HANDBOOK

EVALUATION OF RURAL WATER SUPPLY AND SANITATION PROJECTS IN ZIMBABWE

**Training
Centre for
Water and
Sanitation**

WHAT THIS HANDBOOK IS ABOUT

This Handbook is to assist in the evaluation of District level rural water and sanitation projects in Zimbabwe. It will provide a guide to carrying out an evaluation but is not a substitute for expert advice and training, both of which may be needed depending upon the situation.

The Handbook contains information which is relevant to all types of evaluation and is therefore intended as a reference. We have considered, and recommended, ways in which evaluation can be used as a tool to improve project management at District level (Internal Evaluation, Part 2) and how a mid term or end of term project evaluation may be carried out (External Evaluation, Part 3)

The most successful evaluations are those that combine both external and internal elements. Whereas the external evaluators may have a degree of greater objectivity, the project participants have the experience and insight to know where the real problems lie and are frequently in the best position to resolve them. The external evaluator, on the other hand, can play an important role in facilitating and directing the internal investigation and reflection process. The external evaluator can also be a valuable asset for disseminating the conclusions and recommendations and in advocating for change and support outside of the project.

This document was compiled by the Training Centre for Water and Sanitation, University of Zimbabwe, for the National Action Committee for Rural Water Supply and Sanitation. Comments on the document are encouraged and should be sent to the Training Centre.

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PART 1

INTRODUCTION

PART 1
INTRODUCTION

1.1 WHAT IS EVALUATION

Evaluation is a process of collecting and analyzing information about a project in order to find ways to improve it or to assess its achievements.

1.2 PURPOSE OF AN EVALUATION

Evaluations conducted by project staff are usually concerned with improving the project and are focused on problem solving; whereas evaluations initiated from outside the project, frequently at the request of a donor, are mainly concerned with assessing the efficiency and achievements of a project.

There are two main purposes of an evaluation:

- to identify ways to improve or develop a project:
  in other words;
  "How can we do better?"
  or
  "How can we do more?"
  with the manpower money and materials available.

- to assess the achievements of a project,
  in other words;
  "What has been done?"
  and
  "Was it worth doing?"

  "Should it be continued;
  or
  repeated somewhere else?"

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*********************************************************
*   An evaluation by itself will not improve anything.  *
*  It must always result in recommendations and action. *
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1.3 HOW TO USE THIS HANDBOOK.

Part 1 is an introduction to evaluation and covers most of the general principals involved. It explains why we carry out evaluations, how they may be used and how to organise one.

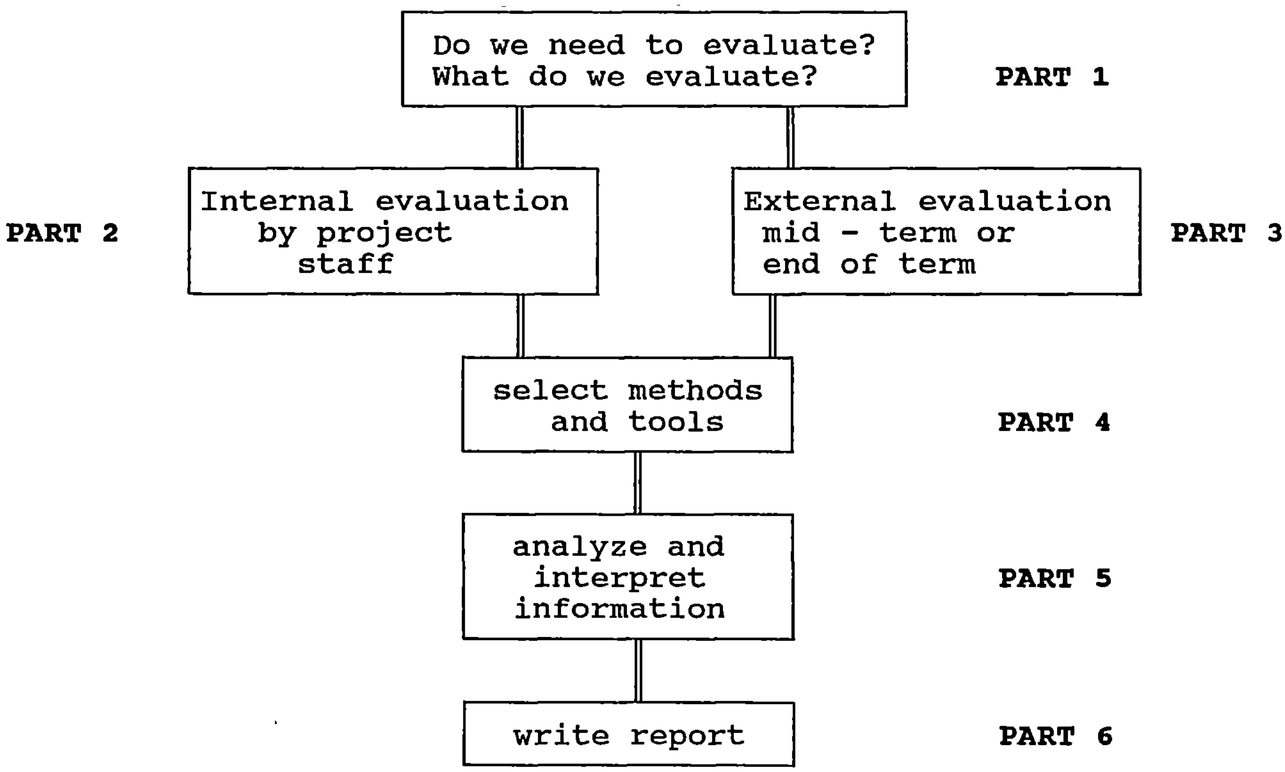
Part 2 deals with the use of evaluation techniques in project management. This is an internal activity initiated by project staff to determine how the project is progressing or to solve specific problems. This section comprises a guide to carrying out an evaluation and a recommended procedure for regular assessment of the project.

Part 3 deals specifically with evaluation of projects by people who are not actively involved in the project. These external evaluations are usually carried out on behalf of donors and are initiated at the National or Provincial levels. This section offers a set of standard evaluation objectives and presents a methodology and workplan for carrying it out. Emphasis is placed on allowing the project staff and recipients to participate in the evaluation as much as possible and for active feedback on the evaluation to these participants.

Part 4 contains the data collection tools and sampling methodology. There is a description of how to collect the data and a list of the key indicators relevant to water and sanitation projects.

Part 5 describes how to analyze and interpret the data.
Part 6 describes how to write an evaluation report.

The following diagram illustrates the steps involved in organising an evaluation. It also shows where relevant information pertaining to each step can be found in the handbook.



1.4 HOW TO ORGANISE AN EVALUATION

A step by step guide about organising an evaluation.

Step 1	Initiate an evaluation
Step 2	Develop objectives
Step 3	Select evaluation methods
Step 4	Collect data
Step 5	Analyze and interpret data
Step 6	Write report and make recommendations
Step 7	Implement the recommendations

<u>Step 1</u>. Initiate an evaluation.

The evaluation is initiated because a problem or problems has been identified within the project. The project team (DWSSC) may decide that more information is needed to solve the problem (Part 2). Alternatively, the evaluation may be initiated from a central level to assess project performance for a report to donors or to assist in making policy (Part 3).

<u>Step 2</u>. Develop objectives.

When a problem is identified within a project, discussion by the District team will usually provide enough information to decide whether it really is a problem that requires investigation.

Once a decision has been made to evaluate at project level, a clear set of objectives must be defined. Whether the evaluation is intended as a review of project performance or to resolve a specific problem, special care must be taken to ensure that the objectives address the issues to be covered by the evaluation.

Although some standard objectives have been recommended for external evaluations (Part 3), ideally the evaluation team should combine these "external" objectives with those of the community and the District to arrive at the final objectives of the evaluation. At the outset the District team and the community should be invited to participate in a workshop where they have the opportunity to identify the objectives of the evaluation. This has the advantage that the evaluation is not likely to be restricted to preconceived objectives and these groups are more likely to be involved in the collection and interpretation of the data and, consequently, more responsive to the implementation of the recommendations. The workshop, by acting as a forum for discussion of the project itself, also provides valuable data for the evaluation team on the successes and failures in project management, implementation, and sustainability. (Part 4).

Objectives should address the problem being evaluated

Step 3. Select evaluation methods.

Once the objectives have been clearly defined the methods for collecting the information are selected. Some common methods and indicators for this process are outlined in Part 4. Emphasis in the handbook has been placed on collaborative methods which actively involve management, implementation staff and beneficiaries in assessing project performance and making recommendations.

Step 4. Collect data.

Collect the data according to the methods selected. Care must be taken to ensure that the data are representative of the real situation in the project area. Since it is usually not possible, for example, to visit every latrine or talk to all the people, some method of **sampling** may be necessary. Sampling is described in Part 4.

Step 5. Analyze and interpret the data.

It is important to analyze the data in a systematic way. This is best done by analyzing the data in relation to each evaluation objective. Data should first be analyzed and then interpreted to describe what the data actually mean in terms of the objectives. (Part 5).

Step 6. Write the report and make recommendations.

The evaluation report is an important vehicle for communicating the results to others. This is especially true as an evaluation should always include recommendations for action. Disseminating the findings (i.e. passing on the report) to the right people can help to ensure that the recommendations are implemented (Part 5). Even when an evaluation is undertaken by project managers who can immediately implement decisions from the evaluation, a report should still be written to enable other implementors and higher levels to benefit from the experience. There should always be a feedback from the evaluation to the community and project staff.

Step 7. Implement the recommendations.

All evaluations should contain recommendations which are expected to be implemented. It is therefore important that recommendations include WHO is expected to do WHAT and WHEN. It is then possible to follow up the report to see if implementation was actually undertaken as recommended.

PART 2

INTERNAL EVALUATION

PART 2

INTERNAL EVALUATION

2.1 WHAT IS AN INTERNAL EVALUATION?

An **internal** evaluation is concerned primarily with getting answers to the question, **"how well are we doing, can we do better?"**. It is an evaluation **planned, organised and carried out** by those implementing the project.

The use of evaluation by the project implementors, (the DWSSC), can be a very effective management tool. Furthermore, it can have a marked impact on the efficiency and outcome of a project. As the project implementors carry out the evaluation, they are better able to interpret the evaluation findings and to make the necessary management decisions and changes. Ultimately, they should be able to manage the project more efficiently.

Another important aspect of an internal evaluation is that it can, and where possible should, involve the community throughout the process. In so doing, the prospects for community participation and motivation can be greatly strengthened.

2.2 WHEN TO CONDUCT AN INTERNAL EVALUATION

Evaluation involves "taking a good hard look" at the project's performance, (how well are we doing), or it can involve getting more information to solve a problem affecting the implementation of the project. The decision about **when** to evaluate depends on whether project performance is being reviewed or on whether a problem is to be solved.

* As project performance should be reviewed regularly, an internal evaluation should be carried out at least **annually**.
* Where information is needed to solve a problem, an evaluation is carried out **as necessary**.

2.3 HOW TO CONDUCT AN INTERNAL EVALUATION

It is recommended that for regular review of project performance, the project team conduct a "Participatory Evaluation Workshop" every year. In relation to the workplan of typical IRWSS projects, this could be conducted as an alternative to the scheduled evaluation workshop.

2.3.1 The Participatory Evaluation Workshop.

The evaluation workshop is a systematic group process used to explore questions on the strengths and weaknesses of the project; its successes and failures. Very often this is (and **should** be) a **PARTICIPATORY** evaluation, where community representatives and community workers are also involved. A detailed guide as to how a participatory evaluation workshop can be conducted is given in Annexure 3. The evaluation workshop is most useful for assessing overall project performance. It is also very useful in identifying problems which may require further investigation.

