UNIT 1 PROGRAMME PLANNING

Structure

1.1 Introduction
1.2 Meaning of Programme Planning
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1.1 INTRODUCTION

The first step in any systematic attempt to promote urban development is to prepare useful programmes based on people / community needs. The development of such programmes, which harmonize with the needs of people as a whole, is an important responsibility of urban development workers. Programme planning is also a procedure of working with the people in an effort to recognize unsatisfactory situations or problems, and to determine possible solutions, or objectives or goals. This is a conscious effort to meet the needs, interests and wants of people for whom the urban developmental programmes are intended. Hence, the element of people needs should be the central concern of urban development professionals who formulate / implement development programmes.

After studying this unit you should be able to:

- discuss meaning, objectives and principles of programme planning process.
- describe the programme planning process.

1.2 MEANING OF PROGRAMME PLANNING

Before going into the details of programme planning process, let us understand the meaning of the terms like *programme, plan and programme planning* in the context of urban development.

Programme: Programme is a written statement which describes proposed developmental activities, the problems they address, the actions, and resources required.

Plan*:* Plan is schedule of development work outlining different activities in a specific period. It answers the questions like what, why, how, and when as well as by whom and where the work is to be done.

Programme planning: Programme planning is the process of making decisions about the direction and intensity of development education efforts to bring about desirable change among people /community.

Development programme: Development programme is a statement of situation, objectives, problems, strategies and solutions to development problems and issues. The development programmes formulated for the urban may be different from that of the rural areas. Development programmes varies from time to time depending on the issues and problems cropped up at that particular period.

Good programme planning is to the urban development worker what the compass is to the seaman.

Let us briefly discuss the terms / related terms used in this definition.

Situation: Situation is a statement of affairs that includes the cultural, social, economic and physical conditions in which a particular group of people find themselves at a given period of time. Please remember the situation which constitutes the environment for planning is continuously changing. The changing environment aspects that are relevant to development work are:

- Changes in technology.
- Changes in Government policy.
- Changes in overall economic activity including prices, employment of labour, raw material etc.
- Changes in social norms and attitudes of people towards development.

Aims: Aims are generalized and broad statement of directions with respect to given activities.

Example: Improvement of economic condition of urban slum women through Self Help Groups.

Objectives*:* Objectives are expression of ends towards which our efforts are directed. The dictionary meaning of objective is 'something that one's efforts or actions are intended to attain or accomplish'.

Example: Improvement of slum women's economic condition by 20 percent through Self Help Groups.

Goal: Goal is the distance in any given direction one expects to go during a given period of time.

Example: Improvement of slum women's economic condition by 20 percent through income generating activities of Self Help Groups in one year.

Problem : Problem is an issue or obstacle which makes it difficult to achieve a desired goal, objective or purpose. It refers to a situation, condition, or issue that is yet unresolved. In a broad sense, a problem exists when an individual becomes aware of a significant difference between what actually is and what is desired.

Example: In society, a problem can refer to particular social issues, which if solved would yield social benefits, such as increased harmony or productivity, and conversely diminished hostility and disruption.

Goal

If we could but know where we are now, and where we ought to go, we could better judge what to do, and how to do it.

- Abraham Lincoln

Solution: Solution is a course of proposed action to change an unsatisfactory condition to one that is more satisfying.

Example: Decrease in traffic congestion on the roads by providing good urban mass transport system under Jawaharlal Nehru National Urban Renewal Mission (JNNURM).

Calendar of Work: Calendar of work is a plan of activities to be undertaken in a particular time sequence.

Example : Pulse polio programme on first Sunday of every month in all urban slums during the year 2013.

1.3 OBJECTIVES OF PROGRAMME PLANNING

Properly planned development programme gives many benefits. Objective of any developmental programme is to influence people to make changes in their way of life and in making a living. The postulation is that, there is need for change and if people are not aware, it is necessary to make them aware of this and to develop their needs. Important objectives of having a programme planning as per Kelsey and Hearne (1966) are as follows.

i) To ensure careful consideration of what is to be done and why.

ii) To furnish a guide against which to judge all new proposals.

iii) To establish objectives toward which progress can be measured and evaluated.

iv) To have a means of choosing the important / deep rooted from incidental / minor / less important problems and the permanent from the temporary changes.

v) To develop a common understanding about the means and ends between various functionaries and organizations.

vi) To ensure continuity during changes in personnel.

vii) To help develop leadership.

viii) Avoid wastage of resources, money and promote efficiency.

ix) To justify expenditure and ensure flow of funds.

x) To have available a written statement for public use.

1.4 NEED IDENTIFICATION IN PROGRAMME PLANNING

Efforts to promote change through development programmes are successful only to the extent they are focused on the important needs of the people and are effective in helping people meet these needs. In development programmes, people participate only when they think that the programme is valuable to them in meeting personal, family, group or community needs which they themselves recognize. The element of need and need identification therefore, should be the

People concern themselves with urban development programmes only on the basis of needs as they see them, not programme planners view them.

fundamental concern in urban development programmes. In short people concern themselves with urban development programmes only on the basis of needs as they see them, not programme planners view them.

> Urban programmes developed based on the needs *by* the people, *for* the people and *of* the people have best chances of success

Successful programme planning is one of identifying accurately what people want, think they need, and actually getting these items converted into a realistic well organized and concerted series of forceful developmental activities- this may properly called a programme. Effective programmes to promote change are developed through finding people's needs and arranging action that helps meet them. Hence, a clear understanding of the nature and role of people's needs in programmes is essential to the urban development workers like you.

1.5 PRINCIPLES OF PROGRAMME PLANNING

Planning of urban development programme is to be done on the basis of well recognized principles which should be clearly understood and followed. The main principles are:

i) Programme-planning should be based upon a careful analysis of a factual situation.

ii) Problems for action are selected on the basis of recognized needs of people.

iii) Objectives and solutions are to be feasible and offer satisfaction.

iv) Programme should be permanent and flexible to meet a long-term situation, short-term changes, and emergencies.

v) Programme should have both balance and emphasis.

vi) Programme should have a definite plan of work.

vii) Programme planning is a continuous and coordinating process.

viii) Programme planning should be educational and directed towards bringing about desirable change.

ix) Programme planning should have a provision for the evaluation of results.

JNNURM vs. Principles of Programme Planning

India's National Common Minimum Programme attaches the highest priority to the development and expansion of physical infrastructure. Accordingly, JNNURM was planned for urban renewal and expansion of social housing in towns and cities, paying attention to the needs of slum dwellers. The Millennium Development Goals commit the international community, including India, to an expanded vision of development as a key to sustaining social and economic progress. As a part of its commitment to meet the Millennium Development Goals, the Government of India under JNNURM proposes to: (i) facilitate investments in the urban sector; and (ii) strengthen the existing policies in order to achieve these goals. Since cities and towns in India constitute the second largest urban system in the world, and contribute over 50 per cent of the country's GDP, they are central to economic growth. For the cities to realise their full potential and become effective engines of growth, it is necessary that focused attention be given to the improvement of infrastructure under JNNURM.

Activity 1

Visit a nearby any development department and enquire about urban development programmes. Write your observations.

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Check Your Progress 1

Note: a) Use the spaces given below for your answers.

b) Check your answer with those given at the end of the unit.

1) What do you mean by development programme planning?

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2) Do you agree that proper planning enhances the success of urban development programmes? Support your answer.

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3) Write any four principles of programme planning.

