviews of the PM system. Furthermore, there may be occasions when specific processes warrant one-off monitoring. The PMA has already done this for processes in Year 1 villages, for Year 2 start-up processes, and in response to requests from the last World Bank supervision mission. Hence the allocation of resources to PM activities reflects this (see Table 2), and 10% of District-based staff time has been allocated to responding to SDF and WB specific and *ad hoc* monitoring requests. A further 16% is allocated to case studies identified by the PMA and project organisations. Nonetheless it needs to be made clear that regular quarterly process monitoring rounds, using checklists to monitor selected processes, will be the primary PM tool. To summarise this paragraph – the main PM effort will be expended on routine PM rounds, a small amount of PM resource is reserved for monitoring particular process issues at the special request of SDF on an *ad hoc* basis. However, the PM system has not been designed with this as its main instrument or modality.

In Bangladesh, process monitoring is still a new concept in development programmes, but it is increasingly being recognized as a vital part of the overall monitoring and evaluation system of a project. While much of an M & E system is concerned with tracking events and numerical targets, PM plays an essential role in identifying changes and the need for possible modifications. The PMA has attempted to clearly explain to all stakeholders in SIPP the purpose and roles of process monitoring so that they can both channel information and benefit from its value. This will be followed up with presentations to the project organisations.

2. Activities during Design Phase

Development projects such as SIPP, which has a complex design with multiple partners and high level of community participation, entail very many processes and sub-process, some occurring in sequence, and others in parallel. It is neither practical nor desirable to monitor all the process involved. Comprehensive monitoring of all project processes would generate so much 'noise' that it would be difficult to interpret the real successes and the real bottlenecks. Therefore, it is necessary to be selective about the processes that are monitored, choosing those processes that are most critical to the implementation success of the project. It is these that will be monitored regularly against a set of defined criteria.

From this definition of PM as: "*the activity of consciously selecting processes, systematically observing them, comparing them with others, and communicating that in order to learn how to better steer and shape the processes*"[2], it can be seen that the first step in designing a PM system is thus the selection of key process in the project, on which to focus the monitoring. Associated with this is the identification of indicators for those selected processes that will show the quality of implementing the processes.

[2] *Zimmermann, A. and Engler, M. (1996).* Process Monitoring (ProM): Work Document for Project Staff. *Dept. 402, GATE, GTZ, Eschborn, Germany.*

Hence the focus of the Design Phase has been selection of key processes and quality indicators for those processes.

To be effective, it was decided that the processes that are monitored must be critical to the way in which the project is implemented. The TORs of the various partners indicate that the focus areas should be:

- Institutional development (and institutional sustainability)
- Client satisfaction with project services
- Mechanisms to ensure transparency, inclusiveness, equity and cost efficiency

The selection of processes for monitoring has been consultative involving project management and stakeholders. This will help to ensure ownership of process M&E activities by key stakeholders. The system has been designed to record and share its information with key stakeholders, including communities. As mentioned above, it is expected that its findings will be the basis for project planning and review meetings and will inform project progress reporting.

In regard to the approach of selecting and routinely monitoring project processes, and it is useful to note that this approach coheres well with the ISO 9000[3]. While SDF and SIPP are not businesses *per se*, they are pursuing CDD objectives, which aim to achieve high levels of customer (i.e. community) satisfaction. There are thus useful lessons that can be learnt from ISO 9000 in relation to PM as a quality monitoring system or part of a quality management system (QMS)[4].

ISO 9001:2000 (part of the ISO 9000 family of standards) stresses the importance for an organisation to identify, implement, manage and continually improve the effectiveness of the processes that are necessary for the quality management system, and to manage the interactions of these processes in order to achieve the organization's objectives[5].

3. Selection of Processes

The selection of key processes, or 'nodal processes', has been achieved using the technique of **process mapping**.

Process mapping is used very widely in many fields of both Government and business to elaborate and understand complex processes. For example, the UK National Health Service uses it as a tool in improving the quality of health service delivery[6], the US Environmental Protection Agency uses it for identifying the steps of manufacturing processes that have potential environmental impacts[7], and it is used very widely in business, with a focus on either improving customer satisfaction or business efficiency[8].

Process mapping is a management tool originally developed and implemented by General Electric to improve business performance. It is a type of flow-charting, and is useful in terms of aiding communication about processes, and in acting as a basis for process improvement. It is essentially a

[3] ISO 9000 family of standards is the international reference for quality management requirements in business, and concerns such areas as customers' quality requirements, enhanced customer satisfaction and achieving continual improvement of performance in pursuit of these objectives.
[4] The general requirements for a quality management system are defined in clause 4.1 of ISO 9001:2000. See Annex 1. for ISO's guidance on areas an organization may which to ask itself in relation to a QMS.
[5] *ISO (2001).* Guidance on the Process Approach to Quality Management Systems. *Document ISO/TC 176/SC 2/N544R* http://www.iso.ch/iso/en/iso9000-14000/iso9000/2000rev9.html
[6] Process mapping, analysis and redesign. *NHS Modernisation Agency.* http://www.modern.nhs.uk/improvementguides/process/1.htm
[7] *US – EPA. (1999)* Environmental Management Systems Process Mapping Approach – DRAFT. http://www.epa.gov/opptintr/dfe/pubs/iems/tools/process.pdf
[8] Eg: *Jacka, J.M. and Keller, P.J. (2002).* Business Process Mapping – Improving Customer Satisfaction. *Wiley & Sons, Inc. New York.*

technique for making work visible. Process Mapping produces an 'illustrated description of how things get done, which enables participants to visualize an entire process and identify areas of strength and weaknesses'[9]. The technique involves holding a small workshop with a group of actors who are involved in a set of processes. Using sticky 'Post-its', the work flows (the processes) are mapped out on to large sheets of paper. This requires good facilitations skills by the 'mapper', to ensure the map represents those actors' understanding of the process. Done properly, process mapping offers a clear picture of what activities are carried out as part of a process.

The usual approach is to map a process 'as is' (to identify the current status of a process), to use this as the basis of analysis and review - in terms of identifying process steps that are the (potential) cause of bottlenecks, delays, and barriers. The 'as is' map is distinct from the 'to be' map, which is used to show improved processes, which the organisation under review should try to achieve.

This is relevant in the SIPP context as process maps were created separately by a range of actors, each mapping the process from their perspective. For example, the VDC perspective versus the CSO perspective on Year 1 processes. While it might be argued that this process mapping is unnecessary because the SIPP processes are described in the Operational Manual (OM), the OM is essentially the plan for project implementation. As things never go quite as planned, and since the project is continually learning by doing, it is necessary to map the processes as they are being practiced ('as is'), not as they were planned.

Therefore, process mapping was carried out with each of the major actors in SIPP:

- SDF – Managers, General Managers and Advisors
- CSOs – DORP-Associates and ESDO-Associates – 10 staff members
- POs – DAM and TMSS - 9 staff members
- PASTs - BCL and DDC - 6 staff members
- VDCs and or PMCs – 42 members from 02 villages in Gaibanda and 02 villages in Jamalpur

In addition to the process mapping exercises, discussions on critical processes were held with the Technical Advisor in SDF for the utilities programme, the Technical Advisor (Health), the NGO (BROTEE) contracted to provide Information & Communication Strategy assistance, IMPACT EVALUATION AGENCY on impact evaluation, and the consultancy firm IBCS-PR*i*MAX which is developing SDF's MIS. The chain of critical processes was collated and common indicators identified. These indicators will form the basis of the PMA's field assessments. The process maps are reproduced in Annex 9.3, and the indicators are presented in PM Tool No. 3.

4. Sampling strategy for Process Monitoring

As agreed with SDF, PM will be carried out in a *sample* of project villages. There is not the resource available to cover all villages, nor is this necessary of desirable. Too much information is likely to drown the MEL section – a key task of the PMA is to distil out the critical process issues and lessons and present these to SDF and the project partners in a clear and succinct fashion.

Sampling is also important in the latter years of the project due to the cumulative effect of on-going monitoring in year 1 and year 2 villages. For example, if the PMA were to sample 10% of project villages in each project year, and continue monitoring those villages for the duration of the project, then the sample size would start of at 12 villages in year 1, but reach 140 by year 4 (Table 1). Similarly at a uniform sampling intensity of 15%, it would reach 210 villages by year 4. These numbers of villages would be very difficult to monitor on a quarterly basis within the resource available, while maintaining quality.

[9] General Electric, 'Quality' website

Table 1. Sample size illustration, based on cumulative sampling

	No. of villages					
Year	Total SIPP (both Districts)		10% PM sample (for example)		15% sample (for example)	
	New	Cumulative	New	Cumulative	New	Cumulative
Year 1	120	120	12	12	18	18
Year 2	380	500	**38**	50	57	75
Year 3	450	950	45	95	68	143
Year 4	450	1400	45	140	68	210

As indicated in the PM Inception Report, the PMA propose to staff the PM with a small specialist team in each District, supported by an expert team in Dhaka. The approach is one of small, targeted, highly quality PM, rather than extensive PM in a large number of villages with many, less qualified enumerators. This approach limits the sample size.

The design of the PM system, as a system with multiple tools that monitor different components of SIPP, also means that the available resource needs to be carefully allocated between these different elements. The PMA has calculated the following allocation of effort between the activities expected of it:

Table 2. Process Monitoring activities and allocation of effort

#	Activity[10]	No. /Dist /Q	Frequency	person days /Q	Actual allocation of PM effort (%)[11]	Notes
1	Field assessment of CSO & PO processes using checklist	≤ 33	quarterly	65	54.2	Tool No. 3
2	Case studies of CSO & PO processes – good practices and lessons learnt	2	quarterly	16	13.3	Tool No. 6
3	Focus Group Discussions with partners	6	monthly	6	5.0	Tool No. 4
4	Attendance at/presentation to District Co-ordination Meetings	3	monthly	15	12.5	Monthly meetings – these are used for routine feedback and discussion of PM findings
5	Process Monitoring the Pilot Utilities programme	1	quarterly	8	-	Tool No. 5. One location of programme monitored per quarter
6	Process Monitoring the Health programme	1?	quarterly	8	6.7	Tool yet to be designed.
7	Other PM work requested by SDF	1	quarterly	5	4.2	At the District level
8	Accompany WB missions	0.5	quarterly	5	4.2	Equal to 10 days every 6 months (i.e per WB mission)
Total				120	100%	

[10] See Section 5 AND annex 2 for details of the PM tools.
[11] This column is not intended to give a statistical weight to the different PM activities, but rather to indicate the portion of PM effort to be applied to each area of activity.