2.3.2 The Problem Solving Evaluation.

This evaluation is usually carried out by the District Water and Sanitation Committee (DWSSC) in response to a problem about which it is believed more information is needed.
The problem may be brought up at a DWSSC meeting by a member of the team, or it may arise from the evaluation workshop described above. It may be discussed at the DWSSC meeting and a decision made as to whether the team has enough information to be able to act to solve the problem.

EXAMPLE
It becomes apparent that the number of latrines being built is very much below target. This situation would be discussed at a DWSSC meeting. Through discussion it is found that the reason for this situation is that there are not enough builders in the District. The DWSSC then decides on a plan of action where more builders are to be trained or others recruited as a short term measure.
If, on the other hand, no satisfactory reason can be found for the low number of toilets being built; (there is sufficient cement, there are enough builders), then the DWSSC may decide that they need to find out more about the problem. At this point they may decide to carry out an evaluation.

The steps in carrying out a problem solving evaluation are as described in Part 1.4.

2.4 DECIDING TO UNDERTAKE A PROBLEM SOLVING EVALUATION

In the process of deciding whether a problem solving evaluation is really needed, the following questions should be considered:

* Is the problem ~~serious~~ enough to warrant the time, trouble and cost of an evaluation?
* Will project ~~implementation be improved~~ if the problem is dealt with?
* Will the ~~problem resolve~~ itself soon?
* Are possible ~~solutions~~ to the problem largely ~~able to be implemented by the District~~ team?

These questions should be dealt with by the District team together. A special meeting could be held specifically to discuss the problem. The meeting should review the data already available from the monitoring system, and should include discussion about:

- the **size** of the problem
- the **importance** of the problem
- **how much is already known** about the problem
- the **feasibility** of collecting information on the problem
- whether it is **worthwhile** to carry out the evaluation
- how **urgently** the problem needs to be solved

The project team should be clear about what the problem is, and an agreement arrived at as to whether an evaluation is necessary.

EXAMPLE
It seemed that there was a problem of preventive maintenance of the hand-pumps in village A. The pumpminders said they were carrying out preventive maintenance; the pump caretakers said they were greasing the pumps.
The DWSSC, on reviewing their data from the monitoring system, discover that the frequency of breakdown of the pumps was actually very high. It seemed that at any one time, only 50% of the hand pumps were actually working. They were not sure why this should be the case, as a heated argument about amongst the members about the causes showed.
The reasons for the causes of the frequent breakdowns had to be found, and soon. The DWSSC decide they must urgently do an evaluation of the preventive maintenance system.

2.5 FORMULATE OBJECTIVES:

After deciding to evaluate, the objectives of the evaluation are developed. Evaluation objectives specify **what** is to be achieved by the study.
They state what the evaluation seeks to do.

The steps in developing or formulating evaluation objectives include:

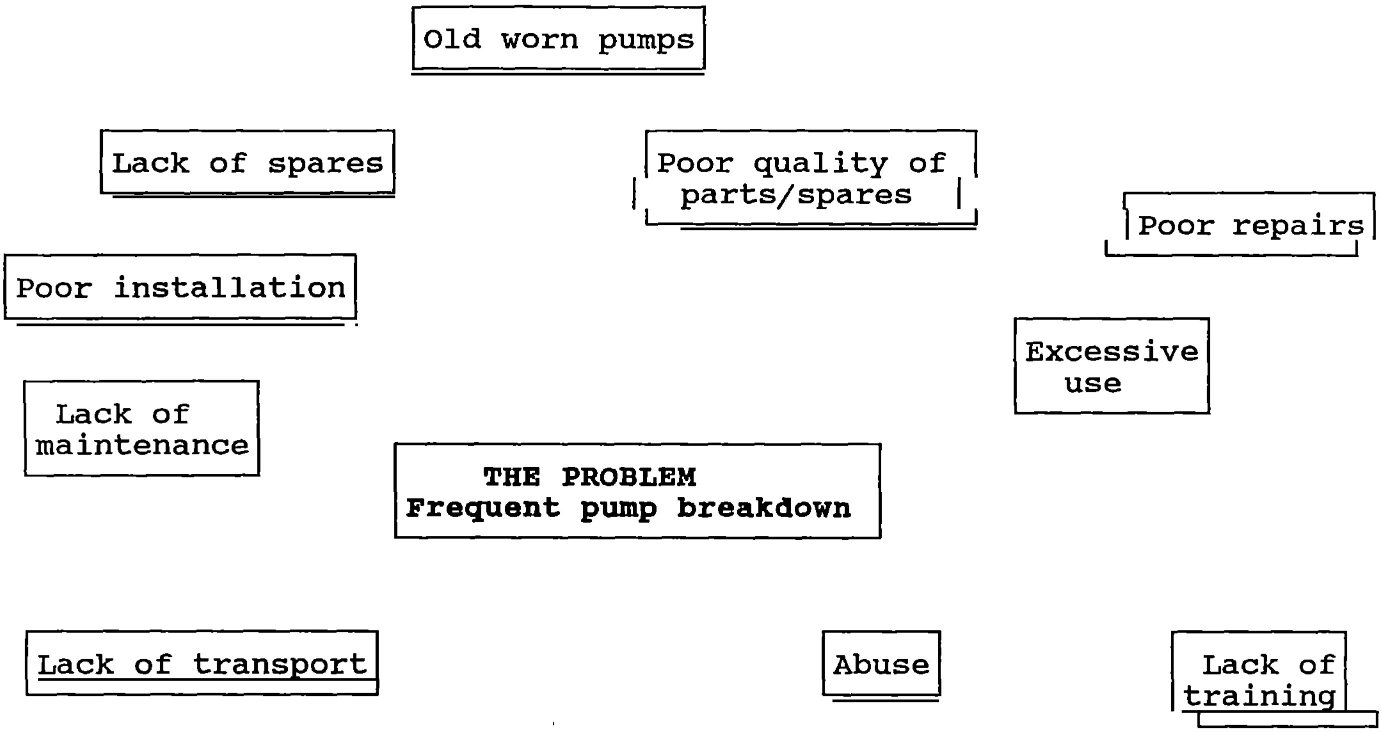
1.**Identifying** the possible causes of the problem preferably on a flip chart

2.**Grouping** the causes of the problem
3.**Framing the objectives** from the grouped causes.

2.5.1 Identifying the possible causes.

It is essential to consider what may be causing the problem. There may be a number of causes of the problem, and it is necessary to consider them all. This can be done by the DWSSC as a group making a list of the possible causes. After the group has completed listing all the causes they can think of, they are then discussed to determine which can be excluded from the evaluation.
It is useful to draw a diagram, on a flip chart, with the problem in the centre and the factors causing or contributing to it around the problem (see diagram).

PROBLEM DIAGRAM: POSSIBLE CAUSES OF FREQUENT PUMP BREAKDOWN



2.5.2 Grouping the causes

These causes can then be grouped as key issues (for example, transport, communication, management, community, technical factors) and ranked in order of importance in their influence on the problem.

2.5.3 Framing the objectives

The grouped causes can now be framed as objectives. Put the important ones first in this activity. The objectives must be based on the problem and derive from it. Evaluation objectives can be grouped into GENERAL and SPECIFIC objectives.
The general objectives are what the evaluation intends to achieve in more general terms. The specific objectives further specify what is to be achieved by the evaluation.
It is essential that the specific objectives are clear, and focus on one issue at a time.

EXAMPLE

In our example above on the frequent breakdown of hand-pumps at water points, the District team, after brainstorming, developed the problem diagram shown above on the possible causes of the problem. Some of these causes were related to each other but this is not shown in the diagram. The possible causes can then be grouped as follows:

Technical causes
- poor quality of parts/spares
- old worn pumps
- poor installation

Management causes
- lack of maintenance
- lack of spares
- lack of transport

Training causes
- poor repairs
- excessive use of the pumps
- abuse of the pumps
- lack of training

Note: Some of the causes may fit into different categories, or into more than one category. For example; the lack of spares could also be a technical problem. Lack of training could be a management problem.

Not all the possible causes can or should be investigated. The study should **focus** on those causes:

- which can actually be studied (not all causes can be studied)
- for which some solutions can be found
- about which not enough is known

In the example above, not much can actually be done about the technical causes. Furthermore, almost all of the pumps in the District are actually not old or worn. The IRWSS project was relatively recently implemented in the area. From reports from other Districts, there did not seem to be a problem with the quality of the spare parts either. If this was the case, other areas implementing the programme would have been complaining as well.

However, not enough was known about the possible management and training causes, and they were felt to be a priority for the evaluation.

EXAMPLE

Having grouped and focused the possible causes, the objectives can be framed:

General Objective:

To ascertain the extent of the frequency of the breakdown of the pumps in village A, the reasons for the breakdowns, and to make recommendations to ensure efficient and timely repair.

__Specific Objectives:__
1. To determine the frequency of pump breakdowns.
2. To find out the most common causes for breakdowns.
3. To determine the extent to which the cause and duration of breakdowns are affected by management factors such as availability of spares, lack of transport and lack of maintenance.
4. To assess whether training may be a factor in the cause and duration of breakdown through e.g. poor repairs, excessive use or abuse of the pumps, or lack of training in preventive maintenance by the pump minders and caretakers.
5. To make recommendations for action based on the findings.

NOTE:

* The general objective is derived from the problem. The clearer the problem, the easier it is to frame the general objective.
* The specific objectives flow from the general objective. They further specify what the evaluation is going to do.
* There is usually an objective that aims at further specifying and measuring the problem.
* Objectives are framed using action verbs.
* There is always an objective recommending action from the evaluation findings.

2.6 KEY ISSUES

These key issues come from the grouped causes illustrated in the problem diagram and make the objectives workable.

EXAMPLE

To find out about the key issue of **maintenance** *from our example above, the questions to be asked could be:*

* *Is there a written work plan of activities for the pump-minders?*
* *Is there a check-list of activities to carried out and parts to be checked for routine preventive maintenance?*
* *How often do the pump-minders actually visit each pump under their care?*
* *What do the pump-minders actually do when they visit the pumps?*
* *Do the pump-caretakers actually grease the pumps, and if so, how often? Do they use the correct type of grease?*
* *Do the pump-caretakers carry out any other work on they pumps?*
* *How soon do the pump-caretakers report any problem with the pumps?*
* *How soon do the pump-minders repair the pumps after a report has been made?*

Annexure 1 contains key issues and some sample questions that could be relevant to a variety of evaluation objectives. It may however be necessary to develop more or additional questions.

After developing the key issues, it is important that you have some idea of how you will analyze the data. You should make a **plan** of how you are going to analyze and present your data. At least, you should have an outline of how you are going to analyze

the data. This is so that you collect what you need to be able to answer the evaluation objectives. (See the description of how to analyze and interpret data in Part 5).

This can done by:

- discussing the sort of answers you might expect from the questions or issues, and
- making an out-line of how you might analyze and present them

2.7 DATA COLLECTION METHODS AND TOOLS

How these questions are going to be answered needs to be decided in collecting the data. The questions could be put into **questionnaire**, a **discussion guide**, a **check-list** for **observation** or a **review of records.**

A questionnaire contains a specific listing of questions to be answered through interview or to be completed by the individual. A discussion guide contains some issues and questions to be explored in a discussion or interview. A check-list has questions or issues to examined through observation or a records review. Collecting data through interview, observation or records review is the **data collection method.** Part 4 describes the different methods of data collection and when they are most appropriate.