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1.6 PROGRAMME PLANNING PROCESS

Three phases involved in programme planning process are:

i) Programme formulation

ii) Programme execution

iii) Programme evaluation

These three phases have the following 8 sub-processes as shown in Fig.1.1

i) Collection of facts and analysis

ii) Identification of problems

iii) Determination of objectives

iv) Developing the plan of activities

v) Carrying out the activities

vi) Continuous checking

vii) Evaluation of results

viii) Reconsideration

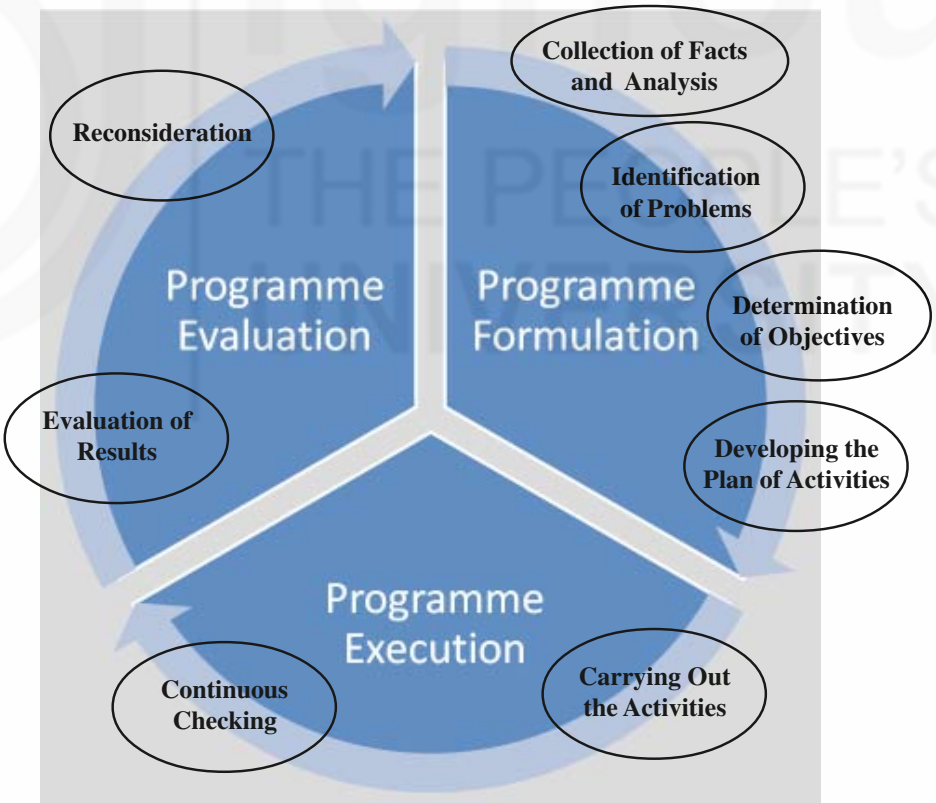

Fig. 1.1: Development Programme Planning Process

1.6.1 Collection of Facts and Analysis

Urban development workers must have adequate knowledge of socio, economic, cultural and psychological status of people and how to involve them in the process of development. In general, information on the following items should be collected.

a) Number of beneficiaries

b) Educational status of beneficiaries

c) Communication facilities

d) Socio- economic status

e) Availability of common / community facilities

f) General health of the community

g) Customs, traditions, institutions, peoples' organizations operating in the area, etc.

The tools and techniques for collecting data include systematic observations, interviewing the people and surveys, existing governmental records, census reports, and the past experiences of the urban development workers. After collecting facts, they are analyzed and interpreted to find out the problems and needs of the people.

1.6.2 Identification of Problems

As a result of the facts analysis, the important gaps between 'what is' and 'what should be' are identified and the problems leading to such a situation are to be located. These gaps represent the people's needs. For your understanding, problem of urban transport system is given in Fig. 1.2

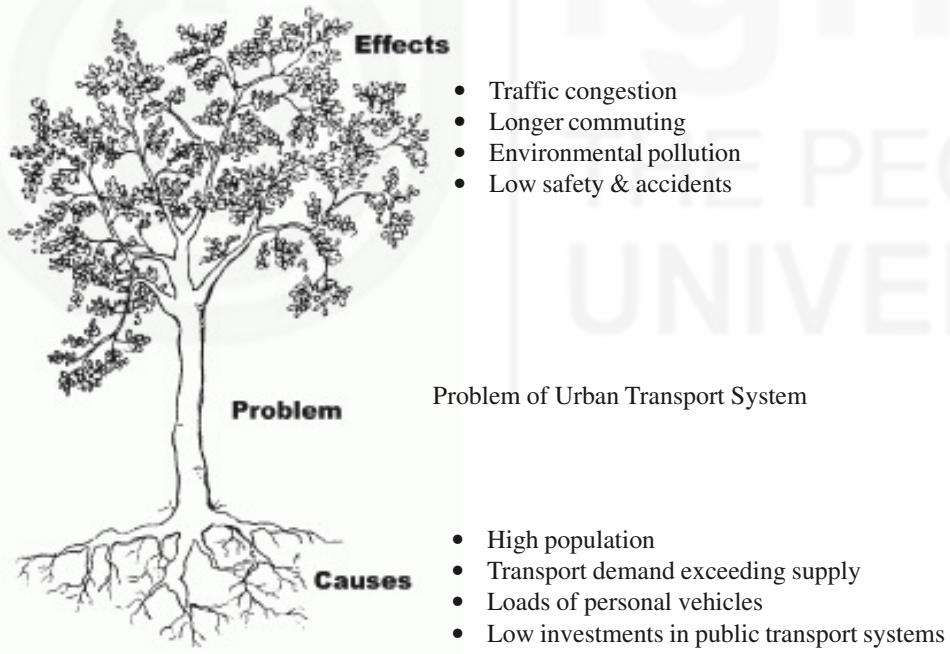

Fig. 1. 2: Problem of Urban Transport System

From the Fig. 1.4, we can identify various direct and indirect causes for the problem of urban transport. Some of the interrelated reasons are: the high population is leading to exceeding of demand compared to supply and therefore people have to use personal vehicles. These are leading to traffic congestion, longer travel time, environmental pollution, low safety and increased possibility for accidents.

1.6.3 Determination of Objectives

Once the needs and problems of the people have been identified, they are stated in terms of objectives and goals. The objectives represent a forecast of the changes in the situation or change in behaviour of the people to be brought about. The objectives may be long-term as well as short-term and must be stated clearly.

Example: To solve the problem of urban transport system as identified above, the objectives for a one year 'Mitigating Urban Transport Problem' project could be:

a) To educate commuters on the benefits of using public mass transport system.

b) To reduce the number of vehicles on the roads at least by 20 % by encouraging pooling of commuters.

1.6.4 Developing the Plan of Activities

In order to achieve the stated objectives, the means and methods attaining each objective are selected and the action plan, i.e. the calendar of activities is developed. It includes the technical content, who should do what, and the time-limit within the work will be completed. The plan of work may be seasonal, short-term, annual or long-term.

Example: Prepare the following schedule of activities, print and distribute to all concerned related to above objectives.

- Developing urban transport extension literature on benefits of public mass transport system like Metro viz., :
  - Time saving for commuters
  - Reliable and safe journey
  - Reduction in atmospheric pollution
  - Reduction in accident
  - Reduced fuel consumption
  - Reduced vehicle operating costs
  - Increase in the average speed of road vehicles, etc.
- Using the above literature, conduct awareness campaigns (6-7 in a month) targeting offices (1st Monday), schools (2nd Monday) and public places (all Sundays) on the benefits of public mass transport system.
- Through individual and group contact methods, persuade at least 20 % of personal vehicles users to shift from individual to pooled vehicles.

1.6.5 Carrying out the Activities

Once the action plan has been developed, arrangement for supplying the necessary inputs, teaching aids, urban transport extension literature etc. has to be made and the specific action has to be initiated. The execution of the plan of activities is to be done through extension methods for stimulating individuals and groups to think, act and participate effectively. People should be involved at every step to ensure the success of the programme.

1.6.6 Continuous Checking

Follow-up the activities carried out at regular intervals. Keep adequate records of each activity as a base for evaluation of results.

1.6.7 Evaluation of Results

It is done to measure the degree of success of the programme in terms of the objectives set forth. This is basically done to determine the changes in situation or the behaviour of the people as a result of the programme. The evaluation is done not only of the physical achievements but also of the methods and techniques used and of the other steps in the programme-planning process, so that the strong and weak points may be identified and necessary changes made in the subsequent programmes.

1.6.8 Reconsideration

The systematic and periodic evaluation of the programme will reveal the weak and strong points of the programme. Based on these points the programme is reconsidered and the necessary adjustments and changes should be made in order to make it more meaningful and sound.

Remember that programme-planning is not the end-product of urban development activities, but it is an educational tool for helping people to identify their own problems and make timely and judicious decisions. In the above mentioned steps, it is clear that the planning of mitigating urban transport problem comprises a logical series of consecutive steps. Similarly development programmes can be formulated in any other sub-sectors of urban development. The first 4 steps form the programme planning phase. The steps 5-6 form the action-phase. The steps 7-8, joins the two phases together, where it leads to the fact-collecting step, thus beginning once again the never ending or continuous process of planning the urban development programme.

Check Your Progress 2

Note: a) Use the spaces given below for your answers.

b) Check your answer with those given at the end of the unit.