The calculation of this allocation of PM effort is based on a number of factors and assumptions, as follows:

- Maximum available resource (Total) - The PMA will staff each District with two process monitors – a Senior Research Officer (SRO) and a Research Officer. Assuming approx 12 weeks/ Quarter, and effectively 5 working days per week, then there are a maximum of 2 x 12 x 5 persondays available each quarter = 120 days.
- #4 - There will be a District Co-ordination Meeting each quarter. 5 persondays are allocated to each meeting to cover preparation time (summarising process issues arising from the PM Tools, etc), attending the meeting and presenting the findings, and writing up an NFR from the meeting.
- #8 - It is assumed that, as with the March 2004 World Bank supervision mission, the PMA will be required to participate in the mission, be available during field visits, and undertake any one-off follow-up studies requested by the mission. 10 persondays per six monthly mission are allocated to this.
- #7 - We recognise that the PM Tools described in Section 5 and Annex 10.2 may not address all process issues arising, and that SDF may require specific issues to be specially monitored. 5 persondays per quarter are set allocated to this contingency[12].
- #5 – We have agreed to monitor one case (village) of the Pilot Utilities programme. This will be done by a different process monitors, based in Dhaka. The 8 persondays per quarter allocated to this are thus not included in the totals in Table 2, hence the row is shaded out.
- #6 – Although it has not yet been possible to design PM Tools for the health programme, a nominal 8 persondays per quarter have been allocated to this activity. This will be done by the District-based process monitors.
- #3 – FGDs will be held separately with both the CSO and PO in each District, every month. 1 personday is allocated to each FGD (to include time to draft an NFR). There are thus 6 FGDs per District per quarter (6 persondays).
- #2 – Two case studies will be undertaken in each District every quarter. It should be noted that these will not necessarily be from the sample of villages used for PM Tool No. 3 (field assessment of CSO and PO processes using a checklist). 8 days have been allocated to each case study, to be split approximately 50:50 between field investigation and drafting an NFR. Hence 16 persondays per quarter are allocated to this PM activity.
- #1 – Finally, by subtraction, a maximum of 65 persondays per quarter are available for field assessment of CSO and PO processes using the checklist in PM Tool No.3. i.e. If there are a possible 120 PM persondays per quarter in the District, 55 of these are already allocated to other PM activities as explained in the points above.

  It has been estimated that the minimum time required to undertake this PM Tool (No.3) for one village is 2 days. This includes field time, travelling time and write-up time. Hence it is possible to cover 2.5 villages per week. In the 65 persondays available for this activity, it will be possible to monitor 33 villages. Thus the maximum sample size if 33 villages per quarter. This sample needs to be drawn from current and previous years' villages (See Table 3).

  However, it has been decided that the two process monitors should work together as a two person team for the first 6 months (i.e. to end of 2004 – see Table 4). This has the advantage of on-going training of the more junior monitor, and of ensuring that the two monitors' methods and approach become standardised and the results comparable[13]. This reduces the number of villages that can be monitored using this PM Tool in 2004.

[12] While recognizing that PMA has only recently started work, and routine PM rounds have yet to commence, there are indications that SDF may require more than this quantity of one-off PM inputs. The PMA would welcome discussion of this effort table to ensure that it meets with SDF's needs for PM. There is a need to balance a programmed and manageable approach to PM with one whereby the PMA only works in a responsive mode.

[13] There will also be some co-working between the two Districts during this period to ensure some standardisation and comparability between the Districts.

On the other hand, when the same village has been process monitored for two years, the PMA will reduce it monitoring frequency in that village to twice a year only. This increases the number of villages that can be monitored using this PM Tool in 2005 and 2006 (see Table 4).

Given a maximum sample size of 33 villages per quarter, Table 3 explains how it is proposed that this sample is used to cover villages in their first year of SIPP, i.e. those in which the CSO/ PAST is working, and villages in their second and third year of SIPP, i.e. those in which the PO is working, and fourth year villages - those in which the project has finished working. Table 3 shows how a proportion of each year's villages continue into the following year's sample. This allows the PMA to monitor issues of sustainability of, for example, continued VDC operation and the use of skills training and seed capital.

In practical terms this rolling/cumulating sampling means that:

- in 2004, the PMA will be working in:
  - the 2 upazillas in which the CSO/PAST are currently working, and
  - the 2 upazillas that the PO is working (where the CSO past worked in 2003)
- in 2005, the PMA will work in:
  - the 2 upazillas in which the CSO/PAST are currently working,
  - the 2 upazillas in which the PO is undertaking its second year of work (where the CSO past worked in 2003), *and*
  - the 2 upazillas in which the PO is starting first year SAP activities (where the CSO past worked in 2004)
- and so on in 2006.

Table 3. Sampling - number of villages process monitored per quarter - ideal.

	Calendar years[14] –>			
Villages mobilised in:	2003	2004	2005	2006
Yr 1	4 case studies	5	5	5
Yr 2	-	28	10	5
Yr 3	-	-	18	10
Yr 4	-	-	-	13
Total	4 case studies	33	33	33

Key

(yellow)	Monitoring CSO activities, quarterly
(blue)	Monitoring PO and PAST activities, quarterly

Table 3 is an idealised sampling schedule. As mentioned above, the number of villages that can actually be sampled will be affected by the process monitors working as a two person team in 2004 and by reducing sampling frequency to twice a year in villages in their third and fourth years of SIPP. Table 4 shows the results of these to factors on the sampling scheme.

[14] Calendar years are used here for simplicity – it is recognized that the project year runs from April to March.

Table 4. Sampling - number of villages process monitored per quarter – actual.

	Calendar years –>			
Villages mobilised in:	2003	2004	2005	2006
Yr 1	4 case studies	5	2.5	2.5
Yr 2	-	20	10	2.5
Yr 3	-	-	20	10
Yr 4	-	-	-	18
Total	4 case studies	25	32.5	33

Key

	Monitoring CSO activities, quarterly
	Monitoring CSO activities, quarterly (two person team)
	Monitoring PO and PAST activities, quarterly
	Monitoring PO and PAST activities, twice a year

5. Process Monitoring Tools

Six tools have been developed for PM. They are:

1. Wealth Ranking
2. Report Cards
3. Field Assessment using a checklist
4. Focus Group Discussion with partner organisations
5. Assessment Guidelines for PPF of Community Utilities
6. Documenting Best Practice and Lessons Learnt through Case Studies

These tools are described in full in Annex 9.2. And in summary of the tools are to be used as follows:

No.	Tool	Purpose	Frequency	User
1	Wealth Ranking	To enable the project to measure whether reduction in the number of poor and very poor households is occurring. To verify that the poor and very poor are especially being targeted by and the overwhelming beneficiaries of the project's interventions.	At start of CSO involvement in the village, and two repeats	CSO then IMPACT EVALUATION AGENCY
2	Report Cards	For VDCs to self-assess their performance against criteria including transparency, democracy, group operation, planning, etc and thereby also help further develop the VDCs	Quarterly	VDC, facilitated by CSO/PO
3	Field Assessments	To routinely monitor the agreed key project processes in sample villages. These key process fall into the areas of inclusiveness, transparency, governance and empowerment, sustainability and cost effectiveness, and information	Quarterly	PMA

		sharing.		
4	FGDs	To analyse with project partners at the District and Dhaka level, the issues raised during the Field Assessment visits of the PM staff	Monthly (District) & Quarterly (Dhaka)	PMA
5	Utilities	To monitor the processes involved implementation of the utilities programme	Quarterly	PMA
6	Case Studies	To document of better practices and lessons learnt during the implementation of the SIPP, so that implementation processes can be progressively improved through learning-by-doing	Quarterly	PMA

Though the tools are described in full in Annex 9.2, it is worth expanding on a number of them here to highlight their origin, underlying theories and use in other projects.

1. Wealth Ranking

Wealth ranking is now a reasonably standard tool in the Participatory Appraisal toolbox. The approach draws on that documented by Barbara Grandin[15]. In most situations it is in fact poverty ranking. The basis for using the tool is threefold: i) the local people have the best understanding who is poor and what constitutes poverty in there community, ii) that poverty is a multidimensional concept (i.e. it is more that just income poverty, as factors such as empowerment, access to resources, etc also need to be considered) – these factors are not well captured by a externally applied questionnaire. Furthermore, questionnaires are not even that good at obtaining accurate quantitative data about income, and iii) a tool that

2. Report Cards

Report Cards were first developed for use in the development context by an NGO – the Public Affairs Centre in Bangalore in India. As in this case, Report Cards are in increasingly common use as a means to monitor the satisfaction of the public in service delivery, normally from by service delivery agencies in the public sector, such as public utilities. Report Cards are also frequently used not only as a monitoring tool, but also as a tool to improve public accountability of service delivery agencies. By systematically gathering, and disseminating, public feedback, Report Cards provide an incentive for agencies to be responsive to their clients′ needs[16]. It is not currently planned to use them in this manner in SIPP, rather as a useful monitoring tool.

Report Cards have a number of strengths a monitoring tool:
- They can assess a number of criteria simultaneously[17] in a simple tool
- They output quantitative, score, data
- They can be self-administered by communities[18]

[15] *Grandin B.E. (1988).* Wealth Ranking in Smallholder Communities: A Field Manual. *Intermediate Technology Publications Ltd, London.*
[16] *Waglé, S. and Shah, P. (n.d.).* Report Cards: A General Note of Methodology. *Social Development Department, World Bank, Washington.* http://www.worldbank.org/participation/webfiles/NoteCARDS.pdf
[17] *In this, Report Cards share a number of features with Balanced Scorecards – a tool used in business and institutional contexts to assess performance on a number of criteria with one tool, and to map improvement pathways.* http://www.balancedscorecard.org/
[18] *It should be noted that the Report Card format presented in Annex 10.2 is a plain text version of the card. The PMA has developed and is testing a graphic (i.e. cartoon, non-text) version of the card in booklet form.*

The main aim of the Reports Cards here is for monitoring the processes that affect the institutional sustainability of VDCs. The Report Cards methodology is useful in the context of SDF's MEL section, as by combining qualitative and quantitative approaches[19], it yields data in format suitable for inclusion in the MIS.

In this regard, it is useful to repeat here a paragraph from the PMA Inception Phase report: "Social Assistance Programme: **Social Advocacy**, etc (para 6.9): the OM states that communities will be trained to monitor public services using a report cards methodology. It is not clear who will provide this training, nor who will supervise this monitoring, nor who will use this information and how it will be used. There is a need to clarify the extent to which this monitoring overlaps with tasks expected of the PMA." Therefore, as detailed in Annex 9.2, it is seen as the role of the CSOs and POs, to train VDCs in the use of the Report Cards methodology. The PMA maintain oversight of the quality of use of Report Cards.

3. Field Assessment using a checklist

In contrast to the scoring approach of Report Cards, the Field Assessments are a qualitative approach to process monitoring. The approach draws on standard social science techniques, such as participant observation and semi-structured interviewing. The strength of the approach is that it combines a framework (checklist) for guiding the monitoring around key the process issues, but allows for sufficient flexibility for the process monitors to pursue interesting lines of discussion. This requires good social research skills to ensure questions are not leading. The flexibility also means that the monitors can avoid subsequent monitoring rounds being repetitive.

4. Focus Group Discussion with partner organisations

These discussions are a very simple round-table discussion format. The aim is to share and discuss with the project partners at District and Dhaka levels the findings of the Field Assessments (PM Tool No. 3). The discussions will centre on a set of up to 10 topics that have arisen form the previous monitoring period's field assessment. The output from the discussion will be an NFR.