In our example above, the key issues could be explored using a combination of methods of interview (for pumpminders and waterpoint committees), observation (on condition of water points) and a desk study (of records and reports about pumps, pumpminders and spares).

2.8 SAMPLING

In setting out to collect the data, it may be necessary to only select a **sample** of, for example, some water pumps, latrines, records or communities for the evaluation. This is because we do <u>not</u> have the TIME, MONEY, MANPOWER and RESOURCES to carry out an evaluation of every single facility or community.

The idea of taking a sample is that by evaluating a portion or parts of the whole, (such as water pumps, latrines and communities), we will be able to **generalize** about all the facilities or communities. The general principles to observe in sampling are described in Part 4.

2.9 COLLECTING THE DATA

Before going out to actually collect the data it is essential to think and to **PLAN** how you are actually going to do this. You need to consider **how long** it might take, how you are going to organise yourselves as a team, if you need any additional personnel, and when you are going to carry out the different parts of the evaluation, (whether to review the records first, or have interviews first, for example), and what resources you might need.

More detailed information on data collection is given in Part 4.

2.10 DATA ANALYSIS AND INTERPRETATION

The value of your evaluation depends upon the reliability of the data you collect. After having collected the data, it is important that you write up your field notes or records of the interviews and observations **as soon as possible**.
You should also ensure that you have collected all the data you needed to collect. You should check that the data you have, as far as you can tell, is **complete** and **consistent**. When checking for consistency, you should ask yourself:

- is the information **accurate** as far as you can tell?
- is it **believable**, does it make **sense**?
- are the various additions, subtractions, multiplications and divisions **accurate**?
- are there a lot of **missing** figures?

If you feel that the quality of the data is **unsatisfactory**, (the information is unbelievable, it does not seem to make sense), you will need to discuss it as a team and decide what to do about it. You might even be able to go back and reinterview or check the records again. Alternatively, you might decide to continue with the data analysis and interpretation and in the report point out some of the inconsistencies in the data. If you do this, you should suggest reasons of why this should be so.

Analyze your data according to each evaluation objective and key issue. It is essential to draw the correct conclusions from the data collected but, on the other hand, be able to recognise when you do not have enough information to make a decision.

A description of important steps in the analysis of data from an evaluation is given in Part 5.

2.11 WRITING THE REPORT:

In writing the report it is helpful to provide an explanation for each main finding immediately after describing the finding. The recommendations should flow from the data analysis and interpretation.
Only have recommendations which are justified by the findings.

Recommendations should:

* **be specific**
* **be feasible**
* **indicate what action is needed, by whom**
* **begin with the more important ones**
* **be numbered consecutively**

Before writing the report, you should make an out-line of the report, putting in the various headings. The report should consist of:

- the introduction, setting out the problem
- the evaluation objectives
- the findings, their analysis and interpretation
- the recommendations

More information on writing the report is contained in Part 5.

2.12 INFORMATION DISSEMINATION AND FEED-BACK

Disseminating the evaluation findings to **all** those involved and to those who are relevant is a very important aspect of the evaluation. This is because:

* it can help to **motivate** the staff, community and even the provincial level personnel
* it can **generate and ensure support** from both the higher levels of the administrative structure (for example; provincial and national levels), and from the field staff and community for the **proposed actions** arising from the evaluation findings
* it can encourage **increased and improved participation** by the community and staff in the programme
* those who have participated have a **right** to know the findings

2.13 SUMMARY

In summary, two types of internal evaluation have been recommended:- A Participatory Evaluation Workshop, and a Problem Solving Evaluation.

An evaluation can and should take place at any time when there is a need to do so. However, an evaluation workshop should take place regularly, and at least annually.

The process in carrying out a problem solving evaluation includes:

clarifying and specifying the problem
making the decision to evaluate
formulating the objectives
selecting the data collection methods and tools
deciding on sampling
collecting the data
analyzing and interpreting the data, and writing the report
disseminating the information and providing feed-back

REMEMBER, AN INTERNAL EVALUATION CAN BE A VERY USEFUL AND EFFECTIVE MANAGEMENT TOOL
DO NOT BE AFRAID TO USE IT!

PART 3

EXTERNAL EVALUATION

PART 3
EXTERNAL EVALUATION

3.1 WHAT IS EXTERNAL EVALUATION ?

External evaluation is that evaluation where the initiator and main user of the evaluation results are not and have not been a part of the project implementation. The main objectives are drawn to satisfy the requirements of an outsider. This type of evaluation may be carried out in the middle or at the end of a project, often at the request of a donor. This explanation of an external evaluation serves to produce a more standard type of evaluation for the large number of donor funded water and sanitation projects in Zimbabwe. An attempt is made to introduce and encourage more participation by the project staff and beneficiary community in external evaluations than has been the case in the past. By this we mean that the project managers, implementors and the project beneficiaries should play a stronger, more collaborative role in the development of the evaluation objectives, the evaluation process itself and in the development of the recommendations.

Approximately half of the Districts in Zimbabwe have an integrated rural water and sanitation project (IRWSSP) being implemented. This is a formidable number if all are to be evaluated on a regular basis. The traditional type of mid term or end of term evaluation tends to review project performance and achievements in a rather clinical way with an external evaluation team following terms of reference laid down by the donor or at National level. The contribution of project staff and beneficiaries is often limited to the input of data to the evaluation team. They may never even see the final report.

Due to the large number of IRWSS projects now in need of evaluation we are recommending a standard approach to this exercise. This should reduce costs and save on manpower. In addition, we make recommendations that will change the external evaluation to a collaborative exercise **with** the project staff and beneficiaries by increasing their **participation** at all stages of the evaluation process. Our recommendations are only the first steps to move external evaluations in a direction that is more responsive to internal program needs and realities, and to have a greater role in local capacity building and training.

3.2 WHEN IS AN EXTERNAL EVALUATION INITIATED ?

In an Integrated Rural Water Supply and Sanitation Project, an external evaluation could be initiated and have the main objectives drawn by:

- the Provincial Management
- the National Level Management
- the Funding Agency

The objectives of an external evaluation usually deal with a range of issues, where the initiator of the evaluation would want to find out what has happened in the programme or project as a whole. In this connection one can have, half yearly, mid-term or end of project evaluations. Occasionally an external evaluation may deal with a limited

range of issues e.g. one Ministry may wish to review whether or not their training programmes are producing the desired results in which case they would conduct an evaluation which may cover several District projects.

3.3 SELECTION OF OBJECTIVES

We recommend that the set of objectives given below be used in the evaluation of IRWSSP. It is expected that these may be modified or added to according to the specific interests or wishes of the donor agency or the National Coordination Unit (NCU). We also particularly recommend that the first task of the evaluation team is to conduct a **participatory evaluation workshop** in the project concerned in order to develop any further evaluation objectives relevant to the project staff and beneficiaries. This is described in Part 4 and Annexure 3 of this handbook.

The following objectives were developed from those previously given by the NCU for the evaluation of IRWSSP in Zimbabwe.

3.3.1 Recommended Objectives

General objective:

To assess the success of the IRWSS project in District X and to make recommendations for improvement of the present and future IRWSS projects.

Specific Objectives:

1. To determine the relationship between targets and outputs achieved, and rate of implementation.

2. To determine the appropriateness of technologies in use, including standards of construction, maintenance and patterns of use.

3. To assess the procedures used in the District for the development and installation of water supply and sanitation facilities in terms of a) appropriateness and b) cost effectiveness.

4. To determine the effectiveness and prospects for sustainability of the operation and maintenance system and associated training and support systems.

5. To determine the effectiveness and appropriateness of the District project preparation, coordination, work planning, monitoring and reporting systems, and the support given to the District from Provincial and National levels.

6. To determine the impact of the IRWSS project, both positive and negative on the capacity at the District level to plan, coordinate and implement rural development projects in general.

7. To assess the community participation and health education components of the District IRWSS project in terms of
   a) effectiveness,
   b) appropriateness and
   c) impact.

8. To assess the role of women in IRWSS project activities in terms of :
   a) level of participation
   b) access to training for different income generating positions
   c) as decision makers and implementors
   d) the effect of the project on women's lives and activities.

9. To determine the attitudes of the beneficiary population to:
   a) the project in general
   b) the relationship between implementing agencies, local authorities and communities
   c) inputs required of community members
   d) the involvement of women
   e) the acceptability of facilities installed.

3.3.2 Participatory Evaluation Workshop

Objectives specific to the needs of the project staff and beneficiaries should be added to the ones provided for an external evaluation. These objectives could come from a participatory evaluation workshop. Details on how to conduct such a workshop are given in Part 4 and Annexure 3. It should be noted that the workshop also provides the evaluators with the opportunity to collect valuable information on the project, allows the project staff and beneficiaries to review their own performance and can have immediate benefits for implementation of the project.

3.4 RESOURCES

Evaluation of a typical IRWSS project can be conducted by a team of three people in a period of about two to three weeks. Such a team will require resource inputs from the District in the form of field assistants, workshop facilities, etc. The participatory workshop should be held at a convenient place within the District.

3.5 WORKPLAN

A workplan should always be prepared at the beginning of the evaluation exercise. The workplan should specify what needs to be done, when, where and by whom.

A sample workplan is included showing the major activities undertaken in an evaluation. Although it is expected that each evaluation team will establish its own work plan according to its own constraints, it is emphasised that the team should try to ensure as much participation by the District team and the beneficiary population as possible. The methods recommended for data collection therefore focus on group meetings and

interviews rather than questionnaires (See Annexure 1 for data collection tools and key questions). The Participatory Evaluation Workshop is strongly recommended as a starting point.

SAMPLE WORKPLAN.

Activities may be carried out in any sequence except that the workshop should always come first.

* *Participatory workshop. 1 day.*

Conduct a Participatory workshop where the management team, implementors and beneficiaries are well represented.

* *Meeting with DWSSC. half day.*

Meet with the District water and sanitation sub-committee and use group discussion guides to cover all of the information required at this level (Part 4).

* *Meeting with pumpminders. Half day.*

Meet with a sample of pumpminders using a discussion guide (Part 4) to hold the discussion to relevant issues to the evaluation.

* *Sampling Framework.*

Decide on the sample size and study areas to be visited (See below). The resources available may also dictate the size of sample to be taken.

* *Data Collection. Four days.*

Visit the field sites to carry out discussions with the community, water point committees, leaders and to conduct observations using checklists at water points and household latrines (See Annexures 1, 2 and Part 4).

* *Other meetings. One day.*

Meet with National, Provincial and other involved agencies using discussion guides.

* *Data analysis and report writing. Five to seven days.*

Some guidelines for this activity are given in Parts 5 and 6.

3.6 METHODOLOGY / DATA COLLECTION TOOLS

Reference to Part 4 will provide insight on how to conduct a workshop, Group discussions, interviews, observations etc. Data must be collected in relation to the objectives of the evaluation. Sample questions to be asked in relation to the key issues likely to be addressed in an evaluation are presented in Annexure 1 and all evaluation teams should find this a useful reference. It is important to note that data can be collected informally through informal discussion with the local leadership, influential persons in the area, extension workers and users.

Reference should be made to the general notes on sampling in Part 4. As it is not possible to visit every water point, every latrine, or talk to all participants it is essential that a sample is taken. This sample should be as representative as possible given the objectives of the evaluation. For the recommended evaluation objectives given above the following sample is suggested for collecting the field data.

<u>Sample areas.</u>

Randomly select 4 wards, 2 of which have been implementing the project for a long time and 2 of which are wards recently brought into the programme.

