



## MEMORANDUM

DATE: February 24, 2004

TO: Ruth Buckley, AFR/DP/POSE

FROM: Kellie Burk, Africa Bureau Information Center, PPC/CDIE/DIE, DIS Project

SUBJECT: **Participatory Monitoring & Evaluation**

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In response to your request for examples of participatory monitoring and evaluation (PM&E), please find below recent examples of USAID participatory evaluations, followed by some general resources on PM&E.

### *USAID Experience in PM&E*

[http://www.dec.org/pdf\\_docs/PDABY442.pdf](http://www.dec.org/pdf_docs/PDABY442.pdf)

#### **Evaluation of the participatory agriculture project (PAPA) program in Azerbaijan (July 2003)**

This report is part of a set of two evaluations, which investigates the performance of the Land O'Lakes PAPA Project and the IFDC AMDA Project in Azerbaijan...The evaluation team conducted interviews with project managers and staff, as well as association members, farmers, SME food processors, exporters and marketers...The PAPA project management used M&E, as well as anecdotal information, in their daily decisionmaking processes...In the future, it would be very useful from an evaluation standpoint if USAID would ask its implementers to collect accounting data per activity (i.e. total project funds expended on workshop training or client shop floor TA). This would allow USAID to develop the statistical base from which it could truly evaluate the cost-effectiveness of its implementers.

\*\*\*Scope of Work in Annex E (p.36).

[http://www.dec.org/pdf\\_docs/PNACU839.pdf](http://www.dec.org/pdf_docs/PNACU839.pdf)

#### **A participatory evaluation of VCT activities of the Zambia VCT Partnership in Chipata, Kabwe, Livingstone, and Lusaka Districts (June 2003)**

This report demonstrates the value of a participatory evaluation process in providing insights to stakeholders in the identification of evaluation issues; the evaluation design; the collection and analysis of data; and actions taken as a result of the evaluation findings. The process allowed the Zambia VCT Partnership members to reflect on their achievements and challenges; from this reflection, recommendations were developed for national- and district-level operational strategies and new program activities..Monitoring and evaluation is regarded by the Partnership as an important element in their efforts to adequately measure the achievement of results of activities undertaken within the Partnership results framework. Recognizing this, the core VCT Partnership members recommended the need to strengthen regular monitoring and reporting of Partnership activities against the framework. The partners will collectively track progress, support joint work planning, share information with wider stakeholders, and provide USAID and other donors with information to support their reporting needs.

[http://www.dec.org/pdf\\_docs/PNACU836.pdf](http://www.dec.org/pdf_docs/PNACU836.pdf)

### **Developing a participatory monitoring and evaluation plan: case study of an NGO capacity building project in Mexico (January 2002)**

This case study provides a record of how a group of leading Mexican nongovernmental organizations (NGOs) participated in the development of a project planning matrix designed to represent International HIV/AIDS Alliance (the Alliance) activities in Mexico and set indicators and collect data required to show project results... Not only did the NGOs successfully implement a monitoring and evaluation (M&E) plan that dovetailed with bilateral and multilateral agreements, they achieved astonishing project results—all objectively verifiable... An essential part of the project's achievements was the development of an M&E process that defined expected results in a strategic and measurable framework. For the NGOs involved, the M&E process itself became a capacity building experience, with groups subsequently demonstrating increased ability and desire to use M&E.

[http://www.dec.org/pdf\\_docs/PDABX254.pdf](http://www.dec.org/pdf_docs/PDABX254.pdf)

### **End-of-project participatory evaluation: building empowerment, leadership, and engagement (BELE) & transition engagement for population support II (TEPS II) programs -- East Timor (January 2002)**

Final evaluation of the Office of Transition Initiatives' (OTI) East Timor community stabilization programs, comprising the Transition Engagement for Population Support Program (TEPS II) and the follow-on Building Empowerment, Leadership and Engagement (BELE) program. Lessons learned are as follows:... (8) While evaluations such as this one can have real value to transition program designers, they often fail to penetrate beneath the surface of a grant activity.

\*\*\*See Scope of Work/Terms of Reference in Annex 1 (p.36).

[http://www.dec.org/pdf\\_docs/PDABS760.pdf](http://www.dec.org/pdf_docs/PDABS760.pdf)

### **Ukraine breast cancer support: participatory evaluation of USAID technical assistance (June 2000)**

A participatory evaluation conducted using rapid appraisal, involving all major stakeholders... The priority of the participatory evaluation was to be on sustainability and the future. It was *not* a goal to evaluate and/or compare the two activities and approaches. USAID/Kyiv specified a participatory methodology to enable key stakeholders to have greater ownership of the findings and to facilitate follow-up actions. As such, the evaluation is considered to be a development tool for furthering the expansion of effective interventions and bolstering reforms and policy changes in the breast cancer field.