1) Write the three phases in programme planning.

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1.7 LET US SUM UP

In this unit we started by looking into the definitions of the terms programme, plan and programme planning and understood what they mean in the context of urban development. We examined the importance and principles of programme planning. In the last section we studied different phases and sub-phases in programme planning process with a practical example.

1.8 KEYWORDS

Programme : Programme is a written statement which describes proposed activities, the problems they address, the actions, and resources required.

Plan : Plan is schedule of development work outlining different activities in a specific period.

Programme Planning : Programme planning is the process of making decisions about the direction and intensity of extension education efforts to bring about desirable change among people.

Calendar of Work : It is a time schedule of work consisting activities arranged chronologically.

Extension Programme : It is a statement of situation, objectives, problems, and solutions.

1.9 REFERENCES AND SELECTED READINGS

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1.10 CHECK YOUR PROGRESS – POSSIBLE ANSWERS

Check Your Progress 1

1) Development programme is a statement of situation, objectives, problems, and solutions..

2) Yes. Proper planning of urban development programmes enhances the success by: avoiding wastage of resources; providing guidance; maintaining continuity and sequence; providing reliable information and ; facilitating institutional and local support.

3) The main principles programme planning are: careful analysis of a factual situation; selection of problems on the basis of recognized needs of people;

set the feasible objectives which offer satisfactory solutions; permanent and flexible to meet a long-term situation, short-term changes, and emergencies; educational and directed towards bringing about desirable change and provides for the evaluation of results.

Check Your Progress 2

1) The three phases involved in programme planning process are (i) : Programme formulation (ii) Programme execution and (iii) Programme evaluation.

UNIT 2 MONITORING

Structure

2.1 Introduction
2.2 Meaning of Monitoring
2.3 Monitoring: What, Why, When and by Whom
2.4 Basic Concepts and Elements in Monitoring
2.5 Types of Monitoring
2.6 Tools and Techniques of Monitoring
2.7 Indicators of Monitoring
2.8 Let Us Sum Up
2.9 References and Selected Readings
2.10 Check Your Progress - Possible Answers

2.1 INTRODUCTION

Projects are the 'cutting edge' of urban development. The most difficult single problem of project managers is the proper implementation of urban development programmes and projects. However well a project has been conceived and planned, if the implementation is not proper, it will result in inefficient and wasteful loss of scarce resources. India has been a fore runner in formulating enormous number of programmes and projects for urban development. Review of these projects suggests that monitoring and appropriate mid course corrective measures are central to achieving project goals. In the light of the above, Monitoring and Evaluation (M&E) is increasingly recognized as an indispensable tool of both project and portfolio management. There is a wide felt need to improve the performance of development projects. M&E provides a basis for accountability in the use of development resources and is an integral and important part of the project cycle. No project can be complete or successful without a proper M & E. According to World Bank (2004) M&E of development activities provide government officials, development managers and civil society with better means for learning from past experience, improving service delivery, planning and allocating resources, and demonstrate results as part of accountability to key stakeholders. Within the development community there is a strong focus on results – this helps explain the growing interest in M & E.

After studying this unit, you will be able to:

- explain what, why, when and how of monitoring.
- identify key elements in monitoring.
- discuss various types of monitoring.

2.2 MEANING OF MONITORING

The word "monitor" is derived from the Latin word meaning to 'warn' and "evaluate" stems from the word 'value'. *Monitoring* is an integral and important part of a management information system. Managers require information to keep

track of development programme, to guide its course of action. *A management information system* is a scheme by which the "right" information is obtained in the right amount, at the right time and is made available to the right person or persons. An information system is usually created in organizations to cater to the information needs of management.

Management information system include six kinds of information: (1) diagnostic information (why a situation is as it is), (2) implementation information (physical and financial or input information), (3) utilization information, (4) impact information, (5) situation information, and (6) information for review.

A monitoring system is a subsystem of a management information system and has several distinguishable components. Top management receives information from the monitoring unit and from other formal and informal sources. This influences programme implementation, leads to better programme planning, and ensures sustainability of programmes. Ultimately this leads to institutional development.

2.3 MONITORING: WHAT, WHY, WHEN AND BY WHOM

Monitoring is a continuous / periodic review and surveillance by the project management, at every level of the implementation of an activity to ensure that input deliveries, work schedules, targeted outputs and other required actions are proceeding according to plan. Availability of a 'plan' is a pre-condition for monitoring.

Another way of defining Monitoring is that it is a process of measuring, recording, collecting, processing and communicating information to assist project management decision-making. To be precise and brief, "monitoring system is an information system for management decision making".

According to Shapiro "Monitoring is the collection and analysis of information as a project progresses. It is aimed at improving the efficiency and effectiveness of a project or organization. It is based on targets set and activities planned during the planning phase of work. It helps to keep the work on track and can let management know when things are going wrong. If done properly, it is an invaluable tool for good management and it provides a useful base for evaluation."

According to PSO "Monitoring is the systematic collection, analysis and use of information from projects and programmes for these basic purposes: (i) learning from the experiences acquired (ii) accounting internally and externally for the resources used and the results obtained and (iii) taking decisions."

Thus, monitoring is a management function, which begins with the start of a project and ends with the completion of the project, but it is a continuous process during the implementation of project. The key requirement for Monitoring is an 'ACTION PLAN' without which monitoring is not possible. The whole gamut of monitoring is explained in the Table 2.1

Table 2.1: Gamut of Monitoring

What?	Check, review, overview, keep track, observe, control, guide, correct, inspect, supervise, verify, feed-back, follow-up of the	progress of programme implementation with reference to action plan.
Why?	To ensure successful implementation of the project by identifying shortfalls, deviations, problems and the reasons thereof to	take appropriate corrective/ remedial action to keep the project on track.
When?	During the implementation of the project continuously/ periodically	from inception till completion of the project (concurrently with project implementation).
Who?	By the project management team at different levels	including beneficiaries (participatory monitoring).

A project's operation, performance, and impacts are the aspects of concern in monitoring with a view to keep track on the technical and economic 'efficiency' of the project. This is carried out in terms of:

- Whether the various tasks are carried out according to schedule;
- Whether project results are likely to lead to realization of project objectives; and
- Whether project objectives / targets / execution needs adjustments.

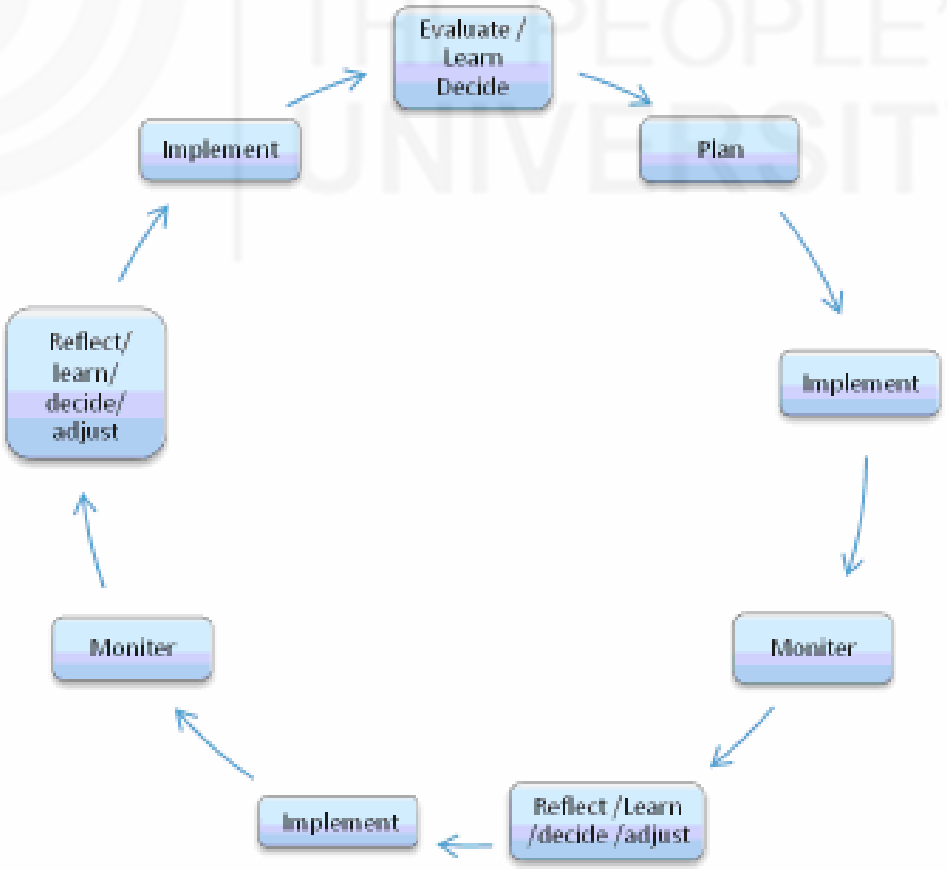

Fig. 2.1 : Monitoring and Evaluation Cycle (*Source: Shapiro, J. Monitoring & Evaluation)*

Monitoring, therefore, is an essential tool for successful implementation of a project. During the process of monitoring, we identify the shortfalls, deviations and problems and causes for the same to take appropriate remedial /corrective action.