5. Assessment Guidelines for PPF of Community Utilities

This is a very targeted tool, designed to assess the quality of implementing the pilot private financing of community utilities programme. Due to the technical nature of the programme, some of the issues in 'quality of implementation' are of an engineering or financial nature, and these are outwith the remit of the PMA. These PM guidelines are an adaptation of the criteria for grant assistance as detailed in the 'Guidelines to Sponsors for Submission of Project Proposal for the Implementation Rural Piped Water Pilot Projects'. The PM guidelines will be addressed using the same methods to as in PM Tool No. 3: e participant observation and semi-structured interviews.

6. Documenting Better Practice and Lessons Learnt through Case Studies

The use of case studies in this PM Tool is essentially the application of a narrative methodology (i.e story telling) for process monitoring. To some, particularly those with a preference for quantitative surveys, the use of stories as a Monitoring and Evaluation technique might appear a non-rigorous approach. However as a qualitative methodology, it has a number of advantages, as explained by McClintock (2003)[20]:

[19] *World Bank.* Implementing Report Cards: A User's Manual. *http://www.worldbank.org/participation/RCusermanual.pdf*

[20] *Charles McClintock (2004)* Using Narrative Methods to Link Program Evaluation and Organization Development. *The Evaluation Exchange, Volume IX, No. 4, Winter 2003/2004. Issue Topic: Reflecting on the Past and Future of Evaluation. http://www.gse.harvard.edu/hfrp/eval/issue24/pp3.html*

1. "Storytelling lends itself to participatory change processes because it relies on people to make sense of their own experiences and environments.
2. Stories can be used to focus on particular interventions while also reflecting on the array of contextual factors that influence outcomes.
3. Stories can be systematically gathered and claims verified from independent sources or methods.
4. Narrative data can be analyzed using existing conceptual frameworks or assessed for emergent themes.
5. Narrative methods can be integrated into ongoing organizational processes to aid in program planning, decision making, and strategic management."

The approach draws on the monitoring method called Most Significant Change (MSC), developed by Rick Davies, initially in Bangladesh[21], but now used much more widely[22]. This has been called 'indicator-less monitoring'. The changes monitored in the original Bangladesh usage of MSC included 'changes in people's lives', 'changes in people's participation', 'changes in the sustainability of people's institutions and their activities', and 'any other type of change'. The first three of types of change also cover the areas in which this tool aims to monitor change or transform in SIPP.

In the MSC methodology, the underlying rationale is that most monitoring effort should be applied where most change or impact has occurred. Thus field level project staff identify the most significant change which has happened in their area in the month, and record this as a narrative. These narratives, or stories, have two parts: a descriptive part and an explanatory or interpretive part. For PM in SIPP, the critical element is the interpretative part, which will entail the PM team interpreting the process issues underlying the story. In MSC, large numbers of stiries are generated because there are large numbers of field staff. These stories are iteratively selected down to a smaller number by panels of senior staff, resulting in a small set of the most significant change stories. These can then be verified.

This PM Tool uses the concepts in MSC, but does not apply them in quite the same manner. Rather than have all SIPP (i.e. CSO, PS, PAST, etc) staff producing stories, the cases for study will be identified in consultation with the district CSO, PAST and/ or PO. The Process Monitors will then write up the stories according to the guidelines in Annex 9.2. One risk with a MSC approach, which is also relevant in the SIPP context, is that staff see the cases as showing how good their work is. They are thus not willing to select negative cases. However, since as much can be learnt from a negative case as a positive one. Therefore, while it may appear that this PM tool seeks out and aims to disseminate 'best practice', it is somewhat broader that this. The case studies also seek 'lessons learnt', which may not necessarily be positive cases. Often as much can be learnt from a negative cases, failures and set-backs as it can from successes. Were the focus to be solely on positive cases, the tool would be closer to an Appreciative Inquiry (AI) methodology[23].

6. Information flow

The primary information flow from all the six PM Tools, with the exception of the Report Cards, is form the village level (villagers and VDC) to the PMA, and thence to SDF (Figure 1). Reports Cards are administered by the CSOs and POs, who will feed the results directly to the MEL division.

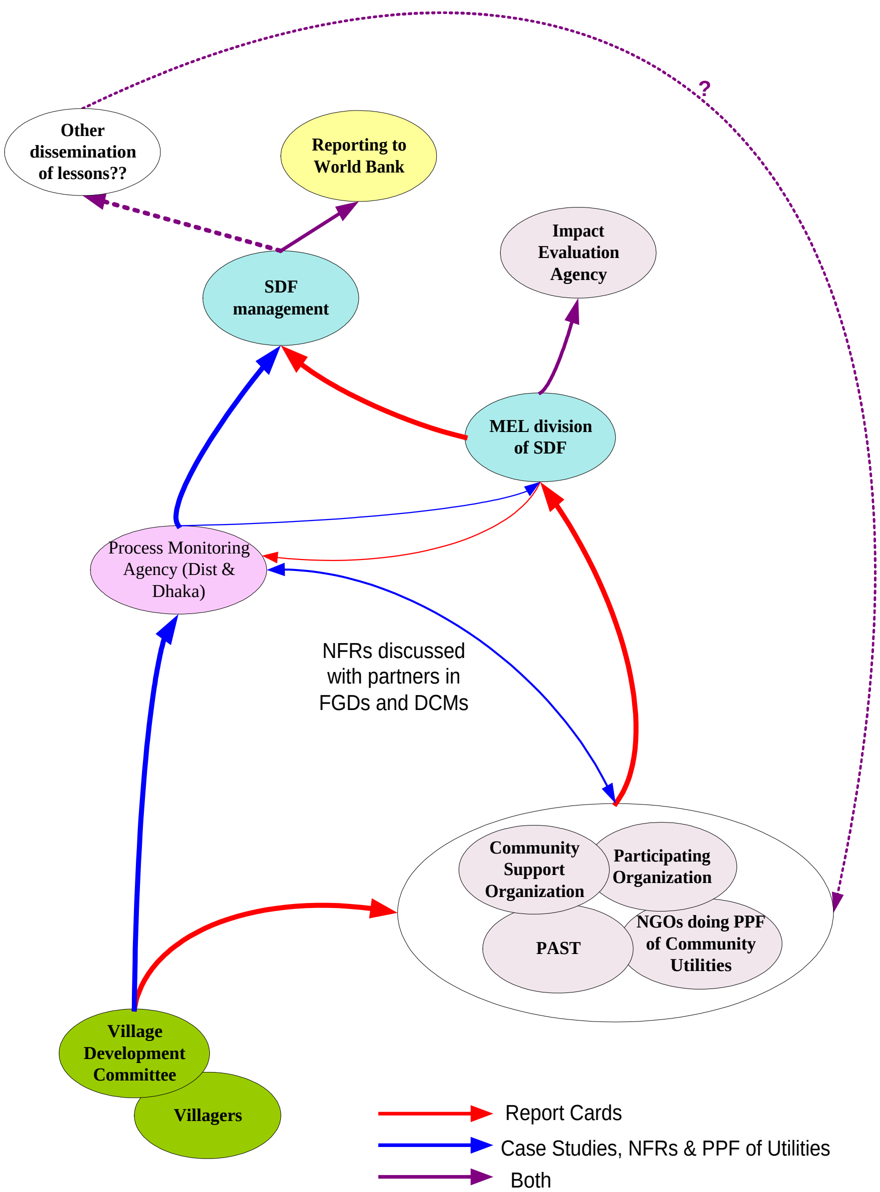
[21] *Davies, Rick, J. (1996).* An Evolutionary Approach to Facilitating Organisational Learning: An Experiment by the Christian Commission for Development in Bangladesh. *Centre for Development Studies, Swansea.* http://www.swan.ac.uk/cds/rd/ccdb.htm

[22] *e.g. Jessica Dart, with Geoff Dysdale, David Cole and Mark Saddington (2000).*The most significant change approach for monitoring an Australian extension project. *PLA Notes, 38. 47-52.* http://www.iied.org/sarl/pla_notes/pla_backissues/documents/plan_03812.pdf. And: *Dart J. and Davies R. (2003).* A Dialogical, Story-Based Evaluation Tool: The Most Significant Change Technique. *The American Journal of Evaluation. Summer 2003, vol. 24 (2), 137-155*

[23] *Appreciative Inquiry seeks the best in people, their organisations, and the context around them – what people are best at and what works best. It is a tool in organizational change that aims to build changes on this 'positive core'.* David L. Cooperrider and Diana Whitney (n.d.). A Positive Revolution in Change: Appreciative Inquiry. http://appreciativeinquiry.cwru.edu/uploads/whatisai.pdf

In general, village level findings are discussed with the project partners before passing on to SDF. Within SDF, the reporting channel is seen to be to SDF management (i.e. the Managing Director), with copies to the MEL division. It is then seen as the responsibility of SDF to further disseminate the lessons from PM to project partners, so that implementation may be improved. The mechanisms for this dissemination have yet to be clarified.

Figure 1. Overview of PM Information Flows



7. Integration with MIS

7.1. Report Cards

It has been agreed that the results from PM Tool no. 2 i.e. Report Cards, will be included in the MIS. This will be the primary integration of the PM system with the MIS - the outputs of PM Tool No. 2 The Report Cards aim to capture beneficiary assessment of the project process using a scale of 1 to 5 on various indicators. This tool has been developed in consultation with the MIS staff in SDF's MEL section and with IBCS-PRiMAX, who are implementing the software design for the MIS.

The output of this tool is quantitative score data that are amenable to entry into, and analysis by, the MIS. It will be the responsibility of the CSOs or POs to send this data on a quarterly basis to the MEL Division in SDF. All other field reports and qualitative data that the PMA will be reporting such as case studies and field visit reports will also be stored in the MIS as MSWord document files.

7.2. Data Confidentiality / Data Protection

In relation to the preceding paragraph, it is worth saying something about data confidentiality. Getting reliable wealth data is notoriously difficult, especially if one is a government organisation, as respondents frequently associate the exercise as being something to do with taxation. This is one reason why wealth ranking is often a better approach. However people will be reluctant either to be involved or to express truthful views, if they feel that the data resulting from both survey and wealth ranking exercises might be misused. SDF should therefore develop a simple data confidentiality / data protection protocol to which all partners should adhere.

In the UK, the Data Protection Act (1998), which came into effect on 1st March 2000, provides principles for data protection, stating that people whose data are stored in databases should have rights of access to their files, and the data must be fairly processed and kept securely (see text box 1)[24].

In Bangladesh, data confidentiality is addressed in official Government of Bangladesh data collection, processing and storage by the Statistical Act. The Act requires all citizens to provide information to Bangladesh Bureau of Statistics (BBS) as necessary. The Act also makes binding requirement to keep individual's information confidential. For example, at the top of every BBS questionnaire, it is marked, "Given information is Confidential". The BBS thus does not reveal any individual information with individual's name or address, so that respondents are not individually identifiable, and their privacy is maintained (ESCAP, 2001[25]). Similar confidentiality should be used in SIPP and respondents should be given that assurance at the start of data collection exercises.