<u>Water points.</u>

Randomly select water points in each ward to cover at least one borehole, one deep well and one shallow well. On visiting each of these a detailed checklist is completed on its status with regards to construction, maintenance and utilisation. The water point committee plus users are involved in a group discussion. Other water points should be observed on a more casual basis to give an overall sample of about 40 - 50.

Latrines.
In the general vicinity of the water point or elsewhere in the ward, up to five latrines are visited. A detailed checklist is completed concerning the construction, maintenance and use of the latrine and the owner interviewed. Other latrines are observed on a more casual basis to give a total of about 60.
Supplementary information.
During these visits to the wards other observations can be made on more general aspects of the programme. In particular at least one community leader, Village community Worker, or political leader should be met in each ward who can possibly provide independent information of the coverage and success of the latrine and water programme. Discussions can be held with well sinking teams actually in the field.
Pumpminders.
This cadre can be invited to a group meeting at District level and it is considered adequate if a minimum of five are present in the discussion.

Other meetings at District level and higher do not require any recommendations on sampling as the numbers of personnel are small enough to have total coverage.

3.7 DATA ANALYSIS, INTERPRETATION AND RECOMMENDATIONS

In order to arrive at the conclusions and recommendations the data collected need to be analyzed in relation to the objectives. External evaluation teams needing any guidance on this can refer to Part 5.

3.8 REPORT WRITING

The report for external evaluations is expected to be comprehensive and quite detailed with full justification for any conclusions and recommendations. It should therefore be clear and properly laid out. The report should be circulated to as wide a readership as possible and especially including the project personnel.
A sample report layout is indicated in Part 5.

3.9 SUMMARY

This section is specifically to guide the process of evaluating integrated water and sanitation projects on behalf of the National or Provincial authorities. It is termed an external evaluation as it is not initiated by project staff.

A set of evaluation objectives are given which reflect the interests of donors and the National Coordination Unit at the present time. These may be added to or changed as this document is updated from time to time.

Guidelines are given as to how an external evaluation could be carried out and it is recommended that they are followed in order to reduce the time, cost and manpower required to carry out evaluations of the large number of IRWSS projects currently being implemented in Zimbabwe. In particular the recommendation for a Participatory Evaluation Workshop and full involvement of the project team and beneficiaries in the evaluation is very important to maximise the benefits of the evaluation at project level.

PART 4

METHODS & TOOLS FOR DATA COLLECTION

PART 4
METHODS AND TOOLS FOR DATA COLLECTION

4.1 INTRODUCTION.

A METHOD of data collection can simply be described as the WAY the data is collected for example through an interview or a group discussion.

A data collection TOOL is WITH WHAT the evaluator actually uses to collect the data for example a questionnaire or a checklist.

But before the investigator selects a method of evaluation and a tool to collect the data it is very important that the evaluation objectives are clearly defined and understood and the target is defined i.e. from whom the information will be sought

Evaluations are initiated for a variety of reasons in rural water supply and sanitation programmes. For example, an evaluation may be initiated to:

* solve a problem related to implementation or utilisation
* measure achievement in a given target group
* measure progress at project level
* assess attitudes among users of a facility
* monitor behaviour of a group
* assess cost effectiveness of a programme
* Determine acceptance of a new technology

We can broadly summarise this by saying that an evaluation deals with; **things that be need to be counted or measured**, such as the number of toilets, the number of people using a water point, or the amounts of money spent on the project or **factors which are harder to measure**, such as peoples **attitudes, behaviour,** perceptions or **abilities.**

It is therefore important that the evaluator selects the appropriate methods and tools to achieve the task at hand. For example, we need to know that a group discussion is a suitable method of evaluation if we wish to assess the attitudes of a target group. A group discussion would be inappropriate however if the evaluator wished to establish precisely how many latrines there were in an area.

WHAT METHODS AND TOOLS CAN WE USE?

One of the big challenges for the evaluator is to find ways that ensure that people can move beyond merely co-operating in an evaluation, say by answering questions, being observed etc, to more actively participating in problem identification, problem quantification and problem solving. This means that we need to use evaluation methods and tools that encourage these things to happen.

A range of methods and tools is available to the evaluator for this purpose.In this guide we present information about the following methods:

- * Desk study
- * Group Methods
    - * small group discussion
    - * household visits
    - * workshops
- * Interviews
- * Observation
- * Surveys

The data collection tools that can be used with these methods include:
- * checklists (a sample of which can be seen in Annexure 2)
- * discussion guides (some sample questions could be drawn from Annexure 1)
- * summary charts
- * questionnaires

There are also a range of other useful tools which have been developed to promote the involvement of the community in evaluation including:
- . The Pocket chart in which people place "votes" (see figure)
- . Community Mapping which is a tool used to illustrate problems
- . Posters and photographs for describing activities and procedures, identifying problems,etc

Before selecting an evaluation method and a tool for the investigation the Evaluator needs to decide:
* what is to be measured, i.e. behaviour, attitudes, facts? etc)
* who or what is to be evaluated (District health workers, water supplies, latrines, community participation)
* what questions need to be asked (how many people/latrine, what problems etc)

Only when answers to these questions have been found, should the evaluator begin to select the method and the tools which will be used in the evaluation process. A list of key issues, targets for evaluation, methods and sample questions are provided in Annexure 1.

4.2 HOW CAN COMMUNITIES PARTICIPATE IN EVALUATION?

It is being increasingly realised that water and sanitation projects cannot succeed without the full support of the community. As a result, greater and greater emphasis is being placed on community management of water supplies and sanitation in rural areas. It should follow therefore, that the community also become involved in the evaluation of their projects. In practice however, we see that much data is gathered from the community without inviting their participation in the evaluation. It is also common to find that the results of the evaluation are documented in reports which never reach the community.

We strongly recommend therefore,that evaluators try to collaborate more closely

with communities during the evaluation process and use, where possible, evaluation methods and tools which provide opportunities for increased participation of project recipients at all levels.

For example, the evaluator can involve the community in problem identification by using the participatory workshop method where evaluation tools such as a "summary chart" or a "pocket vote" (see figures) are used to assist the community to reach a consensus about the range of problems which exist.

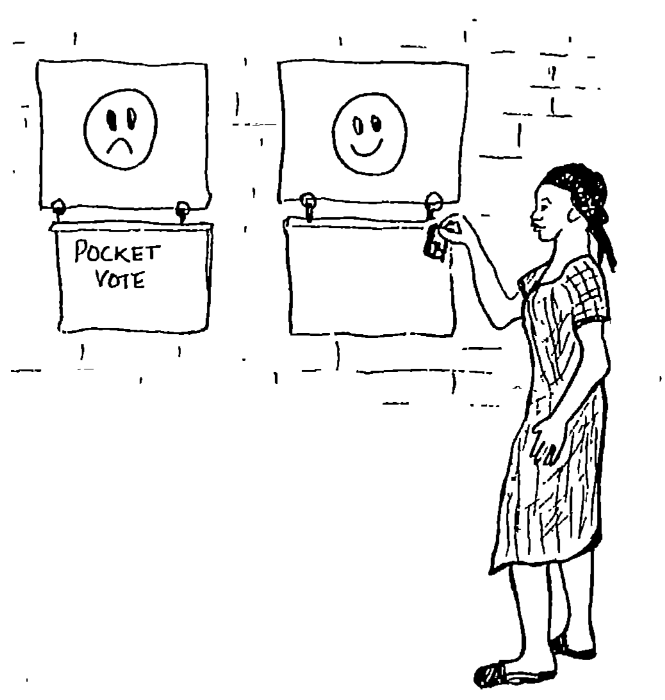
As a further example, the evaluator could create realistic opportunities for communities to become involved in assessing the progress of a project whereby members became involved in "counting" activities, or "checking" activities using observation as the method of evaluation and checklists as the data gathering tool.

There are also times when we need to use evaluation methods which measure certain objectives in a large population who had a limited ability to read and write. It would therefore be impractical to use a questionnaire as an evaluation tool and the evaluator would be better advised to choose an alternative method, such as a workshop which would ensure greater participation of the community under study.

The benefits of adopting a participatory approach to evaluation are clear:-

* the data are more reliable
* community motivation increases with a commitment to evaluation
* the evaluation has the effect of building capacity in the project
* there is a timely feedback of information to the communities and project implementors,
* recommendations are more appropriate and can be implemented more rapidly by the project staff.

THE POCKET VOTE



4.3 A DESCRIPTION OF RECOMMENDED EVALUATION METHODS

4.3.1 The desk study.

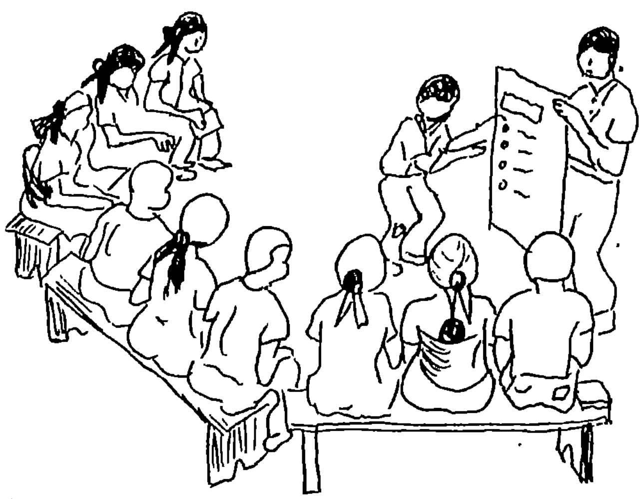
The desk study method can be simply described as a method of acquiring information for an evaluation from reports, records and other printed documents. Questions relating to project management, finance, and training are often best answered by a desk study. It is most likely that a Desk study would be undertaken by evaluators from National, Provincial or District levels, who possibly have access to printed and other useful information. An example of how an evaluator would use a Desk Study is given below:

Example

* *Key Issue to be evaluated:*	*e.g. Training*
* *Target group:*	*District level records and personnel.*
* *Questions to be answered:*	*How many water point committees have been trained in the last year?* *How many builders have been trained each year of the project?*
* *Method of evaluation:*	*Desk study, Interview*
* *Evaluation Tools:*	*Checklist, Interview schedule*

Since this information could not reliably be acquired through any other source, a desk study would be the appropriate method of evaluation. It should be noted that in this case there would be little opportunity for community participation in the evaluation process.

THE GROUP DISCUSSION



4.3.2 Group Methods

* Small group discussions.

Small Group Discussions are recommended as a method of evaluation where it is felt that the active participation of a group, who may comprise people from the community, District or Provincial level personnel, will yield useful project information. A discussion guide is often used as the tool for guiding the discussion and to ensure that all of the issues of interest to the evaluator are discussed. Questions are carefully structured by the evaluator, bearing in mind the objectives of the study. They may relate to a number of project issues, for example, management, community participation, training needs, maintenance issues and finance. All members of the group should have the opportunity to contribute to the point of discussion so that the questions are answered by the group and not by an individual. It is important that the evaluator does not influence the discussion in any way. The composition of the group must be carefully considered as members may not be open in the presence of a senior or someone who has influence over them.

A discussion guide is usually necessary when there are a large number of issues to cover. However in problem solving evaluations where there may be a limited number of issues the group discussion can be made more open-ended and participatory by using a short checklist instead of a discussion guide. The evaluator should not attempt to control the discussion but allow the group to discuss the issue as thoroughly as they wish.

* Household discussions.

Some issues such as latrine usage, water usage and hygiene knowledge for example, are appropriately investigated at household level. The information may be collected through interview (see below) of the household head or female head but may also be a small group discussion. The same suggestions as made above apply here.

* Workshops.

A problem solving evaluation may be usefully carried out by bringing together representatives of the people involved in a workshop.