Since monitoring is a management function, all those who are involved in the project implementations (who constitute the project management team at different levels / sectors) will do the monitoring. This may include, even the beneficiaries when local groups / organizations have been formed as part of project strategy (e.g.: Urban Forest Committees and Forest Protection Committees under JFM, Water Users Committee, Education Committees, User Groups, Self Help Groups, etc). It is important to appreciate that monitoring is not an individual's function but a collective function. When all stakeholders, including beneficiaries are involved in monitoring, then it paves way for participatory monitoring. A monitoring and evaluation cycle is given in Fig. 2.1

Till now you have read about the meaning and scope of monitoring, various gamuts of monitoring and monitoring and evaluation cycle. Now answer the questions in Check Your Progress-1.

Check Your Progress 1

Note: a) Write your answer in about 50 words.

b) Check your answer with possible answers given at the end of the unit.

1) What do you men by monitoring?

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2) What is the role of monitoring in management information system (MIS).

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2.4 BASIC CONCEPTS AND ELEMENTS IN MONITORING

2.4.1 Basic Concepts in Monitoring

Four concepts are basic to monitoring and evaluation. They correspond, respectively, to operational investment (e.g., investment per family), operational efficiency (e.g., the number of visits, meetings, demonstrations, and trials, per development worker), technical efficiency (e.g., output, and value added), and extension-induced changes (e.g., income, and income distribution) (Ruthenburg, 1985, p. 120).

Capability, effectiveness, and efficiency fall in the monitoring domain. Impact falls in the evaluation domain.

i) **Capability** is the command that programme has over physical, financial, and human resources, enabling it to serve its clients (e.g. mothers, children). It is reflected by outreach, intensity, technical competence, and physical and financial resources.

ii) **Effectiveness** is defined as "the degree to which goals are attained". It is the adequacy of endeavor to accomplish a purpose for producing intended or expected result. Every developmental project has to take into consideration the effectiveness in order to produce desired result with the given time period. Monitoring the project effectiveness is quite crucial.

iii) **Efficiency** means functioning in the best possible manner with the least waste of time and effort. Lon Roberts defines efficiency as "to the degree of economy with which the process consumes resources especially time and money". Monitoring of efficiency is essential as it will check wastage of resources and ensure completion of project in right time.

iv) **Impact** can be measured by a simple indicator, like Infant Mortality Rate (IMR), Maternal Morality Rate (MMR), Minimum Levels of Learning (MLL), and Learning Achievement, etc. Such indicators provide ultimate tests for the success of any sectoral programmes.

2.4.2 Basic Elements in Monitoring

Let us now discuss in detail the various elements of monitoring. In the study of Monitoring and Evaluation, the following basics (structure of a project) need to be understood clearly. To begin with, the purpose of a programme is to convert a set of RESOURCES into desired RESULTS.

Resources are INPUTS and results are OUTCOMES (This term is used here in a generic sense though it has more specific connotation which will be discussed later). Inputs to outcomes happen in a sequence as detailed below:

i) **Input:** Goods, Funds, Services, Manpower, Technology and other resources provided in a project with the expectation of OUTPUTS.

ii) **Results:** Certain things happen immediately, and certain things ultimately, while certain things in between these two (intermediate). According to sequence, the result of a agriculture project can be grouped into three broad categories, such as productivity, production and income.

iii) **Output** (Immediate results)**:** Specific products or services, which an activity is expected to produce from its inputs in order to achieve the set objectives (in case of agriculture it will lead to increased irrigation, fertilizer use, health facility created etc).

iv) **Effect:** Outcome of the use of the project outputs above the realization of expected effects in a project will lead to desired impact – Intermediate results. In the recent M & E literature effects, are described as outcomes.

v) **Impact:** Outcome of Project Effects (broad long term objectives: Standard of living and reducing poverty both at individual and community level) - Ultimate results. Impact is described as the outcomes for a community or region than on individuals. It may include direct and indirect as well as primary, secondary and tertiary level.

In any project, this sequence (input - output- effect (outcomes) - impact) is inbuilt, ensuring that these steps occur is a primary 'condition' for the success of a project. Again, all projects are made on certain 'assumptions' i.e. if we provide inputs, recipients will use it properly, and produce necessary outputs so that the outputs will result in increased income and the income will boost the standard of living of people. There are also other factors like vagaries of monsoon, price fluctuation, changing political environment, etc., which are described as 'risks' that will affect the project outcomes. It is, therefore, necessary to evolve a mechanism in every project that necessary conditions prevail, assumptions come true and effects of risk are reduced by providing cushions for the shock. Such a mechanism is called 'Monitoring'.

2.5 TYPES OF MONITORING

Monitoring can be divided into two types, likely:

i) **Beneficiary Contact Monitoring:** Beneficiary Contact Monitoring is the key to successful overall project monitoring. Physical and financial monitoring — the first main component of a management information system - generally measures a project's provision and delivery of services and inputs. But project managers also need to know whether their services are being accepted and how they are being integrated into.

   Beneficiary contact monitoring is taken up:

   - To maintain records for each participant (feasibility of Credit, Health, Education, Nutrition and similar projects) and to analyze these periodically to monitor the penetration of the service and the establishment of a clientele.
   - To establish a regular schedule of surveys to enable managers to measure the progress of a project and the responses of its beneficiaries. Formal sampling techniques must be used to get statistically significant data from these surveys.
   - To use informal interviews to alert managers to outstanding success stories or problems.

ii) **Process Monitoring:** As discussed earlier, project implementation begins with deployment of inputs/ resources to realize some specific outputs. The

conversion of inputs into outputs will involve certain methods, activities, and completion of certain events. This happens in a sequence as below.

Process: It is the way in which activities are conducted. Processes are continuous and cuts across activities. For example rapport building as a process is relevant to SHG formation activities, training, etc.

Milestones: These are a series of achievements that leads to a completion of stage in an activity (an event).

Activities: These are what we do to deliver the output. Activities always have a beginning and an end and are associated with numbers linked to a budget.

Output: This is what a project delivers before the close of the project.

Process monitoring is an approach that ensures that processes are steered to achieve the desired results and that quality is maintained throughout. As long as there is a focus, not only on the inputs and outputs, but the way in which the outputs are being delivered, and quality indicators are devised and tracked, process monitoring would be useful and successful.

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

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

2.6 TOOLS AND TECHNIQUES OF MONITORING

2.6.1 Tools of Monitoring

Broadly, following tools are used for the purpose of monitoring:

i) Regular progress report

Progress reports submitted by field staff and records at District and Block levels should contain physical and financial progress vis-à-vis targets, coverage by blocks, composition of groups (SC/ST/ Others), activities, etc.

From the financial and physical progress report, it is often possible to make a rapid assessment of whether, and to what extent, the original activities of the scheme have been fulfilled, and whether it is working successfully within the allocated budget. Disbursement of funds for the scheme can be matched against other data/schemes.

ii) Monitoring staff performance (review)

Monitoring the staff performance can ensure that individuals are effectively employed to fulfill given tasks. Ideally, all those employed in a project should meet regularly, to discuss their progress, and match this against targets and objectives, and discuss problems and possible changes.

iii) Tour reports by field staff

Often, the most useful information about qualitative aspects of a programme are obtained from the tour reports submitted by field staff; this is especially true in the case when the project is very small and the participants may possess only low levels of education and literacy.

iv) Participant observation

The field staff may stay in the villages and observe the groups closely so as to obtain sensitive, first-hand insights.

v) Reports from visitors

The project staff ensures that all visitors to the project area (Project Director, State Level Officials, Researchers, etc) provide a short report on their impressions of the schemes. These can provide insights/information on new developments, exchange of experiences and help in further developing the programme.

vi) Interviews

Group members and community leaders should be interviewed on their attitude towards the scheme and resultant behavioral changes.

vii) Participatory Monitoring

In this latest technique, the beneficiaries themselves are made partners in monitoring and evaluation. Project staff and beneficiaries discuss and assess the performance together, in order to understand how they have performed, what the problems are and what the future holds for them. The project staff mainly plays a guiding role to formulate appropriate questions and eliciting answers. For example, the group can be prompted to draw inferences from the bank record books, savings books, etc.

viii) Key informants

In addition to our regular contacts, we must try to interact with other people who may be useful sources of information e.g. Teachers, Postmaster, Kirana Shop, SHGs etc.

ix) Complaints / grievances

Many a times, complaints and grievances petition from people in general and target group in particular may throw some light on the actual performance of the scheme. Every project should make provisions for such source of information as part of monitoring mechanism.