\*\*\*See Scope of Work in Annex C (p.84), and Methodology with Lessons Learned and Recommendations for future participatory evaluation in Annex A (p.71).

[http://www.dec.org/pdf\\_docs/PDABS017.pdf](http://www.dec.org/pdf_docs/PDABS017.pdf)

### **Participatory evaluation of Partners of the Americas grant from the US Agency for International Development (LAG-G-00-93-00032-00) focusing on the Inter-American Democracy Network: final report (January 2000)**

Evaluates grant to Partners of the Americas (POA) to support the Regional Civic Education Project in Latin America... Lessons learned are as follows:... (8) Evaluating civil society programs is difficult, as the definition and indicators of "success" are open for interpretation. Evaluation is even more difficult in the case of a regional network. Participatory evaluation techniques can help overcome some of these challenges. Also, including an outside facilitator on the evaluation team can counteract the biases to which participatory evaluations may be subject.

[http://www.dec.org/pdf\\_docs/PDABS220.pdf](http://www.dec.org/pdf_docs/PDABS220.pdf)

**Participatory evaluation: urban public transportation improvement and effective local government programs in Ukraine** (December 1999)

Participatory impact evaluation of two completed projects implemented by Research Triangle Institute in Ukraine: Urban Transportation Improvement (UPTI: 9/97-12/98) and Effective Local Government (ELG: 9/97-11/98).

[http://www.dec.org/pdf\\_docs/PNACJ056.pdf](http://www.dec.org/pdf_docs/PNACJ056.pdf)

**Impact assessment of the AG/NRM strategic objective of USAID/Senegal (OLD SO2): annexes -- volume 2 of 3** (May 1999)

The analysis provided is based upon a modified Participatory Rural Appraisals (PRAs) conducted in November 1998 and January 1999...The team has been asked by USAID/Senegal to complete two distinct tasks: 1)determine the impact of USAID/Senegal-financed NRM activities under SO2, and 2)conduct a mid-term evaluation of the CBNRM project.

\*\*\*See Annex G: Use of Participatory Approaches in Program Implementation Strategies: Participation as a Means to Engender Sustainability (p.231-315). An analysis of USAID/Senegal's natural resource management projects concerning the use of participatory methods and techniques and the sustainable benefits of such an approach. The assessment utilized PRA and RRA approaches.

[http://www.dec.org/pdf\\_docs/PNACJ785.pdf](http://www.dec.org/pdf_docs/PNACJ785.pdf)

**Participatory sessions with women's groups: MotherCare project/Guatemala evaluation report** (September 1998)

[http://www.dec.org/pdf\\_docs/PNACB795.pdf](http://www.dec.org/pdf_docs/PNACB795.pdf)

**Application of participatory rural appraisal methods for action research on water management** (1997)

Participatory Rural Appraisal (PRA) is a collection of techniques, many of them derived from applied anthropology, to facilitate structured group discussion and decisionmaking and to graphically depict local knowledge and preferences. It is distinguished from its precursor, Rapid Rural Appraisal, by its slightly lesser concern for rapidity and greater emphasis on involving farmers as partners, rather than mere subjects, in the appraisal process. This report summarizes recent experiences with the application of PRA methods in diverse areas of irrigation and water management in Sri Lanka, Pakistan, India, Kenya, Estonia, and Zimbabwe. Methods of group dynamics, sampling, semi-structured interviewing and dialogue, visualization, and diagraming are explained, with examples. The authors attempt to clarify the sometimes confused notion of PRA, and offer several recommendations about how it can complement other conventional methods of appraisal in order to enhance research and development in the fields of irrigation and water management in developing areas.

[http://www.dec.org/pdf\\_docs/PDABN627.pdf](http://www.dec.org/pdf_docs/PDABN627.pdf)

**Final report: participatory evaluation of the Counterpart Consortium cooperative agreement -- project 115-0001, Central Asian Republics** (December 1996)

Evaluates project to strengthen the capacity of indigenous NGOs in Central Asia to participate in the political and economic life of their countries. Evaluation covers the period 9/94-12/96 against a PACD of 6/97... Lessons learned are as follows. (1) To have maximum benefit, participatory evaluations (such as this) should be implemented midway through a project. This project only has about 7 months remaining, and the staff are concerned about what comes next...(3) Having an agreed upon monitoring and evaluation plan from the outset is key in successfully implementing a consortium-type project. The entire consortium team knows its responsibilities within the program.

\*\*\*See Scope of Work and Methodology in Part II (p.11).