In the case of an evaluation of an entire project it would be advisable to involve project management team, the implementation staff and the beneficiaries

When evaluating the problem of poor maintenance it would possibly be advisable to involve the agency staff responsible for maintenance, the maintenance staff of different levels in the field and the user community. Allowing all of these people to interact can be very productive in identification of problems and recommendations for action. The same general guidelines ie, selection of key issues, target group, methods and tools, as applies as for group discussions above.

* Participatory workshops

Participatory Workshops provide a valuable forum for involving the community and other members of the project team in problem identification, problem

quantification and in problem solving, as well as data collection and analysis. It is a method which facilitates participation throughout its duration, and this is the reason that it is called a "participatory workshop". The information yielded by a participatory workshop is utilised to plan and manage the project in the future. The guidelines for organising and running a participatory workshop for problem identification, quantification and analysis are provided in Annexure 3. The guidelines for the workshop can be modified quite easily to address a problem solving situation rather than the evaluation of the whole project.

4.3.3 Interviews.

An Interview is a "face to face" method of evaluation which is used to obtain information where there is evidence that certain questions can best be answered by a specific person or persons and the answers are more likely to be accurate in a one to one situation. An interview can be used to obtain facts, find out about attitudes, assess knowledge and skills etc. The interview may be conducted by the evaluator or a data collector. The person being interviewed (usually only one) may be a senior official in a Ministry, a District Official or the owner of a latrine for example. In a structured interview the evaluator would use a questionnaire or checklist as a tool to obtain information. Questionnaires are usually rather intimidating and may result in too much information being collected so it is often better to use a discussion guide. In both cases the construction of these tools is done in advance to ensure that you collect the same information from each person interviewed and you do not forget any issues.

4.3.4 The method of observation.

The method of observation is used in evaluation to look at something systematically. Observation techniques may be used to look at the results of a programme, for example the standard of construction of latrines in an area, or to evaluate the way that people utilise a facility. Sometimes only one period of observation is sufficient, other times the evaluator may have to spend longer periods observing behaviour which means that he/she will need to move into the community and take part in what is happening. We call the latter "participant observation". Outside evaluators should be encouraged to recruit and use community members as observers. Observation is a very useful technique for evaluating construction standards and physical facilities but there is always a considerable risk that an observer may change community behaviour patterns simply by his presence. A checklist is the most useful tool for the evaluator to use when making an observation.

4.3.5 Surveys

Sometimes surveys are necessary to determine for example, the number of households with latrines, the distribution of water points and other community data. These data are often very difficult to collect by traditional means but it is recommended that as this data is valuable to evaluations of coverage of water and sanitation projects, more participatory methods should be used. This could involve

the use of maps prepared by the community or use of information collected by schoolchildren for example.

The data collection tools that can be used with these methods include
* checklists, discussion guides, summary charts and questionnaires. Other useful tools which have been developed to promote the involvement of the community in evaluation include the pocket chart, mapping, posters and photographs for describing activities and procedures, identifying problems, sorting cards.

In summary we recommend that evaluators combine their methods and tools for evaluation with the objective of involving the community in the process as much as possible. Table 4.1 provides some general guidelines for the selection of evaluation methods and tools.

Table 4.1 General guidelines for selecting Evaluation methods and tools

Evaluation objective	Eval. method	Eval. Tool
Assess problems	Group Discussion	Discussion Guide
	Workshop	Summary charts
		Pocket vote
		Mapping
Monitor behaviour	Observation	Checklist
Assess progress	Observation	Checklist
	Desk study	Reports
		Documents
Assess attitudes	Interview	Interview guide
	Group Discussion	Discussion guide

4.4 SAMPLING

When carrying out an evaluation it is usually impossible to study every latrine, water point or family and therefore we must take a **sample.** As we wish to draw conclusions about the whole project it is important that the sample should be representative.
Let us take an example of water points about which you wish to establish their state of repair:

EXAMPLE

There are 500 water points in the project area, each water point is a study unit. All cannot possibly be visited so you decide to sample. There are three different types of pump so you need to ensure a sample of each type. The pumps are sometimes a long way from the pumpminder making them more difficult to get to for maintenance. The project has been going for four years so the pumps are of different ages. You therefore need to ensure that your sample contains pumps of different ages. These might be the main factors which could affect the condition of the pumps and could cause a **bias** *in your results if you do not take them into account when selecting your sample. The factors are - 1) type of pump, 2) age of pump and 3) location.*

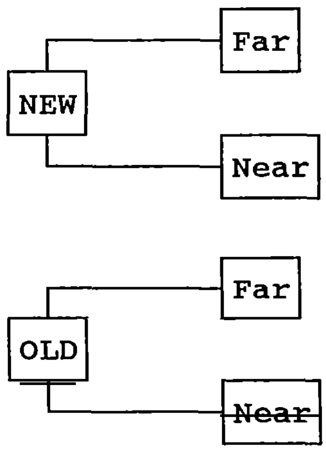
In sampling, you should:

- think about **what** you are evaluating. You need to review your objectives.
- be **clear** about who you are actually going to interview, or what you are going to observe i.e. the STUDY UNIT.
- think about the **differences** (and therefore similarities) that exist between study units as in the above example.

EXAMPLE

Continuing the example above, an IRWSS project team decide to sample wards where the project had recently been implemented, **new** *wards, and to sample wards where the project was more established; the project had been implemented there first. These were the* **old** *wards. This was because the team thought that there may be differences in the frequency of pump break-down and maintenance in these areas. In the older areas, the water point committees had been trained, the maintenance systems established. This was not necessarily the situation in the newer areas. Within the new and old areas, wards which were* **near to** *and* **far from** *the pump-minders homes were selected. It was thought that the more remote wards were visited less often than those nearer the pump-minders homes.*

So the sampling took into account:



Given the often difficult logistics in getting around rural areas, staff shortages and an often incomplete inventory, the type of sample that can be taken is usually quite simple. We suggest the use of only two types, the simple random sample and the convenience sample.

The simple random sample gives each unit of the study population an equal chance of being selected. All of the units are listed and the required number for the sample is drawn randomly from the total list. This is easier to do with the larger units where complete data is usually available. e.g. selecting two wards from those started at the beginning of the project; or selecting one pumpminder from four.

A convenience sample is one where the sample is taken because that is what happens to be available at the time. This runs the risk of not being representative but it can be improved by combination with random sampling.

Using our example of the water points; random sampling would be used to select the old and new areas and the pumpminders for study. On travelling to the study areas

pumps would be examined close to the pumpminders home by convenience sampling. Pumps would be examined far from the pumpminders home also by convenience sampling.

It is a very important part of any evaluation to ensure that the sample is representative and therefore the results are valid. It is therefore advisable to always consider carefully any possible sources of bias (factors which could affect the representativeness of the sample) before taking the sample.

4.5 COLLECTING THE DATA

Before going out to actually collect the data it is essential to think and to **PLAN** how you are actually going to do this. You need to consider **how long** it might take, how you are going to organise yourselves as a team, if you need any additional personnel, and when you are going to carry out the different parts of the evaluation, (whether to review the records first, or have interviews first, for example), and what resources you might need.

*** How long will it take?**
You will need to think about how long:

- an interview will take, and how many interviews you need to carry out. You should carry out an interview just to test how long it might take you. This can even be done amongst yourselves.
- examination of records might take. Again, you should do a test run of this to see how long it is likely to take.
- observation of pumps or latrines might take.
- the time it will take to drive to the various areas or places you have sampled.

*** Who will do it?**
You must organise yourselves as a team:

- who will be available at the time?
- who will carry out which parts of the field work. It is important to ensure consistency in data collection to reduce bias and therefore it is better to work together as a group or in pairs.
- do you need any additional personnel to help you?

*** When will you carry out the different parts of the evaluation?**

- can you do them all at once, through the different allocation of tasks to the various members of the team?

*** What resources will you need?**
These must be organised well in advance:

- transport, record sheets, staff, discussion guidelines.

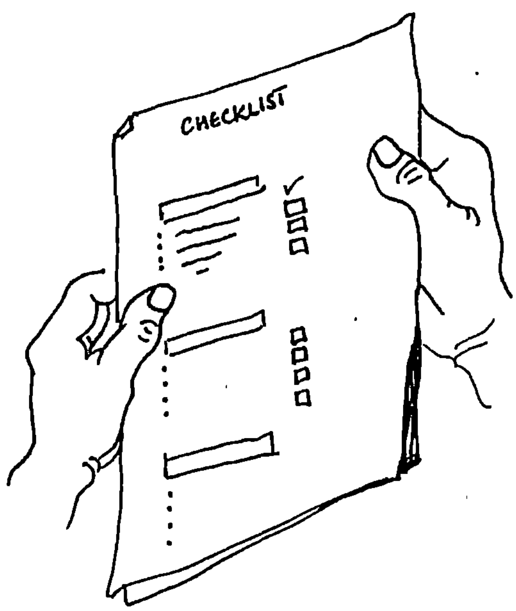
To ensure that your data are of good quality there are some steps which should

be carried out as the data are collected. After having collected the data, it is important that you write up your field notes or records of the interviews and observations AS SOON AS POSSIBLE. You should also ensure that you have collected all the data you needed to collect. You should check that the data you have, as far as you can tell, is COMPLETE and CONSISTENT. When checking for consistency, you should ask yourself:

- is the information **accurate** as far as you can tell?
- is it **believable**, does it make **sense**?
- are the various additions, subtractions, multiplications and divisions **accurate**?
- are there a lot of **missing** figures?

If you feel that the quality of the data is unsatisfactory, (the information is unbelievable, it does not seem to make sense), you will need to discuss it as a team and decide what to do about it. You might even be able to go back and reinterview or check the records again. Alternatively, you might decide to continue with the data analysis and interpretation and in the report point out some of the inconsistencies in the data. If you do this, you should suggest reasons of why this should be so.

A CHECKLIST



PART 5

DATA ANALYSIS, INTERPRETATION AND RECOMMENDATIONS

PART 5
DATA ANALYSIS, INTERPRETATION AND RECOMMENDATIONS

5.1 INTRODUCTION.

In this phase of the evaluation the data which have been collected are processed to provide information to meet the evaluation objectives. It is important to keep the evaluation objectives in mind as they help us to focus the data analysis on important issues.

Interpretation of the data involves making judgements about the findings. It is not enough to present the data, the evaluators must decide what the data mean in relation to the objectives and what implications they may have for the project.

In the analysis of the data and the interpretation of the findings, evaluators are encouraged to involve the representatives of the different interest groups. This will:

- minimize the possibility of a single evaluator or small group unduly biasing the interpretation of the information.
- assure a broader based ownership of the results and therefore a greater likelihood that the recommendations will be relevant, respected and implemented.

This possibility is most likely with internal evaluations of projects where the process is controlled by the project team than for external evaluations carried out by consultants although it is strongly recommended for both.

With regard to some evaluation methods, for example during the evaluation workshop recommended here, there may be little or no distinction between those who provide the information and those who are responsible for analyzing it. Feed-back is horizontal and virtually instantaneous.

Whereas participatory group discussions or workshops, as described above, are more suited for generating and analyzing qualitative information, they can also be useful methods for the feedback and interpretation of evaluation findings. Although frequently the analysis of quantitative, and even qualitative, data may require special training and skills, as in the example below, this information can serve as a stimulus for further interpretation and qualitative reflection if fed back to project participants on a timely basis.

This type of report back of evaluation findings is rarely done. Outside evaluators should be made aware of their dual responsibility: to the external donor to whom they are usually directly accountable, as well as to the project staff and the local communities. To the degree that the outside evaluators are able to involve the project and community people in the different phases of the evaluation, they will be able to guarantee a greater degree of reliability in the conclusions and, moreover, they will have contributed to the capacity building of local people and institutions by increasing their understanding of the evaluation process itself.