2.6.2 Techniques of Monitoring

Broadly following two techniques are used in monitoring:

i) Earned Value Analysis (EVA); and

ii) Critical Ratio Technique (CRT)

i) Earned Value Analysis: Is a way of measuring overall performance by using an aggregate performance measure. The earned value of work performed for those tasks in progress found by multiplying the estimated percent physical completion of work for each task by the planned cost for those tasks. The result is the amount that should be spent on the task so far. This can be compared with actual amount spent.

The methods of estimation usually used are**:**

a) The 50-50 estimate. 50% is assumed when task is begun and remaining 50% when work completed.

b) 0-100% rule: This rule allows no credit to work until task is completed. This is a highly conservative rule, which cause in delay in project work.

c) Proportional rule: This rule divides planned time-to-date by total scheduled time to calculate percent complete. This is commonly used rule.

ii) Critical Ratio Technique: is applied in large projects, in which critical ratio is calculated for all project activities. The formula used for the calculation of critical ratio is:

$$\frac{\text{Actual Progress}}{\text{Scheduled Progress}} \times \frac{\text{Budgeted Cost}}{\text{Actual Cost}}$$

If ratio is 1, everything is probably on target and if the ratio is further away from 1 it requires more investigation.

In this section you have read about the concepts, elements, types and techniques of monitoring. Now try and answer the questions in Check Your Progress-2.

Check Your Progress 2

Note: a) Write your answer in about 50 words.

b) Check your answer with possible answers given at the end of the unit.

1) Write the differences between effectiveness & efficiency of Monitoring?

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2) Name different techniques and types of Monitoring?

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3) What do you mean by participatory monitoring?

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2.7 INDICATORS OF MONITORING

There are different types of indicators, for example, socioeconomic indicators, development indicators, and extension indicators. They range from general to specific concerns.

Indicators can be categorized into direct and indirect or proxy indicators, single and unitary or composite indicators; quantitative and qualitative indicators; primary, core, and supplementary indicators, input and output indicators; and monitoring and evaluation indicators.

Broadly following types of indicators used in monitoring

i) Quantitative indicators

Provide numeric information about a change in a situation. For example, centimeters of rainfall last quarter, number of people using metro etc.

ii) Qualitative indicators

Are largely descriptive statements about processes and outcomes. For example, what is the level of participation in meetings? How are community needs assessed?

iii) Direct indicators

Provide information, which expressly relates to what is being measured. If, for example, information functioning of urban local bodies is required then their functioning is measured.

iv) Indirect indicators

Essential information, chosen from amongst many types of information to serve as substitutes (or proxy indicators) for answering questions or responding to statements that are difficult to measure. For example, if we are interested in measuring the level of poverty in a community, instead of choosing direct indicators for income, indirect indicators for poverty may be chosen, e.g. persons are poor if they have to hire themselves out as daily unskilled labour.

v) Process indicators

Steps involved in planning, designing, collecting funds, construction and operation and maintenance (O&M) of a water supply scheme for example, are the processes involved in developing water supply infrastructure. Examples of process indicators are level of participation and inputs of community during planning.

vi) Progress indicators

Seek to measure or monitor changes against stated targets. The number of trees planted, percentage of water supply scheme constructed, and O&M training sessions held are examples of progress indicators. Progress indicators are usually but not always expressed in quantitative terms.

Monitoring vs. Progress Reporting

Sometimes monitoring and progress reporting are misunderstood to be one and the same in view of certain common features. The similarities between the two are:

a) Both are organized and systematic flow of data of different technical/ administrative operations in progress;

b) Both can be quantitative and qualitative in their approach. But there are distinct differences between them.

Progress reports is a statement of facts giving the extent of achievements at any given point of time. The progress report may not explain how and why of deviations in achievements. When we start questioning such deviations monitoring mechanism gets activated. Thus progress reporting is an Important and initial tool in monitoring but not an end.

In this section you have read about types of monitoring indicators and differances between monitoring and progress reporting. Now try and answer the questions in Check your progress 3.

2.8 LET US SUM UP

Monitoring is an important aspect of project management system. It is a continuous activity for the project manager. This unit has dealt with in detail why, what, when and who of monitoring. Further a detailed analysis of indicators of monitoring is discussed. In the last session the differences between monitoring and progress reporting has been highlighted.

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2.10 CHECK YOUR PROGRESS – POSSIBLE ANSWERS

Check Your Progress 1

1) The word "monitor" is derived from the Latin word meaning to 'warn' and "evaluate" stems from the word 'value'. Monitoring is a process of measuring, recording, collecting, processing and communicating information to assist project management decision-making.

2) Monitoring role in management information system include six kinds of information: (1) diagnostic information (why a situation is as it is), (2) implementation information (physical and financial or input information), (3) utilization information, (4) impact information, (5) situation information, and (6) information for review.

Check Your Progress 2

1) Effectiveness is the degree to which geals are attained whereas efficiency means functioning in the best possible manner with the least waste of time and effort.

2) The following techniques are used for the purpose of monitoring. Like, regular progress report, monitoring staff performance, tour report, participants' observation, and reports from visitors, interviews, participatory monitoring, key informants and complaints or grievances petitions.

   Monitoring are of two types. (i) Beneficiary contact monitoring and (ii) process monitoring

3) In this latest technique, the beneficiaries themselves are made partners in monitoring evaluation. Project staff and beneficiaries discuss and assess the performance together, in order to understand how they have performed, what the problems are and what the future holds for them. The project staff mainly plays a guiding role to formulate appropriate questions and eliciting answers.

UNIT 3 EVALUATION

Structure

3.1 Introduction
3.2 Evaluation: Meaning and Features
3.3 Types of Evaluation
3.4 Evaluation Design (How to do Evaluation?)
3.5 Various Aspects of Evaluation
3.6 Methods and Approaches of Evaluation
3.7 Let Us Sum Up
3.8 References and Selected Readings
3.9 Check Your Progress – Possible Answers

3.1 INTRODUCTION

Literally, 'evaluation' means 'assessing the value of'. Evaluations are undertaken in all spheres of life, in informal or formal ways, whenever, one wishes to know and understand the consequences of some action or event. The acquired knowledge and understanding are commonly used by the evaluator to perform some activity in a better manner in the future; that is, one tries to learn from one's experiences in order to improve one's performance.

Evaluation of development work may be undertaken during the implementation of the development programme or project or after it has been completed. In evaluation of development work, people are in focus. The overall purpose of such evaluation is usually to document the results and the utility of the work for individuals or groups of people in the respective society or societies as well as to explore how the results have been created. Evaluating planned development work means that features and processes will have to be described and explained in relation to the plan or plans for that work. A good plan will also guide the evaluation and facilitate collection and analysis of the information that is needed for it.

Evaluation is an assessment of end results or impact of a project with reference to the objectives set in the project. Knowing why a programme succeeds or fails is more important than knowing what it has done. Evaluation provides answers to this crucial question and helps us to identify the strengths and weaknesses, merits and demerits. A good and comprehensive evaluation should bring out what is good/ bad about the project, what are the direct and indirect benefits and what are the intended and un-intended outcomes. The evaluation should also establish cause-effect relationship of project outcomes. By virtue of this, evaluation is, generally, undertaken after the completion of a project. Evaluation helps to refine our planning tools and future programmes.