## **USAID Guinea (2003 Annual Report)**

As activities under the four Strategic Objectives are expanding into different regions in Guinea, the Mission seeks to strengthen its capacity for strategic planning, program coordination, and monitoring and evaluation in order to effectively and efficiently achieve the expected results. A Geographic Information System (GIS) has been recognized as an appropriate tool for such purposes. USAID's GIS Specialist designs, directs and maintains a GIS unit within the Mission. USAID/Guinea and its partners are using GIS to create maps that merge the power of statistics with geographic location to create attractive maps and apply their use to development needs out in the field. USAID/Guinea [and its partners] started out by using maps as for informative purposes, but now maps are used for planning, monitoring and evaluation of projects, and for program coordination. The Education and Natural Resource Management teams are the biggest clients of the GIS lab, but also the Health team is making increased use of the tool. GIS is an important part of the Front Office's communication with Washington. Training is provided to Mission staff, partners and GOG counterparts in the use of GIS for planning purposes. The GIS lab has produced maps such as: administrative delineation, road structure, land use, chimp habitat, conflict sites, refugee movements, iron-deficiency, vaccination coverage, access to education system, and activity location.

## **USAID AFR/SD (2003 Annual Report)**

Another major accomplishment for FEWS NET this year is the development of a multi-sectoral food assessment to monitor the risks facing those most vulnerable to the southern Africa food security crisis. FEWS NET is playing a lead technical role in guiding the assessment led by the Southern Africa Development Community (SADC) that forms the backbone of the World Food Program's response to the crisis. FEWS NET worked with SADC to carry out pre- and post-season consultations in which the assessment results were fed back into planning- and decision-making processes within the six affected countries. The results from these assessments form the basis for consensus estimates on the number of people at risk of starvation. Vulnerability assessments, for example, identified tens of millions of people at risk of extreme food insecurity in Africa. FEWS NET contributed to preparing an effective response to the needs of these vulnerable people.

## ***USAID Resources on PM&E***

[http://www.dec.org/pdf\\_docs/PNACL922.pdf](http://www.dec.org/pdf_docs/PNACL922.pdf)

### **Participatory evaluation involving project stakeholders**

**In: Child survival connections, volume 1, issue 1 (2000)**

[http://www.dec.org/pdf\\_docs/PNACU543.pdf](http://www.dec.org/pdf_docs/PNACU543.pdf)

**Participatory monitoring and evaluation workshop: manual for facilitators (2000, ARD/USAID Philippines)**

[http://www.dec.org/pdf\\_docs/PNACH756.pdf](http://www.dec.org/pdf_docs/PNACH756.pdf)

**Participatory program evaluation manual: involving program stakeholders in the evaluation process (1999)**

[http://www.dec.org/pdf\\_docs/PNACU481.pdf](http://www.dec.org/pdf_docs/PNACU481.pdf)

**Participatory evaluation workshops: involving program stakeholders in the evaluation process (1999)**

[http://www.dec.org/pdf\\_docs/PNACK432.pdf](http://www.dec.org/pdf_docs/PNACK432.pdf)

**Participatory monitoring, evaluation and reporting: an organisational development perspective for South African NGOs** (1998)

[http://www.dec.org/pdf\\_docs/PNACF309.pdf](http://www.dec.org/pdf_docs/PNACF309.pdf)

**Participatory rural appraisal for natural resources management: a manual of techniques** (1998, USAID Jamaica)

[http://www.dec.org/pdf\\_docs/PNACK548.pdf](http://www.dec.org/pdf_docs/PNACK548.pdf)

**Assessing organizational capacity through participatory monitoring and evaluation: handbook** (1996, Pact/USAID Ethiopia)

[http://www.dec.org/pdf\\_docs/PNABS539.pdf](http://www.dec.org/pdf_docs/PNABS539.pdf)

**Conducting a participatory evaluation** (1996)

[http://www.dec.org/pdf\\_docs/PNACB023.pdf](http://www.dec.org/pdf_docs/PNACB023.pdf)

**Participatory evaluation** (1995)

[http://www.dec.org/pdf\\_docs/PNABY996.pdf](http://www.dec.org/pdf_docs/PNABY996.pdf)

**Participatory approach to identifying intermediate indicators for NRM M&E systems: a discussion paper** (1995, USAIDAFR/USAID Senegal/USAID ENV)

[http://www.dec.org/pdf\\_docs/PNABQ321.pdf](http://www.dec.org/pdf_docs/PNABQ321.pdf)

**Implementing PRA: a handbook to facilitate participatory rural appraisal** (1992, USAID/Kenya)

[http://www.dec.org/pdf\\_docs/PNAAX249.pdf](http://www.dec.org/pdf_docs/PNAAX249.pdf)

**Conducting mini surveys in developing countries** (1990)

[http://www.dec.org/pdf\\_docs/PNAAX226.pdf](http://www.dec.org/pdf_docs/PNAAX226.pdf)