5.2 DATA ANALYSIS.

When about to analyze your data, review your evaluation objectives. You should analyze your data according to each objective and key issue or factor.
Essentially, you could have two types of data:

numbers for example, numbers of bags of cement, toilets, etc.

and

words for example your notes on the group interviews/discussions, and observations.

Numbers are often also shown as percentages, and presented in tables. When analyzing numbers, you should ensure that:

* they are correctly added-up, subtracted, divided or multiplied correctly
* the percentages add-up to 100
* you only use percentages for numbers which total more than 20. It is misleading to write for example, that 20% of toilets were collapsing, when in fact, this represented only 2 toilets, as you had only observed a total of 10 toilets.
* avoid making tables too complex, by having many rows and columns. Tables are used to present information through summarizing the data neatly and clearly.
* the tables are clear, fully labelled, and properly titled.

Words from your notes and observations should be grouped in terms of the similarity of responses. In order to group the responses:

* Ensure that the notes are sorted by key questions.
* Look through the notes to get an idea of what the responses and the points raised are.
* From looking through the responses, create some categories into which most of your responses can be grouped. In making these categories, refer back to your evaluation objectives. You want to create categories that will be useful in terms of what action you can take from the findings.

5.3 DATA INTERPRETATION.

In making sense of (interpreting) your findings, you need again to refer back to your objectives. You should also ask yourself the following questions for each finding, or set of findings:

- what does this mean?
- what implications does this have for solving the problem that the evaluation was carried out for?
- what sorts of answers to the problem are suggested by the findings?
- are these answers believable, reasonable and feasible?
- are there any contradictory findings? what does this mean?

EXAMPLES

Concern about the cost effectiveness of a programme may result in the collection of data on how much has been spent by each implementing agency in relation to its achievements. The following example from District A shows how much money was spent by each agency in relation to how much of their targets they achieved.

Table 5.1 The relationship between percentage achievement of targets and percentage expenditure of budget for Project year 2 of District A.

	% achievement of targets	Budget allocation	Net expend.	% expend.
WATER AGENCY				
*deep wells	33%	430,000	603,532	140%
SANITATION AGENCY				
*latrines	101%	125,000	80,091	64%

It is not enough to present this information as it is. What does it mean and should we make any recommendations to change the process or to investigate further? You must therefore make a judgement which could be as follows:

The water agency achieved only one third of its targets yet was allowed to exceed budget by a large amount. This indicates that either deep wells cost much more than estimated in the project plan or the agency is inefficient in its control of expenditure. Given the low achievements it is surprising that the over expenditure was allowed and suggests poor budget control in this agency. The project is not going to be able to meet its targets at the present rate of progress and expenditure and we would make the following recommendations;

- *the project timetable and targets need to be reviewed by the implementing agency within the next 6 months to reduce targets to achievable levels.*

- *effective expenditure control needs to be introduced by the water agency before the next financial year to ensure a) overexpenditure does not occur, and b) expenditure is at the same pace as achievements.*

- *project manager requires training in project management and how to use monitoring information for project control. This should be planned at a national level and take place at the beginning of all new projects.*

The sanitation agency achieved the targets set and spent only 64% of the money allocated. The project is likely to have a surplus of money in this vote which could be reallocated within the project. The cost of latrine construction may therefore have been overestimated in the planning stage and we would recommend that;

- *the unit cost of latrine construction should be reviewed by the project coordinator and the budget for the sanitation agency adjusted accordingly for the remainder of the project period.*

EXAMPLE

Community support for the construction of headwork at water points has been lacking. This was identified as a problem at project level and an evaluation undertaken. This kind of problem usually leads to the collection of qualitative data such as the opinions of people, experiences of project personnel etc. which are hard to quantify. Here experience is important in interpretation. Using your experience and the frequency that different opinions were voiced you might come to the following conclusions.
(Note that even though there is no table this time the information is still presented in the form of findings, interpretation and recommendations):

(Findings) The community are expected in this project to construct the headworks themselves but they are given fencing and cement from a Government agency. They complained, at many of the water points visited, that they were never told what to do although they had received the cement and fencing. The Government agency responsible for overseeing headwork construction does not have any permanent staff at project level. They conduct a training course at one water point and then rely on other Government personnel to mobilise the community. A different Government agency (B) was found to be working at project level with a responsibility for maintaining the water points.

(Interpretation) There is clearly a lack of communication, supervision and mobilisation of the community by the Government agency. This is probably due to the lack of representation at project level and it is not feasible for the agency to station full time staff here. Another technical agency (B) is represented at the project level who could provide the necessary training and supervision to the community.

(Recommendations) It is recommended that responsibility for headwork construction be shifted to agency B in the next financial year of the project.

5.4 RECOMMENDATIONS.

The interpretation of findings requires decisions to be made on the relative success or failure of different aspects of the project. It may follow from these decisions, that some changes should be made or some successes should be repeated in other projects. To ensure that conclusions are clearly identified and obvious to anyone reading an evaluation report, they are usually summarised as **recommendations.** No evaluation report is complete without the recommendations.

As seen from the two examples above, the recommendations should reasonably follow from the findings and interpretation. A recommendation cannot be added because you 'think it is a good idea' unless it is supported by the findings of the evaluation.

A recommendation is expected to be implemented and therefore should always include WHO is expected to do WHAT and WHEN.

Some hints for reaching your conclusions and making recommendations;

- The conclusions and recommendations must follow from the

findings. Do not jump to conclusions or make sweeping generalisations.

- Explain conflicting results if possible but do not leave them out.

- State each recommendation as clearly as possible. Cover one IDEA [message] at a time.

- Only make recommendations which can feasibly be implemented.

- Arrange recommendations in order of importance from the general to the more specific.

- Ensure that the conclusions and recommendations meet the evaluation objective and therefore the purpose of the evaluation.

The recommendations of an evaluation, whether formulated by an individual or in committee, should be stated in a concise and useful manner and fed-back or delivered to the appropriate persons. In the case of formal, external evaluation studies the final product is a comprehensive evaluation report which is submitted to the donors, with additional copies distributed to national and international agencies as the case may be.

Unfortunately the evaluation report often does not find its way back to the project implementors, --to say nothing of the communities and the other information providers--, and when it does, it is probably too late and in a form and style that is of limited use to field personnel. In order to overcome these potential difficulties, it is recommended that external evaluators should present their conclusions and recommendations to project implementors at the conclusion of the evaluation. This requirement could be included in the terms of reference of the external evaluator.

PART 6

WRITING AN EVALUATION REPORT

PART 6
WRITING AN EVALUATION REPORT.

6.1 PURPOSE OF THE REPORT.

The purpose of the evaluation report is to communicate the findings and recommendations to others. It often serves as the tool for decision making about whether or not to implement the recommendations. The report should therefore be logical, clear, concise and easy to read.

6.2 WHO IS THE EVALUATION REPORT FOR?

The type of report varies according to the intended audience. It is always necessary to produce a full technical report for reference but this may be summarised in different styles for audiences such as policy makers, planners or community members and extension staff.

The external evaluator, whose report is primarily for the central level, should identify other potential users of the information, including community members, and devise appropriate means and media for providing the essential feed-back. In particular, evaluators should be encouraged to write a summary report for distribution to project staff and other interested third parties.

In the case of internal evaluations, project implementors frequently underplay the need for writing up an evaluation report. Rather, the tendency is to want to "get on with it" once they have gathered and interpreted their data and decided upon an appropriate course of corrective action. Nevertheless they have just as much responsibility, if not more, to share their findings with their project constituency. It is also important that they document their findings so that future evaluators, both internal and external, can establish the precedent for their own investigations. It will certainly be more difficult to demand accountability from external evaluators if the project staff do not provide a firm foundation for them to build upon.

6.3 CONTENT OF THE EVALUATION REPORT.

The following is a basic guide to the content of a standard **external** evaluation report. Although an **internal** evaluation report might follow the same general outline, it would probably would be much less comprehensive or less detailed, particularly in regard to the presentation of background information. A brief description of the likely content of each of the sections is included.

CONTENTS OF AN EVALUATION REPORT

CONTENTS

SUMMARY

ACKNOWLEDGEMENTS

ABBREVIATIONS

INTRODUCTION
* project in the context of the national framework
* historical background of the project
  - when started, how far, funding.
* reasons for the evaluation and general purpose

OBJECTIVES OF THE EVALUATION

METHODOLOGY
* development of the evaluation objectives
* data collection methods
* sampling framework

RESULTS
* discussed in relation to objectives of evaluation

CONCLUSIONS AND RECOMMENDATIONS

APPENDICES (where relevant)
* data collection tools
* terms of reference
* list of persons interviewed
* bibliography
* maps
* minutes of workshops etc.

The report may vary according to the size of the evaluation. A full project evaluation (Part 3) will require a detailed report as outlined below. On the other hand, a problem solving evaluation at project level, may be quite small and adequately summarised in two or three pages. Smaller reports may not require all of the sections described below.

6.3.1 Contents.

A contents page is usually not necessary for a short report of two or three pages. For longer reports they make it easier for a reader to find the parts he is most interested in.

6.3.2 Summary.

The summary brings out the main points of the report and includes, very briefly, the purpose of the evaluation, the procedures followed, as well as the main findings and recommendations. This is only necessary for reports longer than two or three pages.

6.3.3 Acknowledgements.

Acknowledgements for assistance given if relevant.

6.3.4 Abbreviations.

For long reports it is often difficult to find what abbreviations stand for. These should be listed in the front of the document if necessary.

6.3.5 Introduction.

The report needs an introduction which sets out basic information about the project under evaluation and the evaluation itself. The introduction should explain why the evaluation is being conducted and the general objective of the evaluation. The introduction should be kept short and to the point.

6.3.6 Objectives of the evaluation.

The general and specific objectives of the evaluation should be set out here.

6.3.7 Methodology.

Explain how the objectives were developed for the evaluation e.g. provided from national level; developed in response to a problem in the field; or from a participatory evaluation workshop.
Describe the methods used to collect the data for example interviews with District staff, inspection of latrines etc.
Describe how the sample was taken, how big it was and how well it represents the project situation.

6.3.8 Results.

This section contains the findings of the evaluation and their interpretation. It is most useful and easier to read if these are discussed in relation to the evaluation objectives.

6.3.9 Conclusions and Recommendations.

The general conclusions derived from the study are summarised before the recommendations. The recommendations are taken from the interpretation in the results section but are repeated or elaborated further at the end of the report in order to have them easier to find and all grouped together. The recommendations should be listed in order of importance and from the general to the specific.

6.3.10 Appendices.

Various types of information which is relevant background or supplementary material may be placed in the appendix.

	HINTS ON WRITING A REPORT
o	Keep it short and simple
o	Keep sentences short
o	Use bold headings
o	Number the headings, number the pages
o	Use understandable language.

6.4 INFORMATION DISSEMINATION AND FEED-BACK

Disseminating the evaluation findings to ALL those involved and to those who are RELEVANT is a very important aspect of the evaluation. This is because:

* it can help to **motivate** the staff, community and even the provincial level personnel.
* it can **generate and ensure support** from both the higher levels of the administrative structure (for example; provincial and national levels), and from the field staff and community for the **proposed actions** arising from the evaluation findings.
* it can encourage **increased and improved participation** by the community and staff in the programme.
* those who have participated have a right to know the findings.