After going through this unit, you will be able to:

- explain meaning and features of evaluation
- discuss various types of evaluation
- describe methods and approaches of evaluation

3.2 EVALUATION: MEANING AND FEATURES

3.2.1 Meaning of Evaluation

Evaluation is a process for determining systematically and objectively the relevance, efficiency, effectiveness and impact of project activities in the light of their stated objectives. Since objectives and unbiased assessment of project outcomes are the essential ingredients of an evaluation, generally, an independent agency is assigned the job of evaluation. It is also an organizational process for improving activities still in progress and for aiding management in future planning/programming and decision making. Evaluation provides information about past or ongoing activities as a basis for modifying or redesigning future strategies.

According to Shapiro "Evaluation is the comparison of actual project impacts against the agreed strategic plans. It looks at what you set out to do, what you have accomplished and how you accomplished it." According to PSO "Evaluation is assessing as systematically and objectively as possible an ongoing or completed project, programme or policy. The objective is to be able to make statements about their relevance, effectiveness, efficiency, impact and sustainability".

3.2.2 Features of Evaluation

Some of the basic features of evaluation are as follows:

- It is always with reference to stated criteria
- It is always with reference to a point of time
- It starts where progress reporting/monitoring/estimation surveys end
- It establishes relationship between policies/methods and results
- It investigates and find out factors for success/failure and suggest remedies
- More qualitative in approach and emphasis is on variability than standardization
- More purposive and less aggregative
- Its focus is - policy issues, problem formulation, organizational forms, administrative practices, and extension of technical contents of the programmes, people cooperation, attitude and impact

3.2.3 Difference between Appraisal, Monitoring and Evaluation

Before going to do evaluation, it is important to know the differences between these three concepts 'appraisal', 'monitoring' and 'evaluation'. Although they are interchangeable yet distinction can be established among these three concepts. In development terminology, appraisal is usually taken to mean a critical examination of a proposal of a programme or project, normally before the latter is approved for implementation and funding. Sometimes, evaluation and appraisal are used interchanging as if they are synonymous. Appraisal deals with economic viability, technical feasibility and social desirability of a project that is being contemplated. It is generally undertaken for large but concentrated investment project. Thus, appraisal is basically a planning and project formulation activity. Appraisal may be guided by evaluation findings of similar projects / components, which have already been implemented.

As far as distinction between monitoring and evaluation is concerned, both monitoring and evaluations are undertaken to find out how a programme or project performs or has performed. The basic difference between monitoring and evaluation is given in Table-3.1.

Table 3. 1: Basic Differences between Monitoring and Evaluation

Monitoring	Evaluation
Continuous: Starts and ends with a programme.	One shot operation: At a point of time (usually at completion or mid way of programme)
Required for immediate use and mid-course correction	Used for future planning/ replication/ expansion
Done by implementing personnel	Usually by outside agency
Quick but covers all units	In-depth; covers a sample
Correcting / managing	Learning process
Symptomatic, early warning system	Diagnostic

The concept of evaluation can broadly be defined as a more thorough examination, at specified points in time, of programmes or projects or parts of them, usually with emphasis on impacts and additionally commonly on efficiency, effectiveness, relevance, reliability and sustainability. Generally appraisal is undertaken before the initiation of the project, monitoring during the implementation of the project and evaluation at the end of the project. However, there are no water-tight differences among these three concepts.

3.3 TYPES OF EVALUATION

Customarily, the evaluation can be categorized as: (i) evaluation by focus; (ii) evaluation by agency; (iii) evaluation by stage; (iv) longitudinal evaluation; and (v) ongoing evaluation.

i) **Evaluation by Focus:** It is of two types viz., formative and summative evaluations.

   Formative Evaluation: Done during the programme development stage (Process evaluation: Mid term appraisals)

   Summative Evaluation: Taken up once the programme achieves a stable state of operation (outcome evaluation, ongoing or ex-post evaluation). Usually conducted at the end of the project.

ii) **Evaluation by Agency:** It is done by internal agency as well as independent external agency appointed by donors.

iii) **Evaluation by Stage**

   Ongoing : During the project

   Terminal: Immediately after completion of project

   Ex-Post: After sometime from completion of project

iv) **Longitudinal Evaluation:** It is a repeat evaluation to study the sustainability of results/outcomes.

v) **Ongoing Evaluation (Concurrent Evaluation):** When the monitored information is further analyzed and examined by the project management (with the help of some ad-hoc or special studies) on a continuing basis, with a view to determine the casual relationship between project input or activities and outputs and the influence of external constraints on project performance, it is classified as ongoing evaluation. More aptly, this is the effect and impact monitoring exercise in programmes, which are long term in nature. The idea here is to adjust or redefine policies, objectives, institutional arrangements and resources affecting the project during implementation. Since the main purpose here is to do mid- course correction, it can be taken by the project staff also and therefore it can also be called as internal evaluation. Such evaluation is also termed as concurrent or mid-term evaluation. Generally, this type of evaluation is undertaken in long-term projects.

3.4 EVALUATION DESIGN (HOW TO DO EVALUATION?)

Since the primary focus of evaluation is assessment of results with reference to objectives i.e., end results or impact, evaluation would necessarily mean comparison of current situation after the project intervention with the situation that existed prior to project. The evaluation designs are of two types:

3.4.1 "Pre - Project" Versus "Post-Project" Evaluation

For obtaining pre and post-project situation, two methods could be adopted:

i) Carryout a sample survey at the end of the project and enquire from the project beneficiaries simultaneously their present situation and the conditions that existed prior to the project. This method, however, suffers from 'memory or recall bias' of the respondents.

ii) To overcome the memory or recall bias, it is always preferable and necessary that a 'baseline' or 'bench mark' study is carried out at the beginning of the project on selected parameters of likely impact. A similar baseline at mid term and at the close of project will provide us the changes brought about by the project overtime. Unfortunately in most projects baseline studies are not undertaken or when available it is inadequate. Hence the pre-post (before-after design) may not give us reliable information.

3.4.2 With Project and Without Project Evaluation

Under the circumstances of ambiguity in pre-project and post-project evaluation an alternative evaluation design needs to be adopted. This method is called "with and without", also called as "beneficiary - non beneficiary (Control Group)" design. For this purpose, a comparable typical sample of beneficiaries and non-beneficiaries can be selected and studied within the project area. Alternately, a comparable typical area adjoining the project area where project has not been implemented can also be studied along with project area. The key to both the approaches is selection of comparable / typical sample.

In order to obtain the best results in evaluation, a combination of both the designs will be the most appropriate method.

Till now you have read about the meaning and features of evaluation, types of evaluation and evaluation design. Now you try and answer the following questions in Check Your Progress-1.

Check Your Progress 1

Note: a) Write your answer in about 50 words.

b) Check your answer with possible answers given at the end of the unit.

1) What do you mean by Evaluation?

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2) Name different types of evaluations.

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3) What is evaluation design?

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3.5 VARIOUS ASPECTS OF EVALUATION

It is pertinent to know some of the important aspects which are evaluated when an evaluation is carried out by any individual or an organization. Some of the aspects of evaluation are discussed below:

i) Efficiency Evaluation

This may be defined as the amount of outputs created and their quality in relation to the resources (capital and personnel) invested. It is, then, a measure of how productively the resources (as converted into inputs) have been used.

The main problem in evaluating efficiency is deciding on the amount of various inputs which the evaluator considers to be reasonable for producing the outputs which may have been documented in the project proposal. Specific criteria for making such judgments are rarely given in the plan documents. The evaluator may therefore have to make his or her own judgment about relations between the magnitude of inputs of different kinds and the amount and quality of outputs. Measuring the efficiency is one of the intricate tasks before the project manager, which sometimes may convince or may not convince the donor agencies of the project.

ii) Effectiveness Evaluation

This expresses to what extent the planned outputs; expected effects (immediate objectives) and intended impacts (development objectives) are being or have been produced or achieved. In practice, in effectiveness analysis, it may be appropriate to focus mainly on the effects on the outcome side, for two related reasons:

- the effect level is the first level at which benefits for the intended beneficiaries are expressed, making effects a much more significant measure of achievements than outputs; and
- being more directly derived from the inputs and activities of the respective developmental scheme than are impacts, the effects will normally be less influenced by intervening external factors and can, therefore, usually be assessed quickly and more reliably.