Text Box 1. Data Protection Principles (UK)

There are eight principles put in place by the Data Protection Act 1998 to make sure that information is handled properly.

The principles say that data must be:

- fairly and lawfully processed;
- processed for limited purposes;
- adequate, relevant and not excessive;
- accurate;
- not kept for longer than is necessary;
- processed in line with your rights;
- secure; and,
- not transferred to other countries without adequate protection

7.3. Beneficiary and membership data

A review of the MIS being developed for SDF was undertaken by the PMA during the design phase. It was noted that the MIS is not capturing data on the number or identity of poor and very poor households in each SIPP village. Similarly, it is not capturing quantity or identity data on which households benefit from various interventions, and which household has a member in the various

[24] http://www.informationcommissioner.gov.uk

[25] *ESCAP- Economic And Social Commission for Asia and the Pacific.* Seminar on Data Protection Technologies for National Statistical Offices *17-21 August 2001.* http://www.unescap.org/stat/meet/dataprot/dpro-bangladesh.asp

bodies such as VDCs. It was agreed with SDF that the MIS would be modified to capture this information.

8. Next Steps

The development of the PM Tools has been the result of a close interaction with the project partners and a sample of project villages. The tools are thus well grounded in project realities. Nonetheless, there is a need to test the tools in their current format. The next phase of the PM consultancy is thus piloting.

The pilot testing plan involves the following field tests:

1. Wealth Ranking	Not piloted, as the tool is only a slight modification of what is already routine for the CSOs/POs.
2. Report Cards	Testing in two villages / District
3. Field Assessment	Testing in two villages / District
4. Focus Group Discussion with partner organisations	Feedback from partners on tool, and feedback on reports produced in the first month.
5. Assessment Guidelines for PPF of Community Utilities	Tool tested at one Utilities site (Utilities programme is still in start-up)
6. Documenting Better Practice and Lessons Learnt	One case study / District

A set of evaluation / feedback forms have been designed for obtaining VDCs′ and partner organisations′ views on the PM Tools. The forms and the results of the piloting and the evaluation will be presented in a Pilot Phase Report in due course.

A small amount of training will be given to the piloting team, but since the tools were developed in close association between the PM specialists and the field officers who will actually carry out the piloting, this does not need to be intensive. The training, and on-going mentoring, will be less focused on the community interaction aspects on the tools, as the field officers are experience participation practitioners. Rather, the training and mentoring will focused on analysis and interpretation of the information collected, and since the primary reporting system for the PM will be Notes for the Record (NFRs), also on writing succinct and analytical NFRs. This will be applicable to the Case Studies also.

Once feedback is received on the pilots, the tools will be revised accordingly and be produced in a final set for training and roll-out.

9. Annexes

9.1. Annex 1. ISO 9000: Process monitoring and quality management

The general requirements for a quality management system are defined in clause 4.1 of ISO 9001:2000. Some guidance from ISO is given below on what questions an organisation may choose to ask itself in order to address these requirements. Questions of particular relevance to PM are highlighted.

a) Identify the processes needed for the quality management system, and their application throughout the organization.
- What are the processes needed for our quality management system?
- Who are the customers of each process (internal and/or external customers)?
- What are the requirements of these customers?
- Who is the "owner" of the process?
- What are the inputs and outputs for each process?

b) Determine the sequence and interaction of these processes.
- What is the overall flow of our processes?
- How can we describe this? (Process maps or flow charts?)
- What are the interfaces between the processes?
- What documentation do we need?

c) Determine criteria and methods required to ensure that both the operation and control of these processes are effective
- What are the characteristics of intended and unintended results of the process?
- What are the criteria for monitoring, measurement and analysis?
- How can we incorporate this into the planning of our QMS and product realization processes?
- What are the economic issues (cost, time, waste, etc.)?
- What methods are appropriate for data gathering?

d) Ensure the availability of resources and information necessary to support the operation and monitoring of these processes
- What are the resources needed for each process?
- What are the communication channels?
- How can we provide external and internal information about the process?
- How do we obtain feedback?
- What data do we need to collect?
- What records do we need to keep?

e) Measure, monitor and analyse these processes.
- How can we monitor process performance (Process capability, customer satisfaction)?
- What measurements are necessary?
- How can we best analyse gathered information (Statistical techniques)?
- What does the result of this analysis tell us?

f) Implement action necessary to achieve planned results and continual improvement of these processes
- How can we improve the process?
- What corrective and/or preventive actions are necessary?
- Have these corrective/preventive actions been implemented?
- Are they effective?

9.2. Annex 2. PM Tools

PM TOOL No. 1
Wealth Ranking

WEALTH RANKING

Objective

- To verify that the poor and very poor are especially being targeted by the project, and are the overwhelming beneficiaries of the project's interventions.
- To enable the project to measure whether reduction in the number of poor and very poor households is occurring.

Frequency of measurement
All phases will be undertaken at the start of the CSOs' intervention in a village during the formulation of the Community Action Plan or CAP. However, it should be noted that this was not done for villages intervened in during the first year of SIPP operations[26]. During the middle and at the end of project involvement in a village, Steps 2 and 3 will be redone.

Responsibility for measurement
Community Facilitators are responsible for conducting the exercise. In the 120 first year villages, as the CSO is currently withdrawing and social mobilization is being taken over by POs, the Field Facilitators of the PO will be responsible for conducting the exercise. During the middle and at the end of project involvement in the project area, Steps 2 and 3 will be redone by IMPACT EVALUATION AGENCY, the agency responsible for measuring impact evaluation of SIPP.

Approach/Methodology

Step 1: Defining levels of poverty/wealth

This exercise is carried out in the form of focus groups. The facilitator should ensure that the focus groups encompass a diverse group of people in terms of perceived socio-economic status, clan, occupation etc, and includes people also who are not members of the VDC or PMCs.

The villagers are asked to come up with definitions of the following four categories: rich, middle, poor and very poor according to what it means to be of a certain wealth/ poverty category in their particular village. Four categories are stipulated rather than none as this is in conformity with the operational manual of SIPP and also allows for easier recording and consolidation by the project's MIS.

The facilitator will notice that in the Bangladeshi context, most groups will differentiate households from each other in terms of poverty by the following major factors (other minor factors may also be mentioned depending upon the village context and this should be encouraged):

- Amount of land owned
- Sufficiency of food
- Condition of dress
- Availability and type of employment

[26] **Note**: - In Year 1, the Community Support Organisations have carried wealth ranking, and recorded the number of households in each wealth rank in each village. In Year 2, the Participating Organisation is now carrying out wealth ranking, and keeping a record of the names of the heads of households for the households in each wealth category, as per the PRA output. In all new villages, the CSOs will now also record head of household names, and this provides a baseline for checking which households have benefited or participated, and their poverty status.

By whatever criteria the villagers define poverty, their definitions should be recorded and kept with the VDC. These definitions remain the same throughout the life of the project, even though the definition of poverty nationally or internationally may change. This is important if like is to be compared with like.

Step 2: Classification of all village households by poverty status

Based on the definitions arrived at, all households will be placed into one of four categories depending upon their wealth status. Using a PRA approach, a small card will be used to denote a household, and these will be placed on to large sheets of paper, clustered according to the relevant wealth category. In addition, the name of each household head is recorded in the format given overleaf.

Step 3: Verification of wealth ranks

After the formats have been completed, it will be the task of the facilitator to triangulate the results with other sources to ensure that the task has been completed as accurately as possible. Possible sources for triangulation could be key village informants such as school teachers, shopkeepers or others in the village who need to interact with most villagers on a regular basis.

Step 4: Uses of Poverty Profile Data

Copies of the lists of households' wealth ranking should be kept by the project partner undertaking the exercise, the PO and with the VDC.

The lists can be used to verify whether the very poor and poor are the major beneficiaries of project activities. SDF is currently revamping formats so that this information can be captured by the project's MIS

Towards the end of the project period, Steps 2 and 3 can be redone by IMPACT EVALUATION AGENCY to assess how many households from the very poor and poor categories have moved up the poverty ladder.

Wealth Ranking Format

Name of facilitator: ___________________ Date of ranking: ____/____/____

Village name: _______________ Thana: _________________

No. of total hhs in village: ____________

Place a √ in the appropriate box

S. No.	Head of household	Very Poor	Poor	Middle	Rich
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					
11.					
12.					
13.					
14.					
15.					
16.					

and so on …..

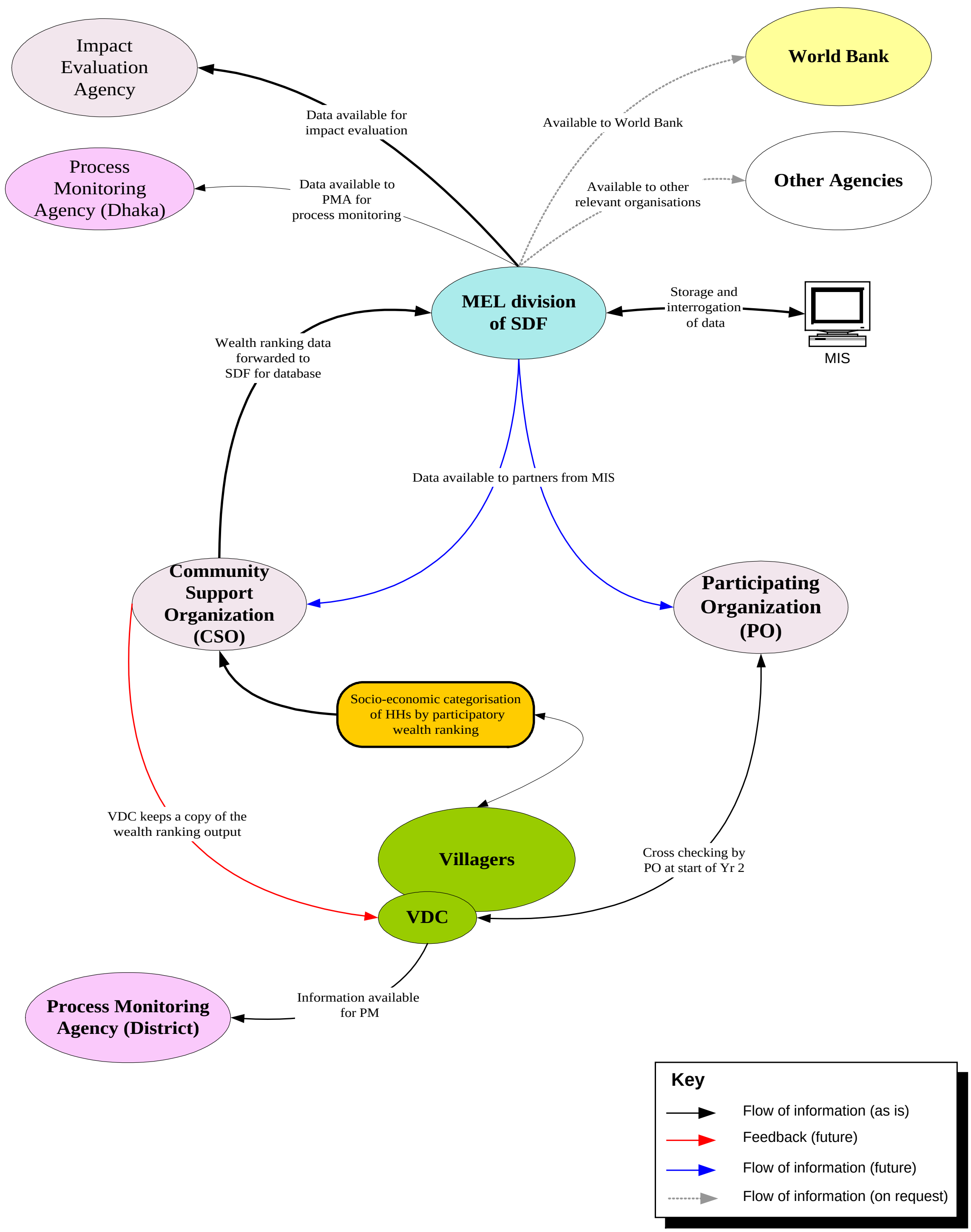
The last row should have the totals:

	Very Poor	Poor	Middle	Rich
Total				

The following table should also be completed, to record the poverty criteria used in the particular village:

Very Poor	Poor	Middle	Rich
▪ List criteria here ▪ ▪	▪ List criteria here ▪ ▪	▪ List criteria here ▪ ▪	▪ List criteria here ▪ ▪

Information Flow:
PM Tool 1 - Wealth Ranking



PM TOOL No. 2
Report Cards

REPORT CARDS

Objective/Purpose

Report Cards encourage groups to measure their performance as perceived by the groups themselves. These cards, in addition, enhance transparency, debate, discussion and planning to further develop the VDCs. They enable SIPP to identify issues arising at the upazilla level and monitor the performance of project partners.

Frequency of Use

The Report Card exercise is carried out once a quarter in a VDC meeting.

Responsibility for Use

It is the responsibility of the VDC to ensure that the exercise is carried out regularly. The exercise should be carried out in the presence of the Community or Field Facilitator of the CSO or PO. The results of Report Cards can be used by the CSOs and POs to assess rates of group performance and satisfaction. Reports Crads will be discussed with and by SDF and the PMA at monthly District Coordination Meetings and quarterly project progress meetings in Dhaka.

Approach/Methodology

The Report Card consists of 14 indicators. In a VDC meeting, group members discuss their performance during the quarter and satisfaction with it on each of the indicators giving themselves a rank from between 5 to 1. 5 represents a high rate of satisfaction and 1 represents a very poor rate.

The results are added and totalled at the end of the Report Card book. The book is permanently displayed at the meeting venue of the VDC though results from all the VDCs are collected every quarter by the CSO or PO using Form 1 from a particular VDC. Information of all VDCs are to be compiled and collected by the Form- 2 and to be reported to SDF where they are entered into the MIS. Draft report cards are shown in the following pages.

FORM- 1

SCORE CARD FOR RANKING
(Measure of Sustainability)

Sl. No.	Indicators	High---low				
1.	Regular meeting	5	4	3	2	1
2.	Record keeping	5	4	3	2	1
3.	Involvement of poor	5	4	3	2	1
4.	Benefit of poor	5	4	3	2	1
5.	Involvement of women	5	4	3	2	1
6.	Benefit of women	5	4	3	2	1
7.	Leadership	5	4	3	2	1
8.	Observance of social norms	5	4	3	2	1
9.	Linkages	5	4	3	2	1
10.	Maintenance of subprojects	5	4	3	2	1
11.	Active planning	5	4	3	2	1
12.	Unity and conflict resolution	5	4	3	2	1
13.	Information collection and dissemination	5	4	3	2	1

Year	Score													Total
	1	2	3	4	5	6	7	8	9	10	11	12	13	
Q1														
Q2														
Q3														
Q4														
Total														

FORM- 2

Social Investment Program Project
Report Card, Jamalpur/Gaibandha

Village Development Committee and Score for Ranking by Indicators

Quarter: ________ **from** ________ **200** **Date:**

Village Development Committee	Indicators													Total
	Regular meeting	Record keeping	Involvement of poor	Benefit of poor	Involvement of women	Benefit of women	Leadership	Observance of social norms	Linkages	Maintenance of sub-projects	Active planning	Unity and conflict resolution	Information collection and dissemination	
VDC-1														
VDC-2														
VDC-3														
VDC-..														
VDC-..														
VDC-n														
Total														

Name of Enumeration: Designation:

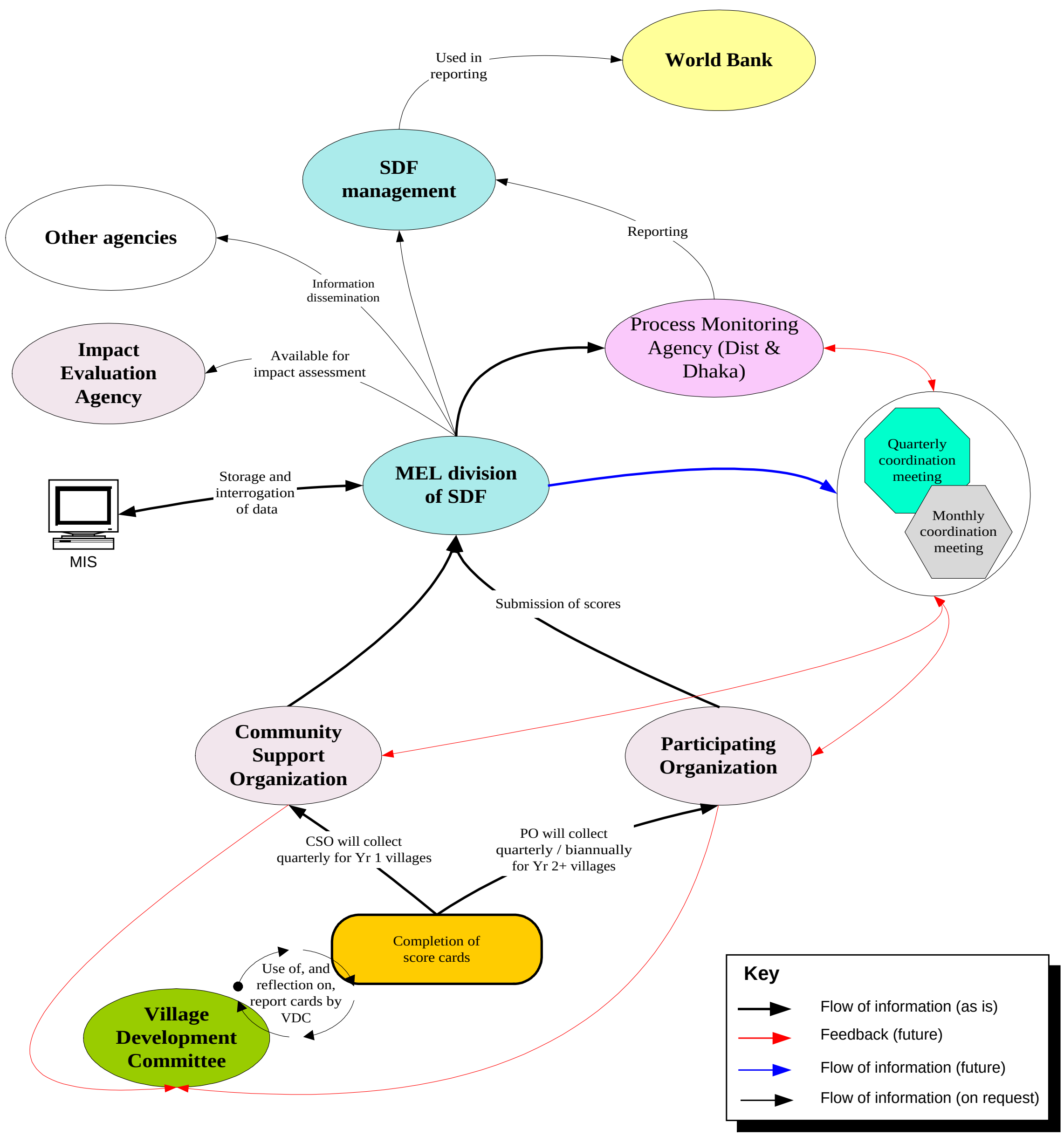
Signature : Organization:

Measuring Community Capacity (VDC)
Explanation of primary selected indicators

SL. No.	Indicators	Definition	Issues covered
1.	Regular meeting	Instances of meeting, regularity of meetings, attendance of members effectiveness of discussion and decisions	VDC members organize regular meeting, most of the members attend the meetings and various issues of their own purpose are discussed to take decisions
2.	Record keeping	Extent and inclusiveness of recording agendas, decisions, accounts etc. and transparency of records	Issues discussed and decisions taken in the meeting are documented, financials accounts are documented and all the documents are known and agreed to the members
3.	Involvement of the poor	Involvement and active participation of poor in meeting, decision making and implementation	Number of members of the VDC from the poor, attendance in the meetings and they get opportunity to play positive role in discussion and decision making, active participation of poor in various subcommittees and activities
4.	Benefit to the poor	How much the discussion, plan and implementations are targeting poor and how much benefit actually going to poor	Discussion, decisions, plan and activities are pro-poor and they are actually benefited by the activities done so far
5.	Women′s involvement	Involvement and active participation of women in meeting, decision making and implementation	Number of women members in the VDC, attendance in the regular meeting, get opportunity to uphold their issues in discussion, substantial number of decisions regarding women are taken and implemented, actively participate in various subcommittees and implementation
6.	Women′s benefit	How much the discussion, plan and implementations are targeting women and how much benefit actually going to women	Women are directly benefited from various activities done so far, their expectations are fulfilled and there are various future activities that meet their expectation
7.	Leadership	Skills, entrusted, transparency of activity, capacity of new leader creation	The leaders are competent, entrusted, and transparent to other VDC members and villagers, enthusiastic to create new leaders and decentralize duties as far as possible.
8.	Observation of social norms	Capacity to observe, intensity of observation and implementation of decisions against deterioration of social norms	The VDC has well developed system for regular observation of various social norms like dowry, physical abuse of women, child labor, polygamy, female education, school attendance etc in the village, emphasize discussion on these issues, there are instances of taking effective decisions and implemention

9.	Linkages	Extent of linkages with appropriate service providers/authorities and capacity of VDC to utilize these	The VDC has appropriate links to other service providers/authorities that are enhancing their capacity and helping in development of their villages. The VDC has the system for regular communication with them.
10.	Maintenance of subprojects	Level of interest and capacity of maintenance of subprojects implemented	The VDC has the mandate for maintenance of the subprojects, developed system for regular maintenance and there are instances of subproject maintenance.
11.	Active planning	Positive attitude and capacity of participatory planning and implementation	The VDC prepare participatory plan for addressing various problems related to the development of their village and villagers and there are instances of implementing these plan.
12.	Unity and conflict resolution	Level of unity in the village and capacity of the VDC to prolong unity and conflict resolution	Villagers are united enough to help one another, to address problems collectively, the VDC is careful enough to prolong the unity among the villagers, there are instances of fare arbitration by the VDC members without any exploitation
13.	Information collection and dissemination	Capacity of important information collection and dissemination to poorly communicated people	The VDC collects necessary information form service providers, other authorities, outsiders and inform villagers/poor/women timely from which they get benefited

Information Flow:
PM Tool 2 - Report Card



PM TOOL No. 3
Field Visit Assessments by PMA

FIELD ASSESSMENTS

Objective/Purpose

The Field Assessments are the primary tool that will be used in sample villages for routine monitoring of the agreed key project processes. These key process fall into the areas of inclusiveness, transparency, governance and empowerment, sustainability and cost effectiveness, and information sharing.