**Conducting key informant interviews in developing countries** (1989)

[http://www.dec.org/pdf\\_docs/PNAAY650.pdf](http://www.dec.org/pdf_docs/PNAAY650.pdf)

**Participatory evaluation: a users guide** (1986, Pact/USAID Sri Lanka/USAID PVC)

[http://www.dec.org/pdf\\_docs/PNAAW640.pdf](http://www.dec.org/pdf_docs/PNAAW640.pdf)

**Participatory evaluation of participatory development: a scheme for measuring and monitoring local capacity** (1986, Cornell University/USAID)

### ***Additional Resources on PM&E***

<http://www.afrea.org/documents/document.cfm?docId=62>

**African Evaluation Association** *Evaluation Guidelines and Standards* (AfrEA, 2002)

The "African Evaluation Guidelines" is a working document being jointly prepared by national evaluation associations and networks in Africa. It is a very useful checklist for anyone preparing to undertake an evaluation or wishing to assess the completeness of an evaluation study. It is also useful to people negotiating contracts to do an evaluation.

<http://www.eldis.org/participation/pme/>

**Eldis Resource Guide** on Participatory Monitoring and Evaluation.

This comprehensive website offers tools, case studies, indicators, and more.

<http://www.ids.ac.uk/ids/bookshop/briefs/brief12.html>

*Learning From Change: Issues and Experiences in Participatory Monitoring and Evaluation*

(IDRC/IDS, 2000):

**Defining PM&E:** Despite growing interest in the subject, there is no single definition or methodology of PM&E (Participatory Monitoring & Evaluation). The difficulty of establishing a common definition for PM&E highlights the diverse range of experiences in this field, but also underscores the difficulty in clarifying concepts of 'monitoring,' 'evaluation' and 'participation.' For example, the case studies featured in this collection do not make clear distinctions between monitoring and evaluation, and many of them use these terms interchangeably.

<http://www.undp.org/eo/documents/who.htm>

*Who Are the Question-makers? A Participatory Evaluation Handbook* (UNDP, 1997).

Over the years, many tools and manuals have emerged that have contributed to the growing recognition of participatory evaluation as an evolution in, and a valuable alternative to, conventional evaluation methods. While the stages in undertaking a participatory evaluation can be clearly delineated, there is no one model, recipe or tool for such an evaluation. Some of the most common tools are described in this section:

- ✓ Beneficiary Assessment; Focus Group; Logical Framework Analysis (LFA); Semi-structured Interview; Social Mapping; Testimonial; Transect Walk; Venn Diagram; Wealth Ranking; Objectives-Oriented Project Planning.

[http://62.189.42.51/DFIDstage/FOI/tools/chapter\\_07\\_frame.htm](http://62.189.42.51/DFIDstage/FOI/tools/chapter_07_frame.htm)

**Participatory Methodologies and Management** (from DFID's *Tools for Development*):

- ✓ Participatory methodologies can be used at any stage of the Activity Cycle: Design, Implementation, and Monitoring and Evaluation stage (by enabling participants to implement procedures to examine their own activities). The precise information requirements of the different stages are diverse. However they all depend on the systematic collection of data about the households and communities served by the activity and the environments in which they live and work. Three of the more common methodologies are:
  1. Participatory Learning and Action;
  2. Participatory Rapid Appraisal;
  3. Participatory Action Research.

<http://poverty.worldbank.org/library/topic/3373/5463/>

**World Bank's Poverty Net Library** on Participatory Evaluation.

<http://www.undp.org/capacity21/docs/ats/ats-pme.pdf>

*Participatory Monitoring and Evaluation: Approaches to Sustainability* (World Bank & UNDP, June 2003)

The objective of the study was to promote an understanding of the available methodologies for participatory monitoring and evaluation, including: who the users are, what the successes and failures have been, and how different programs have addressed related problems.

<http://www.unicef.org/reseval/index.html>

*UNICEF Guide for Monitoring and Evaluation: Making a Difference?* (UNICEF, 1990):

**Table I-1: Complementarity between Monitoring and Evaluation:**

Item	Monitoring	Evaluation
Frequency	Periodic, regular	Episodic
Main action	Keeping track, oversight	Assessment
Basic purpose	Improve efficiency, adjust work plan	improve effectiveness, impact, future programming

Focus	Inputs, outputs, process outcomes, work plans	Effectiveness, relevance, impact, cost-effectiveness
Information sources	Routine or sentinel systems, field observation, progress reports, rapid assessments	same, plus surveys & studies
Undertaken by	Program managers, community workers, community beneficiaries, supervisors, funders	program managers, supervisors, funders, external evaluators, community beneficiaries
Reporting to	Program managers, community workers, community beneficiaries, supervisors, funders	program managers, supervisors, funders, policy-makers, community beneficiaries