If the immediate objectives (intended effects) have not been precisely stated in the programme or project document, the evaluator may have to make such further specifications by himself or herself which he or she considers to be necessary for an effectiveness analysis, according to the evaluator's own best judgment.

iii) Impact Evaluation

Impact means long-term effect-positive and negative, intended and unintended. These are the longer-term, largely indirect consequences of the programme or project for the intended beneficiaries and any other people. The main impacts are, of course, expected to be positive. However, there may be negative impacts as well, on beneficiary groups or others. These should also be analysed. Sometimes, negative impacts on some people may have been suspected or even expected at the planning stage. These might then have been mentioned and even specified in the plan documents, with or without counteracting measures. In other cases, they may have been entirely unforeseen. They may then be more difficult to trace for evaluators. Impacts are normally generated through complex relations and processes and they, therefore, need to be analysed through broad-focusing investigations. Impact evaluation can use quantitative or qualitative methods or both.

iv) Evaluation of Sustainability Aspect

This means the maintenance or augmentation of positive changes induced by the programme or project after it is terminated. Sustainability may relate to all the levels of the project intervention framework. In case of action research project the sustainability aims at continuation of interventional activities at all levels. In more specific terms, sustainability may mean:

- maintenance of physical facilities produced (for instance, a road);
- continued use of physical facilities (for instance, a road) or intangible qualities (for instance, knowledge);
- continued ability to plan and manage similar development work (by organisations which have been in charge of the programme or project or any other organisations);
- continued production of the kinds of outputs created (for instance, teachers from a teachers' training college);
- maintenance of impacts created (for instance, continued improved health due to new sanitation practices or continued ability to compete more effectively in labors markets due to training given); and
- multiplication of effects and impacts (of the same kinds or of other kinds, through inducements from facilities or qualities created by the programme or project).

v) Evaluation of Quantitative and Qualitative Aspect

In the social sciences, it has become common to distinguish broadly between two major approaches: quantitative and qualitative. The most obvious distinction between the two is that quantitative methods produce *numerical data* and qualitative methods produce information which is expressed in *words*. In simple terms, the quantitative evaluation are made by using scientific tools and measurements. The result can be measured and counted. Compared to this, qualitative evaluations are more subjective in nature and become harder to reproduce with accuracy.

vi) Evaluation of Result Oriented Aspects

The five main aspects in project operation and evaluation are input - activities - output - effect (outcomes) -impact sequence and their need for monitoring at different stages of the projects' progress. There is change in approach, in recent times; new approach is called Result Oriented/ Result based evaluation, an improvement over the activities to outputs in impact approach is used. The focus here is to ensure that resources 'invested' in any development activity generate their intended results objectively as possible. Projects are now only deemed successful, if the measured results achieve the projected quantified indicators. This approach lays emphasis on 'results' and benefits at every stage. The concept is to link development resources to the objective of societal benefits, along with the means of achieving them, impact measures and the risks involved in the process. This involves an integrated methodology package to strengthen all components of the project cycle. The important tools used are Logical Framework, problem analysis; GTZ objective oriented analytical framework, etc.

3.6 METHODS AND APPROACHES OF EVALUATION

The monitoring and evaluation is one of the important components of any project and programme. The funding agencies always want that the money which they sanction to the project and the purpose for which it is spend are utilized for the purpose for which it is intended. Some of the methods and approaches used by the World Bank (2004) for evaluation of projects are:

i) Logical Framework Approach

ii) Formal Survey Method

iii) Rapid Appraisal Method

iv) Public Expenditure Tracking Survey Method

v) Cost-Benefit and Cost-Effectiveness Analysis

vi) Participatory Method

3.6.1 Logical Framework Approach

The Logical Framework is simply a tool, which provides a structure for specifying the components of any activity, and the logical linkages between a set of means and a set of ends. It places the project in its larger framework of objectives within the programme. It serves as a useful tool for defining inputs, time-tables, assumptions for success, outputs and indicators for monitoring and evaluation performance. The structure of the Log Frame is deceptively simple. It consists of a 4 × 4 matrix in which the rows represent the levels of project objectives, including the means required to achieve them (the vertical logic), while the columns indicate how the achievement of these objectives can be verified (the horizontal logic). The full matrix is shown in Table 3.2.

Table 3. 2: A Logical Framework Matrix

Narrative Summary	Objectively Verifiable Indicators (OVI)	Means of Verification (MOV)	Important Assumptions
GOAL	Measures of Goal Achievement	Sources of Information Methods Used	Assumptions Affecting Purpose-goal Linkage
PURPOSE	End Project Status	Sources of Information Methods Used	Assumptions' Affecting Output-Purpose Linkage
OUTPUTS	Magnitudes of Outputs Planned, Completion Data	Sources of Information Methods Used	Assumptions' Affecting Inputs-Output Purpose Linkage
INPUTS	Nature and Level of Resources, Necessary Cost, Planned Starting Data	Sources of Information	Initial Assumptions about the Project

The two important component of logical frame work technique are (a) the vertical logic and (b) the hierarchy of project objectives.

a) **The Vertical Logic:** The vertical logic identifies what the project intends to do, clarifies the relationship between project means and ends, and specifies the uncertainties concerning both the project itself and the social/physical/ political environment within which the project is located.

b) **The Hierarchy of Project Objectives:** Four levels are specified in the Log Frame:

Goal: The reason for undertaking the project: the ultimate objective of the programme to which the specific project will contribute.

Purpose: What the project is expected to achieve in development terms once it is completed within the allocated time. The purpose is the motivation behind the production of the outputs.

Outputs: The specific results to be produced by the management of inputs.

Inputs: The activities to be undertaken and the resources available to produce the outputs.

Some of the advantages of logical framework are:

a) It forces the project analyst to trace out the inter-locking components of a project in a Logical manner right from the start. Shifts the emphasis from inputs and outputs to objectives of the project.

b) It forces the project analyst to ask himself, from the very outset, the question "How can I check whether or not progress is being made towards achievement of objectives?"

c) It forces the project analyst to record systematically the risks and assumptions inherent in the whole enterprise. Helps to minimise risk, keep a check if assumptions are coming true.

d) Handing over to others is made easy.

e) Logical Framework is the intellectual baggage of Monitor and Evaluator.

3.6.2 Formal Survey Methods

Formal Surveys can be conducted from time to time during the project or programme implementation period. The survey must try to collect information with the help of a standardized tool from a carefully selected sample of people or households. Surveys sometimes used to often collect comparable information for a relatively large group of people in particular target groups in a project area. The survey is intended to serve following purpose:

a) Providing baseline data against which the performance of the strategy, programme or project can be compared.

b) Comprising different groups at a given point of time.

c) Comparing changes over time in the same group.

d) Comparing actual conditions with the changed condition of the target established in a programme or project design.

e) Describe prevailing conditions in a particular community or group.

Some of the advantages of this method are: (a) Its findings can be applied to longer group (b) quantitative establishments can be made for the distribution of impacts.

3.6.3 Rapid Appraisal Methods

Rapid Appraisal Methods are quick and low-cost means to gather information from the beneficiaries or other stakeholders of the project area for providing information to decision-makers. The rapid appraisal method falls between very informal methods such as casual conversations or short-site visits and highly formal methods such as Census, Sample Surveys or experiments.

Some of the popular methods of rapid appraisal are:

a) Key information interview

b) Focus group discussion

c) Community group interview

d) Direct observation

e) Mini-survey

The advantages of rapid appraisal method are they are low cost, can be conducted quickly and provide flexibility to explore new ideas. As rapid appraisal methods are short-term, they neither provide sound survey data nor do they provide in-depth understanding of the survey.

3.6.4 Public Expenditure Tracking Survey (PETS) Method

Public Expenditure Tracking Surveys tracks the flow of public funds and determine the extent to which resources actually reach the target groups for which it is intended. The surveys examine the process, quantity, and timing of the release of resources to different levels of government for example central, state, district and local self-government institutions, particularly to the units responsible for delivery of services. PETS is implemented as part of longer service delivery and facility surveys which focus on the quality of service, characteristics of the facilities, their management, incentive structure, etc.

PETS also intend to provide local communities with information about the level of resources allocated to particular services in their area for example to the local school or health clinic, etc and their pattern of utilization. PETS are widely used by the International donor agencies in evaluating their social development projects in African Countries.

The two important advantages of this method are:

a) Supports the pursuit of accountability

b) Improves management by pinpointing bureaucratic bottlenecks

3.6.5 Cost-Benefit and Cost-Effectiveness Analysis Method

The cost benefit and cost effectiveness analysis are tools used for assessing whether or not the costs of an activity can be justified by the outcomes and outputs. Cost benefit analysis measures both inputs and outputs in monitary terms.