Frequency of Use

Field Assessments will be carried out once per quarter in the sample villages.

Responsibility for Use

The Field Assessments will be performed by the PMA monitors based in the Districts. Results will be discussed with project partners, and recorded in an NFR.

Approach/Methodology

The Field Assessments will employ two participatory techniques:

Participant Observation

During data collection, the PM team will use the technique of 'Participant Observation'. This means gathering data through observations and inquiries. The PM team will listen and learn without offering views or opinions of their own. Participant Observation will allow the PM staff to be an integral part of a process, rather than being perceived of as an outsider. This will require rapport to be developed with those being observed, and clarity as to why this is being done and how the information collected will be used.

Process monitor will observe processes of critical/ important steps rather all steps (viz. IC campaign, village selection, CAP, VDC, Implementation of CIW, Implementation of SAP, etc.) of SIPP. Observation period will mainly be during the processes but it could be taken place before and after the processes if it seems necessary. Through participant observation, degree and extent of participation of different disadvantaged groups viz. poor, women, etc will be documented.

Semi Structured Interviews

A checklist will provide some structure to the interviews, but does not specify the exact questions to be asked. A few questions may be determined beforehand. During the discussion with the community, new questions will arise and there will be aspects to follow-up.

- The checklist will be the major tool used to guide the questioning, to ensure key process areas are addressed.
- Open-ended questions will be used. What? When? Where? Who? Why? How? The PM staff will avoid asking questions, which can be answered with a 'Yes' or 'No'.

The observations and findings will be documented in a Note For the Record (NFR).

Respondents of the SSI will be mainly project related persons like VDC/ PMC members, general villagers, staff members of partner and coordinating organizations. Participant will be targeted based on the requirement of information. Respondents of SSI are to be asked in a interview either in a form of group (Group Discussion) or individual or both. In case of group, preferable size of the group will be less than 10 members. Expected time to administer a SSI would be about 4 hours.

**CHECKLIST OF ISSUES ONE SHOULD
EXPLORE IN VILLAGE VISITS**

Issues of Inclusiveness

- Has a wealth ranking been done in the village listing the name of each household? How as it undertaken?
- What proportion of villagers took part in the formation of VDC and preparation of CAP? What was the percentage from the poor and poorest and from women? Did households from all geographical areas take part in the formation of VDC and preparation of CAP?
- Did the poorest and women actively contribute to the preparation of CAP? Were their views taken into consideration? Are they the overwhelming direct beneficiaries of sub-project activities? Are they the overwhelming direct beneficiaries of SAP activities?
- What is the quality[27] of the village maps, venn diagrams, demand mapping & problem analysis, problem prioritisation, wealth ranking and community action plan in terms of completeness, clarity etc? Do random villagers asked by the PM team understand the purpose of these exercises?

Issues of Transparency

- Are the minutes of the meetings of the VDC regularly recorded and updated? Do the meetings reflect adequately what was discussed – especially where the concerns of women and poorer members taken into account? Are the minutes read out in subsequent meetings?
- Are the records of sub-project implementation updated in a correct and transparent manner? Are receipts for all possible procurement attached? Do all members of the PMC and most members of the VDC know about the estimates and costs incurred on implementation including who and how much community members have contributed? Is the treasurer fully aware of the details in the books?
- How much are much are other villagers aware about the sub-project preparation? At VDC meetings or mass gatherings, are the details of the sub-project implementation progress and details of contributions announced? Are receipts given for contributions? If not, why?
- Are collected contributions deposited in the bank account on a timely basis, and if not, why? Who deposits the money?

Issues of Governance and Empowerment

- Which aspects of the VDC are villagers satisfied with and which are they not?
- How is the VDC and the villagers tackling issues such as dowry, polygamy, physical abuse, village conflicts, child labour, poor female education, high school dropout, etc?
- Which other socio-economic activities have you undertaken with the help of the PO and how? What has been the impact of these activities in terms of number and percentage of people adopting, empowerment and income improvement? What percentage of the total identified activities in SAP has the PO assisted in tackling?

Issues of Sustainability and Cost effectiveness

[27]- Quality of PRA will be assessed on the basis of the objectives for facilitating PRAs, whether the objectives are achieved/attainable, why it is required for the project, whether it can address the requirement, etc.;
-Level and extent of participation of community people during PRA activities;
-Whether the processes were rightly/properly followed (norms, representativeness, documentation, level of facilitation, tool selection, etc.)

- Are meetings held regularly every fortnight at a fixed place and time? Are members of the VDC and others informed about the meeting to be held? Do the overwhelming majority of VDC members attend the meetings? Is this reflected in the attendance register?
- Is the CAP being annually updated? Are mass gatherings being organised for CAP updating?
- Was sub-project implemented within the budget, according to the design and in time? If not, why? What is the mechanism for operation and maintenance of the sub-project after completion? Is there an O&M committee, does it have a system of regular contributions or collections on a need basis? How transparent is the record of O&M funds?
- Without the help of SIPP, describe which activities VDC is independently undertaking e.g. linkages, support from other NGOs, sub-projects entirely on its own? Do you have records and addresses of these liaisons?
- Has the VDC thought of or started savings and lendings operations through which they are intending to encourage income-generating activities and providing capital support to members? If so, what is the mechanism? Have the office bearers been given training in this?
- Is the VDC thinking of or does it have an office? If so, what is the mechanism of its establishment? Does it or is it thinking of recruiting permanent staff to handle VDC activities? If so, what is the mechanism of remuneration?

Issue of Information Sharing

- Do randomly selected villagers know about SIPP and the purpose of group formation? Are they interested in working as a group or not? Do they know who members of the VDC are? In how many strategic places can the PM team observe pasted posters about SIPP?
- Where any street dramas/ folk songs staged in the village by the CSO or PO? What messages do randomly selected villagers remember from those events? Did they or did they not enjoy the events? What other messages would they like dramas and songs to be produced on?

PM TOOL No. 4
Focus Group Discussions with CSOs and POs

Focus Groups with CSOs, PAST and POs

Focus groups will be used in SIPP's Process Monitoring to analyse with project partners, the issues raised during the Field Assessment visits of the PM staff (i.e. the findings of PM Tool No. 3). They will be used to feedback the findings and discuss them with the project partners. The aim is that this information will focus and inform planning and implementation of activities, and enable partners' activities to better respond to the needs of the villagers in Jamalpur and Ghaibandha. They will also be used to gain the perceptions the stakeholders and seek their response to the issues raised by villagers.

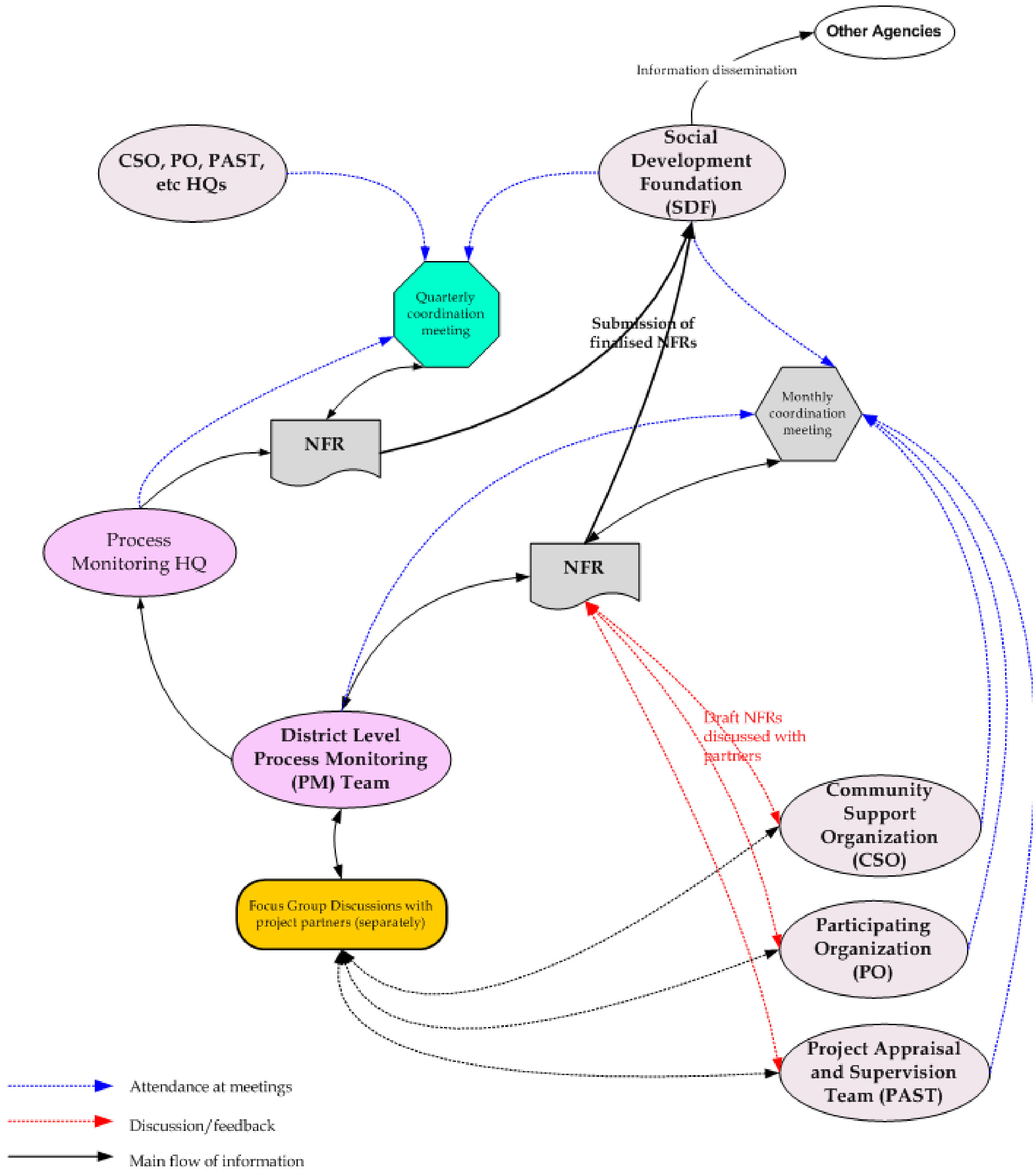
The focus group discussions will occur at the District and head quarters (Dhaka) levels. They will be linked to:

- the monthly District Coordination Meetings held in the two districts in which SDF, the CSOs, POs, PASTs and the PMA participate, and
- the Quarterly Progress Review Meetings held in Dhaka in which SDF, the CSOs, POs, PASTs and the PMA also participate.