The dissemination and feed-back does <u>not</u> end with the production of the

report. It is important to think of the most appropriate ways of feeding-back the information. These methods may differ depending on the audience.

Presentations are a very effective way of disseminating information and providing feed-back. For presentations, it is essential to know who the audience is, to present the findings, and not read them, to maintain eye contact with the audience, to speak clearly and audibly, and to use appropriate and visible visual aids. Preparation is the key to effective presentation, so be well prepared! Do not overload the presentation with too much data, keep to the main findings. Allow for there to be participation in the suggestions of solutions and in the alternative interpretation of the findings. This however should only be in the time set aside for questions and discussions.

Drama is another very effective way of disseminating information, particularly at community level. You need however to think very clearly about what you are going to say and how you are going to portray it. Drama demands careful thought and preparation for the information to be clearly and unambiguously presented. It can be a very powerful method.

Making different reports for various audiences is also a useful method. For example, for national level, a summary of a few pages which contains the problem, the method, findings, conclusion and particularly the recommendations would probably be the most useful method. It is then likely to be read by these very busy people. For project implementors the main findings are essential as they are likely to be expected to implement the findings. The report should never be unnecessarily complex and should use simple language wherever possible.

CHECKLIST----LATRINES

SAMPLING;

1) House hold clusters selected from records as having a Blair latrine.
2) Randomly selected households with a blair latrine

Latrine status:
- VIP in use
- VIP unused due to disrepair, collapse, or full
- no VIP latrine ever constructed
- other (specify)

CONSTRUCTION.

Pit lined	YES / NO
Pit partitioned for double latrines	YES / NO
Floor slab intact	YES / NO
Squat hole	too big/ too small/ too close to wall/ alright.
Walls with no major defects	YES / NO
Entrance	too narrow/ too low/ alright/ other (specify)
Roof	intact and present present but broken absent
Vent pipe	present / absent
One vent pipe for each squat hole	YES / NO
Screen on vent pipe	YES / NO

MAINTENANCE.

Floor cleanliness	clean soiled with excreta
Screen on vent pipe	not screened intact intact but blocked mesh broken mesh not examined
Outside appearance	well maintained average neglected
For unused VIP latrines due to collapse or filling etc is there evidence of replacement	YES / NO

USAGE

Is there a proper footpath to toilet?	YES/NO
Does the toilet smell?	YES/NO
Are there faeces around the homestead?	YES/NO
Are there faeces outside toilet?	YES/NO
Are there faeces and/or urine pools on toilet floor	YES/NO
Is there sludge in the pit?	YES/NO
Is there toilet paper or anal cleansing material in toilet?	YES/NO
Are there stones used in body washing in the toilet?	YES/NO
Does the position of squat hole provide the necessary privacy?	YES/NO

CHECKLIST--------WATERPOINTS

Date of visit ______________________
Site of source ______________________
Type of source ______________________
Type of pump ______________________
Working order YES / No water / Pump broken

CONSTRUCTION.

Headworks	Fence	YES/NO
	washing slab	YES/NO
	cattle trough	YES/NO
	apron and drain	YES/NO

Comments on condition of headworks ______________________

Evidence of maintenance	cleaning of surrounds	YES/NO
	control of drainage water	YES/NO
	greasing of bolts	YES/NO
	replacement of worn parts	YES/NO

Delivery rate of water ______ l/ min over 5 min

USAGE

Has the pump been used recently?	
Is it easy to pump?	YES/NO
Is there water collection at time of visit	YES/NO
Are there recent signs of laundry washing taking place?	YES/NO
Is the water used for garden irrigation?	YES/NO
Are animals watered from this water point?	YES/NO
Does the water smell?	YES/NO
Is the water coloured?	YES/NO
Are there signs of suspended materials	YES/NO
Are there footpaths going past water point to an unprotected source nearby?	YES/NO
What does water taste like: metallic, salty, Is it acceptable?	YES/NO
Is there any noticeable queuing at the protected water point?	YES/NO

HYGIENE

Are containers cleaned before the water is collected?	YES/NO
Are the containers in the home clean?	YES/NO
Are the containers covered?	YES/NO
Are the ladles clean?	YES/NO
Is the ladle at ground level/above ground?	YES/NO
Is the water for drinking purposes kept in the kitchen?	YES/NO
Is there a proper refuse disposal pit?	YES/NO
Is the refuse disposal pit regularly covered?	YES/NO
Are there signs of excreta rodents, flies, cockroaches?	YES/NO
Is there a smell around the home?	YES/NO
Is animal excreta (dogs, goats, fowls, etc) noticeable all over the homestead?	YES/NO
Is there a handwashing facility outside the toilet?	YES/NO

PARTICIPATORY EVALUATION WORKSHOP FOR DISTRICT IRWSSP

The aim of this workshop is to involve the District in the evaluation of their own water and sanitation project in order that the evaluation provides useful information to improve the management of the project.

Objectives:

1a Identify the most important successes in the water and sanitation programme.
b List the most important things that made the success possible.

2a Identify major problems or constraints experienced in the water and sanitation programme.
b Identify major reasons for the problems and constraints.

3 Classify problems in terms of
- those for which there is sufficient information to act now;
- those about which more information is needed;
- and those which we cannot solve.

4 Formulate evaluation objectives for problems where additional information is needed.

Participants:

A maximum of 20 - 25 persons including at least 2 from each of the participating ministries, i.e.

1. Members of District Team
   Admin Officer
   MoH - Environmental Health Officer
   DDF - Field Officer
   MCCD - District Community Development Officer
   Agritex - District Agritex Officer
   MLGRUD - Local Government Promotion Officer

2. District Council
   Executive Officer
   5 or 6 Councillors from wards where implementation has taken place.

3. Implementation Staff
   2 from each Ministry e.g.
   MoH - Environmental Health Technicians
   DDF - Operatives
   MCCD - Ward Community Coordinators
   AGRITEX - Extension Officer

Duration: 1 day.

Groups

Three groups will be formed representing the different background of the participants as listed above (District Team; District Council; Implementation Staff). There should be a facilitator for each group. Each group will choose a chairman, who will also be responsible group activity sheets from the workshop coordinator. The group will also choose a secretary who will summarise the decisions of the group on the activity sheets.

Workshop Process:

ACTIVITY SHEET 1:

Purpose To identify major successes of the programme.
To identify what made the successes possible.

Each participant will list, on Activity Sheet 1, what they see as the major successes of the programme and write the reasons why they think it was successful.

The group will then discuss together the successes and agree on a list of the four or five successes with reasons which the secretary will write and then put up for display on a group notice board.

ACTIVITY SHEET 2:

Purpose To identify major problems of the programme.
To identify the reasons for the problems.

Each participant will list, on Activity Sheet 2, what they see as the major problems of the programme and write the reasons why they think each is a problem.

The group will then discuss together the problems and agree on a list of the about ten problems, with reasons for each problem, which the secretary will write and then put up for display.

ACTIVITY SHEET 3:

Purpose To sort problems into groups.

Each group will sort the problems they identified in Activity 2 according to:

a) those problems where there is enough information to act now
b) those problems for which more information is needed
c) those problems which they cannot solve

The secretary of each group should enter these onto Activity Sheet 3 which will be put up for display.

<u>ACTIVITY SHEET 4:</u>

<u>Purpose</u> To list problems in order of priority.
To make recommendations for action.

Each group should revise the problems on Activity Sheet 3 to put them in the order which they think are of most importance. This should only be done for those problems where there is enough information to act now and those problems for which more information is needed. Use the appropriate columns in Activity Sheet 4.

For those problems where there is enough information to act now make recommendations on what should be done and by whom using the column in Activity Sheet 4. The secretary should display the completed sheet on the group notice board.

<u>ACTIVITY SHEET 5:</u>

<u>Purpose</u> To determine further information needs.

Those problems which require more information should be the basis of an evaluation.The groups should now identify the information needs for problems to be resolved by an evaluation.

From Activity Sheet 4, select the problems for which more information is needed and suggest what further information is needed. The secretary should enter this on Activity Sheet 5 and then put it on display.

PROGRAMME

INTRODUCTION	0830 - 0900
ACTIVITY 1. SUCCESSES	0900 - 1000
Tea break and group notices	
ACTIVITY 2. PROBLEMS	1030 - 1145
Group notices	
ACTIVITY 3. GROUPING PROBLEMS	1200 - 1230
Lunch	1230 - 1330
ACTIVITY 4. IMPORTANCE & ACTION	1330 - 1430
ACTIVITY 5. INFORMATION NEEDS	1430 - 1530
Tea and group notices	
SUMMARY	1600 - 1630

ACTIVITY NO. 1 — SUCCESS

GROUP NAME..

What are the successes of our programme?	What made these successes possible?
1. 2. 3.	

ACTIVITY NO. 2 — PROBLEMS

GROUP NAME..

What are the problems of our programme?	What are the reasons for these problems?
1. 2. 3.	

ACTIVITY NO. 3 — GROUPING OF PROBLEMS

GROUP NAME..

A. THOSE PROBLEMS WHERE THERE IS ENOUGH INFO. TO ACT NOW	**B.** THOSE PROBLEMS FOR WHICH <u>MORE</u> INFO. IS NEEDED	**C.** THOSE PROBLEMS WHICH WE CANNOT SOLVE
1. 2. 3.		

PROJECT MANAGEMENT

LEVEL	METHOD	SAMPLE QUESTIONS
NATIONAL, PROVINCIAL	INTERVIEW	Who was involved in the preparation of the project document? - central, district and community levels? - in what ways did each of these have an input; through meetings; circulated draft for comments etc? - did the project contain plans for continued operation and maintenance of completed facilities? What has been the history of implementation? - Have there been any difficulties with the funding for this project? - What constraints have there been to the implementation of this project? - What (at national or provincial level) do you see as the major success of the project? - Has the flow of information about the project been adequate at national or provincial level? - How have you responded to the reports you have received?
DISTRICT	INTERVIEW; GROUP DISCUSSION	Who was involved in the preparation of the project document? - central, district and community levels? - in what ways did each of these have an input; through meetings; circulated draft for comments etc? Is there a monitoring system in place for project management? - at what frequency does each agency submit reports to the coordinator? - is any action taken in response to the reports received and if so what? - what recommendations would you make to improve the monitoring system. - do you get adequate feedback to the reports? Is there effective coordination of the project? - how frequently has the District team met in the last 6 months? - have all agencies regularly tabled reports? - does each meeting make decisions and are minutes of the meetings circulated? - at which levels do the community regularly participate in meetings and who is the representative? - are the District Council members of the project management committee? Is there any coordination of procurement of supplies? - who orders supplies for each agency? - and if ordered from outside the district how is ordering

		coordinated with implementation. - does the procurement system (as opposed to periodic unavailability) adversely affect project implementation and if so what changes would you recommend? How has this project affected other activities in the district? - list in order of priority the benefits of the project - List in order of priority the disadvantages of the project
DISTRICT OR HIGHER	**DESK STUDY**	What have previous reports identified as strengths and weaknesses of the project? Have these been overcome? Is there a monitoring system in place for project management? - at what frequency does each agency submit reports to the coordinator? - within each agency, how often are reports submitted to the district leader and from him to the coordinator and province? Is there effective coordination of the project? - how frequently has the District team met in the last 6 months? - have all agencies regularly tabled reports? - does each meeting make decisions and are minutes of the meetings circulated?