On the other hand, cost effectiveness analysis estimates inputs in monetary terms and outcomes in non-monitary quantitative terms. The unique feature of cost benefit analysis is that it can indicate explicitly whether benefits outweigh costs. While the cost-effectiveness compare programme with similar outcomes. The calculation of cost effectiveness is done with the help of cost-effectiveness ratio, which is as follows:

$$\text{Cost Effectiveness Ratio} = \frac{\text{Total Cost}}{\text{Unit of Effectiveness}}$$

The benefit-cost ratio (BCR) represents the ratio of total benefits over total costs, both discounted as appropriate. The formula for calculating BCR is:

$$BCR = \frac{PV_{benefits}}{PV_{cost}}$$

Where:

$PV_{benefits}$ – Present Value of benefits

PV_{cost} – Present value of cost

The steps followed in the cost benefit and cost effectiveness analysis are follow:

1) set the framework for the analysis
2) decide whose cost and benefit to be recorded
3) identify and categorize costs and benefits
4) calculate project costs and benefits over the life of the programme
5) monetize
6) quantify benefits in terms of units of effectiveness
7) discount costs and benefits to obtain present values
8) compute a effectiveness ratio
9) compute cost benefit ratio

One of the important advantages of cost effective method is that it is useful for convincing policy-makers and funders that the benefits justify the activity. While the benefit cost ratio is most suitable for the evaluation of single project.

3.6.6 Participatory Methods

Participatory Monitoring and Evaluation (PM&E) has emerged because of recognition of the limitations of the conventional approach to M&E. It is attracting interest from many quarters since it offers new ways of assessing and learning from change that are more inclusive, and more in tune with the views and aspirations of those most directly affected by the project interventions. PM&E provides an opportunity for development organizations to focus better on their ultimate goal of improving poor people's lives. By broadening involvement in identifying and analyzing change, a clearer picture can be gained of what is really happening on the ground. It allows people to celebrate successes, and learn from failures. For those involved, it can also be a very empowering process; since it puts them in-charge, helps develop skills, and shows that their views counts.

a) What is PM&E?

PM&E is not just a matter of using participatory techniques within a conventional monitoring and evaluation setting. It is about radically rethinking who initiates and undertakes the process, and who learns or benefits from the findings. There are many different forms depending on who is participating, at what stages they are involved and the precise objectives. Community-based versions, where local people are the primary focus, sit alongside other forms geared to engaging lower level staff in assessing how it can be improved. PM&E has created new ways of measuring change, while helping build the monitoring and evaluation capacity of the people involved. Distinction between the conventional M&E approaches and participatory M&E approached is given in Table-3.3 below.

Table 3.3: Conventional M & E approaches Vs. Participatory M&E Approaches

Parameter	Conventional M&E	Participatory M&E
Who plans and manages the process	Senior managers, or outside experts.	Local people, project staff, managers and other stakeholders, often helped by a facilitator.
Role of 'primary stakeholders' (the intended beneficiaries) How success is measured	Provide information only. Externally-defined, mainly quantitative indicators.	Design and adapt the methodology, collect and analyses data, share findings and link them to action. Internally-defined indicators, including more qualitative judgments.
Approach	Predetermined.	Adaptive.

b) The Principles of PM&E

PM&E provides the opportunity to analyse both the qualitative and quantitative information, thus providing more complete information on which to base decisions. Often, an information system focuses on only (quantitative) information, but numbers alone produce an incomplete picture of which is really taking place in the community. If the "story behind the numbers" is available to people, a different evaluation may be possible. PM&E has been built on a number of overall principles which will help understand the PM&E approach (Table 3.4).

Table 3.4: Participatory Monitoring and Evaluation Approach

Tools chosen to fit community: PM&E seeks to find the appropriate tool for each unique community.	Information that is useful rather than perfect: It is often only necessary to have information that shows trends rather than statistically exact information. Information showing trends and delivered on time is often more useful to decision-making than precise information delivered late.
Outsiders help community to focus on a specific issue: Outsiders facilitate but do not direct.	Supports existing community skills: PM&E builds on existing community skills.
Attitude of partnership: Insiders and outsiders can both contribute to community development.	

Essential information: PM&E seeks to identify information that is "necessary to know" rather than "nice to know". This ensures that the information system is not overloaded with unnecessary information.	The community is the final evaluator: Since it is the community alone who decides whether or not to continue the project, they are the final and most important evaluators.
Two way communication and clear messages: PM&E is built on ideas, methods and tools that support equal and clear communication between insiders and outsiders.	People who make decisions need timely, reliable and useful information: The right information at the right time will facilitate better decisions.

c) What are the Steps or Stages of PM&E?

There are four major steps or stages of applying PM&E in practice:

- Planning or establishing the framework for a PM&E process, including identification of objectives and indicators
- Gathering data
- Data analysis
- Documentation, reporting and sharing of information

d) PRA and PRA - related techniques

Participatory assessment also known as 'participatory rural appraisal' (PRA) and 'participatory rapid assessment' (PRA), comprises a range of visualization, interviewing and group work methods. These techniques have proven valuable in enabling people to express their views and share information, in uncovering their realities and priorities, and in stimulating discussion and analysis. Following methods are used:

i) Methods used in participatory rural appraisal (PRA) Visualized Analysis:

Participatory mapping and modeling	Time lines and chronologies
Aerial photograph analyses	Matrix scoring and preference ranking
Transect and group walks	Venn and network diagramming
Seasonal calendars	Flow diagrams on systems and impact
Daily and activity profiles	Pie diagrams
Historical profiles and trend analyses	

ii) Interviewing and sampling methods:

Semi-structured interviewing	Ethno-histories
Direct observation	
Focus group	Well-being and wealth ranking
Key informants	Social maps

iii) Group and team dynamics method:

Team contracts

Team review sessions

Interview guides

Rapid report writing

Work sharing (taking part in local activities)

Villager and shared presentations

Process notes arid diaries

Some of the advantages of participatory evaluation method are:

a) Examines relevant issues by involving key players in the design process

b) Establishes partnership and local ownership of the project

c) Enhances local learning, management capacity and skills.

In this section you have read about the various aspects of evaluation and techniques of evaluation. Now try and answer the questions in Check Your Progress-2.

Check Your Progress 2

Note: a) Write your answer in about 50 words.

b) Check your answer with possible answers given at the end of the unit.

1) What is participatory evaluation?

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2) Name different aspects of evaluation?

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3.7 LET US SUM UP

The basic meaning, principles, design and use of evaluation have been briefed and discussed in this unit. Evaluation has been neglected and mistakenly seen as a 'fault finding' mechanism. It is to be understood evaluation as a 'learning process' and our past experiences guide us to a better future. Unless we know our strengths and weaknesses of actions and outcomes, which an evaluation helps to bring out, we cannot build a better tomorrow. Over the years, evaluation has evolved into a community based participatory exercise than being an externally guided activity. Several illustrations have been given in this unit to facilitate easy understanding of the concept.

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3.9 CHECK YOUR PROGRESS – POSSIBLE ANSWERS

Check Your Progress 1

1) Evaluation is a process for determining systematically and objectively the relevance, efficiency, effectiveness and impact of project activities in the light of their stated objective.

2) Customarily the evaluation can be categorized as (i) evaluation by focus – it is 2 types' formative and summative evaluation (ii) evaluation by agency – it is 2 types like: internal and independent evaluation (iii) evaluation by stage – ongoing, terminal and ex-post evaluation; (iv) longitudinal evaluation; and (v) ongoing evaluation.

3) The primary focus of evaluation design is assessment of results with reference to objectives i.e., end results or impact; evaluation would necessarily mean comparison with situation that existed prior to project. The evaluation designs are of two types: "Pre - Project" Versus "Post-Project" Evaluation and With-Without Project design. In other words, the evaluation design aims at measuring what evaluation intends to measure.

Check Your Progress 2

1) Participatory evaluation is a means of achieving the wider objectives of community participation projects. Community involvement will enable evaluation to be used as a learning device – a form of fundamental education which can contribute to empowerment and partnership. Evaluation needs to be seen in a changing light: from being commonly a tool for judging project managers, it can be transformed into a shared process of community self – assessment and project improvement.

2) It is pertinent to know some of the aspects which are evaluated when an evaluation is carried out by any individual or an organization. The various aspects of evaluation are: efficiency evaluation, effectiveness evaluation, impact evaluation, evaluation of sustainability aspect, evaluation of qualitative and quantitative aspect, and last one is evaluation of result oriented aspect.