At the District level, separate focus group discussions will be held with the CSO and the PO and need based discussion meeting will be arranged with the PAST. Before each focus group a basic set of 8-12 open-ended questions will be developed by the PM staff on the basis of the findings from the monitoring in month (as part of the quarterly monitoring round). The output from the discussion will be a draft Note For the Record (NFR). The combined NFRs from the CSO and PO discussions will form the basis of further discussion at the monthly District Coordination Meetings. At the monthly meetings, the PM team will attempt to seek a balanced input from all participants, the results will be analysed and incorporated into a single District NFR.

Thereafter the District NFRs will be forwarded to the PMA office in Dhaka, who will circulate for comment, before submission to SDF. The main issues in the finalised District NFRs will be discussed in the Quarterly Progress Review Meetings in Dhaka.

Information Flow: NFRs



PM TOOL No. 5
Assessment Guidelines for the Pilot Private Financing of Community Utilities

ASSESSMENT GUIDELINES FOR UTILITIES

Objective

The objective of these guidelines is to assist the PMA to monitor whether the processes designed to be used in the implementation of the utilities programme have been followed correctly, and also to indicate where the design might require some modification. These guidelines are an adaptation of the criteria for grant assistance as detailed in the 'Guidelines to Sponsors for Submission of Project Proposal for the Implementation Rural Piped Water Pilot Projects'

Frequency of Use

The guidelines will be used by members of the PMA team every quarter to assess two of the 10 pilot projects.

Approach/Methodology

In consultation with the Technical Advisor Utilities, two projects will be identified and field visits undertaken. The PMA team will prepare an NFR, that will be shared with the relevant NGO, after which it will be forwarded to the PMA office in Dhaka for onward submission to SDF. It is expected that the NFRs will be discussed in the quarterly coordination meetings held by SDF in Dhaka, chaired by the Technical Advisor in which the PMA will henceforth participate.

The questions in the assessment guidelines will be addressed using similar methods to those in PM Tool No. 3, i.e participant observation and semi-structured interviews.

Process Monitoring Guidelines for Pilot Private Financing of Community Utilities

Technical Aspects

- Have the right of access been obtained for water distribution layout and other infrastructures to be built in the village without having to evict any people or creating adverse impacts to economic activities caused by loss of land by those who were settled on the land (in accordance with TOR) **?**
- What processes were used to obtain these rights of access, and what process issues were arising?
- Have the issues of transparency, inclusion and governance been addressed in obtaining these rights? How?

The following issues are raised by the 'Guidelines to Sponsors for Submission of Project Proposal for the Implementation Rural Piped Water Pilot Projects', but are of a technical nature, and lie outside the remit of the PMA:

- Does the water source (or treatment facility) meet the Bangladesh Standard of drinking water quality (Physical /Chemical and Biological)?
- Is the project construction, O&M, procurement and disbursement system of adequate quality (i.e. in accordance with TOR)?

Financial Aspects

- Were the up-front contribution from the community and Sponsor provided (as evident from bank account)? If yes, what processes were used to persuade communities to contribute, and what were the process issues related to this?
- Do the community members (especially the poor ones) believe that the tariffs will be affordable? How have they calculated this? What information has been provided to them by the Utility NGO?

The following issues are raised by the 'Guidelines to Sponsors for Submission of Project Proposal for the Implementation Rural Piped Water Pilot Projects', but are of a technical nature, and lie outside the remit of the PMA:

- Does the system have an adequate number of connections which make its operation financially viable?
- Are the revenues sufficient to cover full operational, maintenance and repair cost as well as loan repayments and Sponsor remuneration?

Institutional Aspects

- Are the institutional arrangements for construction and operation of the piped water supply scheme clear and sustainable? What issues are there in relation to institutional sustainability?
- If a CBO has been established, is the Service Agreement between the Sponsor and the CBO of acceptable quality?

The following issue is raised by the 'Guidelines to Sponsors for Submission of Project Proposal for the Implementation Rural Piped Water Pilot Projects', but are of a technical nature, and lies outside the remit of the PMA:

If a CBO has been established, is the legal document establishing it of acceptable quality (in accordance with TOR)?

Social and Participation Aspects

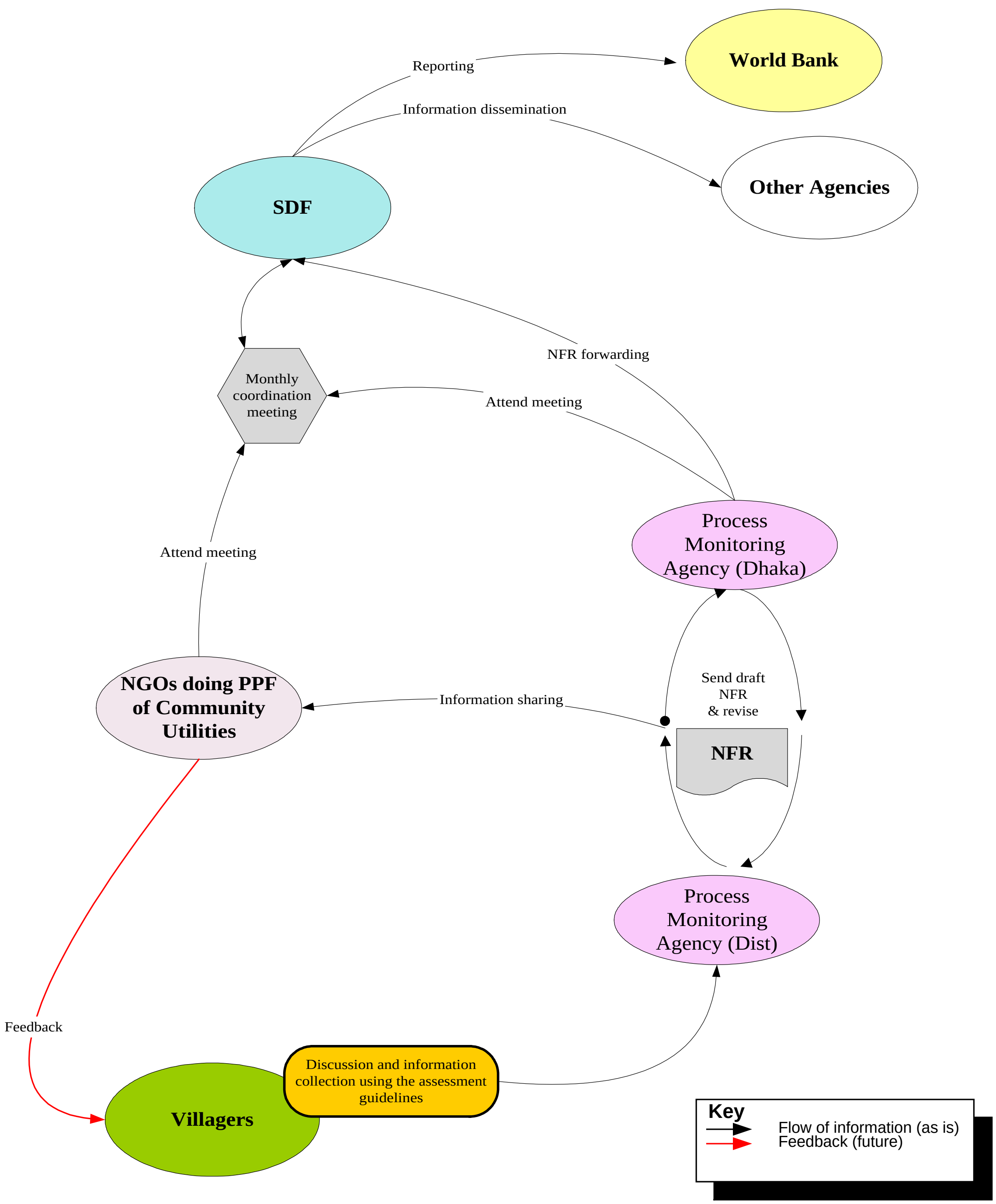
- Was there adequate participation/consultation of the community in the preparation of the Proposal? What was the process used, and what process issues were arising?
- Were the vulnerable groups and poorer members of the community adequately involved/consulted in the preparation of the proposal?
- Will at least 70% of the poor members of the community have access to the piped water?

Environmental Aspects

The following issue ise raised by the 'Guidelines to Sponsors for Submission of Project Proposal for the Implementation Rural Piped Water Pilot Projects', but are of a technical nature, and lies outside the remit of the PMA:

- Are adverse environmental impacts being mitigated?

Information Flow:
PM Tool 5 - Pilot Utilities



PM TOOL No. 6
Documenting Better Practices and Lessons Learnt through Case Studies

DOCUMENTING BETTER PRACTICES AND LESSONS LEARNT IN SIPP THROUGH CASE STUDIES

Objective

The documentation of better practices[27] and lessons learnt during the implementation of the SIPP will enable it to progressively move towards its development objective of 'Developing effective and efficient financing mechanisms for improving access to local infrastructure and basic services through the implementation of community-driven infrastructure works and social assistance programs'. This is because such documentation will enable SIPP to:

- Enhance its performance: The project can document innovative practices - case studies will show impact and achievement. More importantly, case studies need to be written in order to improve project performance. Project staff can learn from the case studies (at an individual as well as project level), to understand why a certain strategy was adopted and what was its outcome.
- Establish benchmarks: A benchmark is a certain quality standard. The better practices documented in the case studies could set a benchmarks in terms of performance and output. Once the benchmark has been set, the project would ideally want all other implementing partners, VDCs or interventions to achieve this benchmark – leading to incremental and positive change across the project.
- Identify good venues for exposure visits for replication by other VDCs or other project partners.
- Disseminate information about current activities within the project to SDF senior managers, the World Bank, other NGOs, development practitioners and academics in Bangladesh and abroad.
- Preserve the record of the project in a historical manner.

Identification of Case Studies to Document

In consultation with the district CSO, PAST and/or PO, each district PM team will identify and briefly outline case studies for documentation of lessons learnt/ better practices in their Quarterly Progress Reports. Identified case studies should be ones from which something can be learnt, it should not merely be used to record project success. Therefore both positive and negative cases will be sought. Often as much can be learnt from a set-back as it can from a success.

Responsibility for Document Assembly

The District PM teams will be responsible for documentation of two case studies each per quarter, working with the field staff of the project partners. The PM team in Dhaka will provide guidance and review the studies.