FINANCE

LEVEL	METHOD	SAMPLE QUESTIONS
DISTRICT OR HIGHER	**DESK STUDY**	What is the overall cost per facility? - Check expenditure on bore holes, deep wells, shallow wells and latrines against number of facilities successfully completed. - Compare cost per facility against budget estimate in project document. What is the overall cost per activity? - check expenditure on training courses, health education and workshops against budget estimates. What financial reporting system is used? - For each agency, how often is a financial report prepared and by whom? - For each agency, who receives the financial report? - For each agency, who keeps the committment register and is it adequate to control project expenditure by budget lines? - Are financial reports used to adjust targets and expenditure, if so how? What financial reporting and control system is used?

		- what is the financial allocation for operation and maintenance and is this broken into components? - what is the allocation per water point? - For each agency, who keeps the committment register and is it adequate to control project expenditure by budget lines? - For each agency, how often is a financial report prepared and by whom? - For each agency, is a regular financial report available to the district manager of operation and maintenance? - Are financial reports used to adjust targets and expenditure, if so how?
DISTRICT	**GROUP DISCUSSION**	What financial reporting and control system is used? - is there a financial allocation for operation and maintenance and is this broken into components? - For each agency, who keeps the committment register and is it adequate to control project expenditure by budget lines? - For each agency, is a regular financial report available to the district manager of operation and maintenance? - Are financial reports used to adjust targets and expenditure, if so how? How can the financial system be improved to make management of operation and maintenance more efficient? How can the financial system be improved to make project implementation more efficient?

ACHIEVEMENTS

LEVEL	METHOD	SAMPLE QUESTIONS
DISTRICT	**INTERVIEW; GROUP DISCUSSION**	What constraints may have affected output of facilities? Has there been any attempt to adjust targets to match previous project performance? How does the progress in establishment and training of water point committees match the targets set? - What constraints may have affected output? How does the progress in holding workshops and health education activities match the targets set? - What health education activities have taken place and how does this compare with the targets set? - what are the attitudes of participants and community to the health education activities? - What other activities such as workshops have taken place and how does this compare to the project targets? - What constraints have affected the ability to meet project targets?

Annex 1. Sample questions for key evaluation issues.

DISTRICT	**DESK STUDY**	How does the progress in construction match the targets set? - What was the target up to the evaluation date and how many have actually been completed for boreholes; deep wells; shallow wells and latrines? - Has there been any attempt to adjust targets to match previous project performance? How does the progress in establishment and training of water point committees match the targets set? What percentage of new boreholes; deep wells; and shallow wells are functioning with acceptable construction standards? - What percentage of each type are dry or delivering inadequate water or broken down? What maintenance system has been established and is it actually working as evidenced by a records system and repairs carried out promptly? - is there a properly maintained records system of breakdowns and repairs at the DDF office? - how is reporting of breakdowns taking place? - is there a functioning system of preventive maintenance?
COMMUNITY	**INTERVIEW GROUP DISCUSSION**	- What health education activities have taken place? - what are the attitudes of participants and community to the health education activities? What are the attitudes of the community to the latrine programme? - do you like the type of latrine that is being built on the latrine programme? - what do you like about the latrine? - what do you not like about the latrine? - have the latrines been built <u>well</u>, <u>adequately</u> or <u>poorly</u>? - what are the most important reasons why people have not built latrines yet? What percentage of new boreholes; deep wells; and shallow wells are functioning with acceptable construction standards? - What percentage of each type are dry or delivering inadequate water or broken down? - do you like the type of water points that are being built on the programme? - what do you like about the water points? - what do you not like about the water points? - have the water points been built <u>well</u>, <u>adequately</u> or <u>poorly</u>? - is the water programme moving too fast, too slow or at just the right speed? - could the community responsibilities in the water programme be increased? If so how?
COMMUNITY	**OBSERVATION**	- are the facilities actually present on the ground? What percentage of latrines are functioning with acceptable construction standards? - checklist for major defects in substructure, superstructure, vent pipe, smell, fly screen (Annex 2).

What percentage of new boreholes; deep wells; and shallow wells are functioning with acceptable construction standards?
- What percentage of each type are dry or delivering inadequate water or broken down?
- Checklist for major pump defects (Annex 2).

MAINTENANCE

LEVEL	METHOD	SAMPLE QUESTIONS
DISTRICT	INTERVIEW; GROUP DISCUSSION	Is there a plan for the maintenance of water and sanitation facilities in this district? - what are the main components of the plan? - what are the responsibilities of the central, provincial, district and community levels? Is there a monitoring system in place for management of the maintenance system? - at what frequency are reports submitted and by whom? - is any action taken in response to the reports received and if so what? - which agencies are involved in operation and maintenance - how does reporting take place from the community level to district level? - how are the reports used in monitoring and management of the operation and management system? - what records of pumps and repairs are maintained at each level and are these records kept up to date? - what recommendations would you make to improve the monitoring system. Is there effective coordination of the maintenance system? - how frequently have the agencies responsible for operation and maintenance met in the last 6 months? - do the agencies formally exchange information? - what system is in place for the three levels of the maintenance tier (water point committee, pumpminder, and agency) to meet and to report. Is there any management of their activities?
DISTRICT	DESK STUDY	Is there a monitoring system in place for operation and maintenance? - how does reporting take place from the community level to district level? - within each agency, how often are reports submitted to the district leader and from him to the next level? - what records of pumps and repairs are maintained at each level and are these records kept up to date? Is there an adequate system for stock control and distribution of spares?

- who orders supplies for each agency?
- and if ordered from outside the district how is ordering coordinated with needs.
- how is stock controlled and accounted for?

COMMUNITY	**INTERVIEW; GROUP DISCUSSION**	How functional are water point committees. - When was the water point committee established? - before the water point was constructed; - after the water point was constructed. - What is the composition of the water point committee (male, female)? - when was the last wpc meeting held? - what topics were discussed and what actions decided upon? - are you satisfied with the back up service from pumpminders; DDF; Min. of Health? - what do you do in the event of a breakdown in the pump? - How often is the pump visited by the caretaker - How often is the pump cleaned and greased by the caretaker? - How often does the pumpminder visit the pump and for what purpose? - How often do DDF visit the pump and for what purpose? - what additional responsibilities, if any, would the water point committee like to take on? Is there effective coordination of the maintenance system? - what system is in place for the three levels of the maintenance tier (water point committee, pumpminder, and agency) to meet and to report. Is there any management of their activities? What is the proportion of women - on water point committees; - as pump minders - at any other level? Are women satisfied or otherwise with their involvement in the project? What are the attitudes of the community to the latrine programme? - do you like the type of latrine that is being built on the latrine programme? - what do you like about the latrine? - what do you not like about the latrine? - have the latrines been built well, adequately or poorly? - what are the most important reasons why people have not built latrines yet? - when your present latrine fills up would you be prepared to build the next one yourself with no government assistance? What percentage of new boreholes; deep wells; and shallow wells are functioning with acceptable construction standards? - What percentage of each type are dry or delivering

		inadequate water or broken down? - do you like the type of water points that are being built on the programme? - what do you like about the water points? - what do you not like about the water points? - have the water points been built well, adequately or poorly? - is the water programme moving too fast, too slow or at just the right speed? - could the community responsibilities in the water programme be increased? If so how?
COMMUNITY	**OBSERVATION**	What percentage of latrines are functioning with acceptable maintenance standards? - checklist for major defects in substructure, superstructure, vent pipe, smell, fly screen and evidence of maintenance (Annex 2). What percentage of new boreholes; deep wells; and shallow wells are functioning with acceptable maintenance standards? - What percentage of each type are dry or delivering inadequate water or broken down? - Checklist for pump defects and maintenance, type of pump, when last broke down, how long it took to be repaired (Annex 2).

COMMUNITY PARTICIPATION

LEVEL	METHOD	SAMPLE QUESTIONS
DISTRICT	**INTERVIEW; GROUP DISCUSSION**	What was the community contribution to the programme implementation? - expected contribution e.g. labour, bricks, sand, money/investment, food. - actual contribution Does the community feel that Government contributed a fair share to the project? What was the planned role of women in the project? How functional are water point committees. - When was the water point committee established? - before the water point was constructed; - after the water point was constructed.
COMMUNITY	**INTERVIEW; GROUP DISCUSSION**	How was the community involved in the siting of the water points in each Ward? Were you satisfied with the amount of consultation and the way in which it was done? When was the water point committee established? - before the water point was constructed; - after the water point was constructed. What was the community contribution to the programme implementation? - expected contribution e.g. labour, bricks, sand,

money/ investment, food.
- actual contribution

Were you satisfied with the Government contribution to the programme?
Were you involved in the planning of the project for your ward/ village? If so how?
What additional responsibilities would the community like to take in the water and sanitation programme?
What is the proportion of women
- on the water point committees;
- as pump minders
- at any other level?

Are women satisfied or otherwise with their involvement in the water and sanitation programme?
Have there been any changes in the lives of women as a result of the programme?

TRAINING

LEVEL	METHOD	SAMPLE QUESTIONS
DISTRICT	INTERVIEW; GROUP DISCUSSION	What training plans exist for operation and maintenance staff? How do recipients of training view the relevance and usefulness of their training? What refresher training is in place for water point committees, pump minders and district operation and maintenance teams? - how often does it take place and who does it? What training plans exist for project staff and if none then why not? What are the perceived training needs for district teams? What are the observed training needs for - water point committees - pump minders - district teams
DISTRICT	DESK STUDY	Do the number and type of courses and the number of participants agree with the targets? If not why not? What is the proportion of women trained by type of course? What refresher training is in place for water point committees, pump minders and district operation and maintenance teams? - how often does it take place and who does it? What training plans exist?
COMMUNITY	INTERVIEW; GROUP DISCUSSION	What are the perceived training needs at community level? What are the training needs for water point committees, pump minders? How do recipients of training view the relevance and usefulness of their training?

USE OF FACILITIES

LEVEL	METHOD	SAMPLE QUESTIONS
COMMUNITY	INTERVIEW; GROUP DISCUSSION, OBSERVATION	<u>Sanitation.</u> Where do you go to pass excreta? Do all members of the household, including children, use the toilet? What about at night, when it rains, is very cold? What do you do with babies excreta? What do you like about the latrine? What do you not like about the latrine? Are there any cultural or religious practices which promote use of facility? Are there any cultural or religious practices which prohibit use of facility? Do you use the latrine for bathing? <u>Water.</u> Where do people go to get water? Where do you get your water? Who usually fetches the water? How many times a day do you (they) go? When do you go? About how long does it take you to collect the water? What do you use to carry the water? About how much water do you use for cooking? laundry? other? Do you experience any difficulties in getting the water? If yes, what difficulties? (If not mentioned) Are there any problems in pumping? amounts of water produced? other? Does the water smell, taste, look acceptable? Are you satisfied with the facility? YES/NO. If yes, why? If no, why? Are there any sources of unprotected water? -Do you use them? -What do you use them for? -Why do you use them? If the protected source breaks down where do you go for water? <u>Health education.</u> Have you received any messages on hygiene and from whom. What was said about handwashing, the home, and personal hygiene? What do you feel about these messages, do you understand them? Are people able to carry them out? How could the teaching approach be improved? What do you understand about these messages, i.e. the need for hygiene, handwashing, protected water and sanitation. When do you wash hands? why? Does every one wash hands? what about children, etc What about before meals, after changing babies, after going to the toilet?

ACTIVITY NO. 4

PROBLEMS IN YOUR ORDER OF IMPORTANCE

GROUP NAME..

A. THOSE PROBLEMS WHICH WE CAN SOLVE NOW		B. THOSE PROBLEMS FOR WHICH MORE INFO.IS NEEDED
Those problems, etc	What action should be taken	
1. 2. 3.		

ACTIVITY NO. 5

INFORMATION NEEDS

GROUP NAME..

Those problems about which further information is needed	**What information do you need?**
1. 2. 3.	