Approach

Case studies could be of individuals, of groups/ VDCs, of an activity or event such as training or sub-project. They could also be an exploration of the management models being adopted at District levels by project partners for effective implementation e.g. as has happening – the housing of field staff in

[27] *This PM Tool has been called 'Documenting better practices…' rather than 'Documenting best practices….'. This avoids the inference that any one approach or method is the best, and is thus universally applicable. 'Better' practices shows that SIPP is in a state of continual learning and improvement.*

the field rather than at regional offices. The two types of case studies which are outlines here are: i) Profiling individuals or groups/VDCs and ii) Activity Profiling

i) Profiling of individuals or groups/VDCs

A profile of a group or individual can consist of three parts:

A. The Person/Group – bringing the person/group to life.

B. The Story – what the group members, fellow villagers and you consider exemplary about the individual or group's achievements.

C. The explanation – what was the reason for the transformation described in B., what are the processes involved?

D. The Numbers – the technical figures.

The following points can be kept in mind when writing the profile. The order can of course be changed, and the emphasis may be different for each case.:

A. The Person/Group

This section should be *very short* – it will be kept as brief as possible.

1. Personal Information[28]
   Such as: names, name of village, gender, ages, educational levels, household size, etc.

2. Housing and Living Conditions
   Such as: type of housing, sanitation and health conditions, access to markets/ transport, etc., pleasant or unpleasant aspects of the environment, negative or positive externalities, etc.

3. Participation in Village Institutions and Economic Activities
   Such as: occupations and skills, skills and training received, past or present membership of any village bodies / other associations, history of participation and achievements, etc.

4. Social and Economic Status
   Such as: income levels and sources of income, other sources of livelihood, levels of savings, personal / household assets (eg, land, livestock, farm machinery, consumer durables, etc.), natural resources of community: availability and condition of arable land, soil, water, and social problems/issues: disunity, dowry, female-related violence or other social vices, etc.

B. The Story: Describing the Change in Quality of Life

1. Why did the individual/ village become interested in entering into a partnership with SIPP? Where did they hear of SIPP? How was contact made and what was SIPP's response?

[28] See Section 7.2 on data confidentiality, which is relevant here. Only the minimum necessary factual data will be recorded here, and only with proper consent.

2. The story of achievements should give reader perspectives in a manner such as to highlight the story, the interaction and the transformation of beneficiaries:

   - by asking fellow villagers why they consider this person(s) exemplary
   - asking the CSO/ PAST/ PO and the person(s) concerned what is exemplary about his/her/their achievements

3. The story would include indicators of exemplary achievements such as:

   - Changes in income
   - Changes in quality of life, improved living conditions
   - Changes in recognition and status
   - Contributions to family, neighbors and community

4. Future plans of profiled group/person:

   - What the group/person wants to do in the future
   - What group/person expects to achieve from this
   - What does group/person expect from SIPP and what does SIPP expect from the group?

<u>C. The Explanation</u>

1. What was the reason(s) and cause(s) for the change in quality life, according to the person or group′s

2. What are the process issues arising from the story, according to the PMA

<u>D. The Numbers</u>

- This part would include the technical figures like the costs of the activities and their benefits
- The numbers should be consistent with the story and should support the argument put forward in the story
- Where possible, summary measures such as charts and graphs could be used for effective communication.

ii) Activity Profiling[29]

Activities could include, but are not limited to the following:

- Sub-projects (roads, tubewells, culverts etc)
- Training in managerial or technical skills
- Linkages with other financial or non-financial organisations/ institutions including government of Bangladesh institutions
- Assistance in marketing
- Improved production farm practices
- The introduction of improved technology
- Events such as campaigns against dowry, domestic violence, polygamy etc, exhibitions, study tours etc

Activities can be profiled chronologically:

A. Situation before the activity

B. What happened during the activity

C. Situation after the activity

Followed by:

D. Explanation and interpretation

<u>A. Situation before the activity</u>

- What was the existing state of affairs, what were the problems, why was a need felt for the activity to be done e.g. access to information was poor, a potential for income generation existed by selling handicrafts, etc, etc?
- How was the need for the activity identified, how did the villagers respond to the suggestion, what steps did the project take to begin the activity? BY what processes were they consulted and engaged?

<u>B. The activity</u>

- What happened on the day(s) of the activity, what problems arose and how did were they resolved. What were the key mistakes made which need to be avoided in future? Where did processes go wrong?
- Where did the activity take place and why?
- If a training, what was the course structure? How was this arrived at?
- What was the contribution of the project, villagers and any 3rd party towards the activity in terms of time, money or kind? What was the number of participants and how (by what process) were they chosen? How many were women and the poorest?
- What was the attitude/reaction of the villagers and the project during the activity?
- Had an alternative been chosen to the activity, would the alternative have cost more/ less, been more/less effective, more/less participatory?

[29] *Activity profiles are more likely than person/group profiles to include negative cases*

C. After the activity

- If the activity involves a 3rd party, do the villagers now maintain independent linkages with it? If so, how? Have the villagers linked up with others also? If so, how?
- What have been the changes in income, quality of life, improved living conditions, changes in recognition and status, more orders for products, more markets, etc? This information can be gathered from beneficiaries, their neighbours, users of their services or staff of the CSO, PAST or PO.
- What are the future plans of the target group, what do they expect to achieve from this, what do they expect from SIPP? What does SIPP expect from the groups? How have they done their planning?
- To what extent is the activity sustainable? How have the people involved thought about sustainability, and what have they done to address it? How easy is it now for the beneficiaries to train others, get spare parts, operate and maintain the project, what is the system they have established to ensure sustainability? What problems have arisen, how have they been resolved?
- What has been the demonstration effect? Where possible give figures for the numbers of adopters season by season or year by year. What has been the change in the lives/ incomes of these indirect beneficiaries?

The use of diagrams, charts, maps or photographs enables the story to become more interesting and vivid and breaks the monotony of narration. Such devices should be used in the profile.

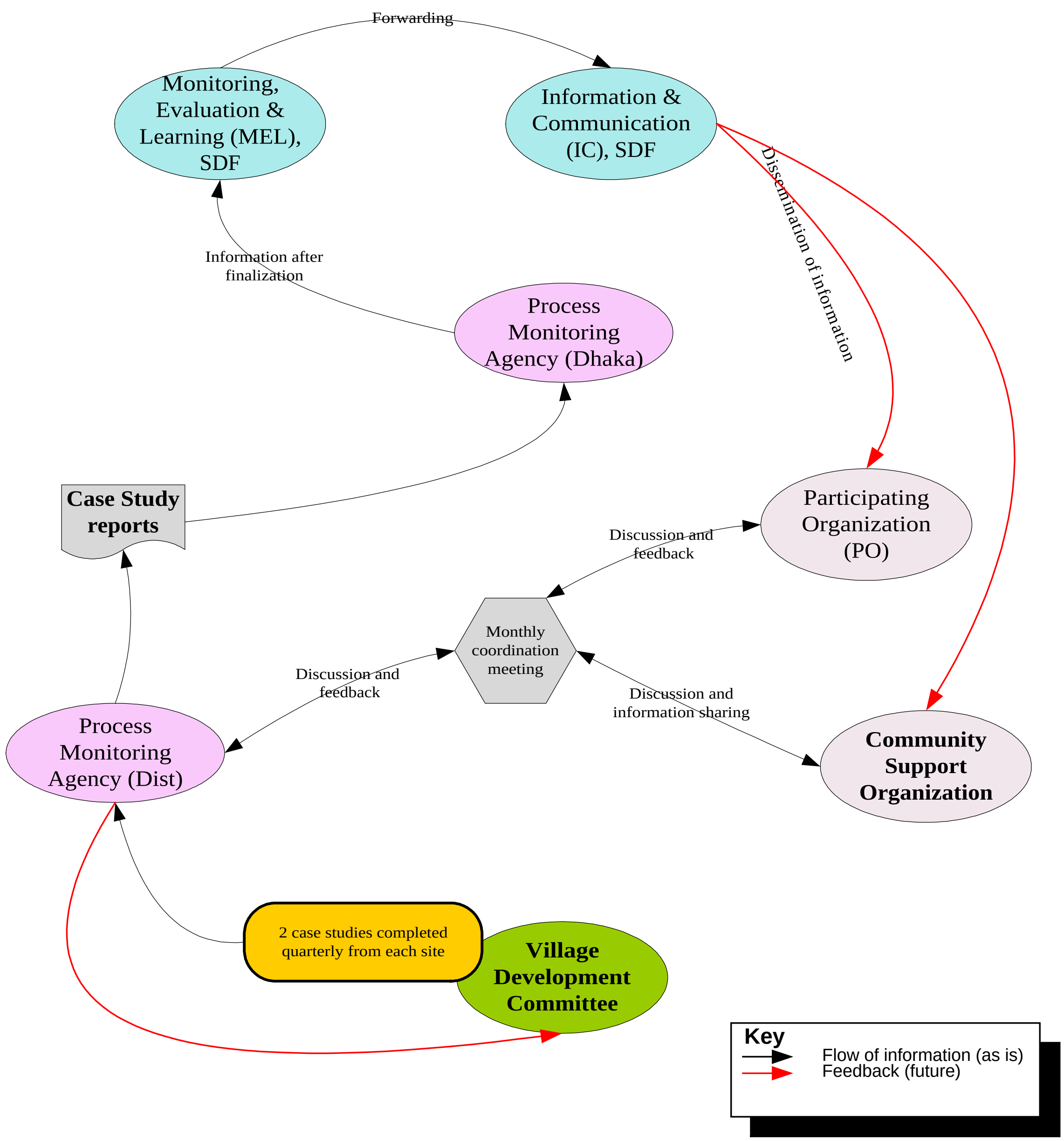
D. Explanation and interpretation

The questions above provide insights to why those involved in the activity think it succeeded (or failed). In this section, the PMA will provide its interpretation of the story, focusing on the process involved and any process issues arising that need to be signalled to SDF and other project partners.

Information Sharing and Dissemination

Within the project, at the district level, the PM teams will share the finalized case studies with the district project partners for review and consensus. Thereafter, the district PM teams will forward the case studies to PM Coordinator in Dhaka for onward submission to SDF. SDF through its IC department will disseminate the case studies to a wider audience as it sees appropriate. As outlined in the Operational Manual, the IC Department of SDF is responsible for the dissemination of best practices and lessons learnt within SIPP.

Information Flow:
PM Tool 6 - Better Practices & Lessons Learnt through Case Studies



9.3. Annex 3. Detailed methodology for developing PM Tools

This annex shows the main steps involved in the design of the tools. These are primarily the process maps, selection of key processes, and suggested indicators for the quality of those processes. These exercises were carried out with all the main project partners, and the outputs from each exercise are presented here.

Since each of the partners is responsible for a different part of the project, and has a slightly different perspective on the project, these outputs vary between them, and his has been instructive in selecting key processes for which each partner is responsible. The process maps from each partner may therefore be considered partial maps of the overall project process. A 'big picture' map of the whole project is also presented.